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# The Integration of Classic Cars as an Alternative Investment in Wealth Management Environments and the Possible Influence of Behavioral Finance

**Sebastian Hoffmann**

Ph.D. Student of USC - University of the Sunshine Coast, Australia,  
in association with SMBS - University of Salzburg Business School, Austria

## Abstract

Investing in classic cars can be a supplement to traditional investments for private clients in wealth management. However, the special features of this exotic asset class have to be taken into account. In the case of an investment, risk factors such as ongoing costs, market transparency and liquidity have to be considered. In contrast, opportunities arise from potential portfolio optimization as well as of the realization of an "emotional return". General return forecasts can only be made to a limited extent. Rather, it requires an individual yield calculation, taking the circumstances and intentions of the investor into account. The Classic Car Banking Concept, which is presented in this paper, demonstrates the ability to integrate the investment in classic cars into an existing wealth management structure. Thereby, the further diversification of an investor's portfolio by adding classic cars offers an interesting earning potential in the current situation of historically low interest rates in many parts of the world. Moreover, Classic Car Banking as a segment of wealth management in general has the potential to use the conceivable emotional involvement of investors in order to intensify the relationship between clients and consultants. Nevertheless, selected concepts of behavioral finance are able to explain the downside of potentially emotional investments. Concepts such as Anchoring, the Endowment Effect, Mental Accounting and Overconfidence are related to insufficient decision making which, in the case of investments, leads to inadequate monetary returns.

**Keywords:** Wealth Management, Classic Cars, Behavioral Economics, Behavioral Finance

## 1. Introduction

The current market environment for capital investments is shaped by the persistently low interest rate environment. Against this background, it is understandable that investors of all kind, for example private investors and professionals from capital investment services, are looking for new investment opportunities with above-average returns (Sauren, 2015). Investing in classic cars thereby is an option in the area of alternative or exotic asset classes. In the meantime, this investment is no longer treated only in automotive-specific journals, but is increasingly also the subject of a scientific debate. However, the investment in the so-called "garage gold" has been considered rather isolated until now. This paper aims to provide possibilities, on how to integrate the investment in classic cars into an existing service portfolio of wealth management as a so called Classic Car Banking.

An analysis of the asset class classic cars will be provided in the following. This includes an insight on the technical terms, an overview of the market participants, the intentions of classic car acquisition as well as factors of measurable value development. On this basis, different possible types of investments in the asset class will be presented, with due regard to specific opportunities and risks. Subsequently conclusions can be drawn on how the investment in classic cars can be operationalized in an existing wealth management structure. For this purpose, a model is presented, which reflects the customers' needs around the investment in classic cars. The model implies, which need can be covered by the core competencies of wealth management and where additional consulting is needed.

## II. Classic Cars as an Asset Class

The analysis of the classic car asset class is in the following limited to passenger cars. Historic motorcycles as well as historical agricultural machines are, although fundamentally also conceivable as investment objects, not the subject of the further consideration in this paper.

The recognition of a vehicle as a classic car depends on the definition. In Germany for example, the recognition is regulated by law (§ 23 Straßenverkehrs-Zulassungs-Ordnung - StVZO). According to the relevant regulation, the vehicle must be assessed by an officially recognized expert or examiner. There are four basic requirements which are regularly needed for a recognition as a classic car. The vehicle must be at least 30 years of age, the originality of all assemblies has been retained, the condition can be considered worth preserving and modifications to the vehicle have been made only to a limited extent (TÜV Süd Autoservice GmbH, 2012). In particular, the originality of a vehicle as well as the condition worthy of preservation are the keys to a future increase in value. The fulfillment of the criteria mentioned before, leads to road traffic law recognition as a classic car in Germany. The latter allows approval as a historic vehicle (H-approval with specific license plate). There are some advantages and possibilities associated with this, such as a flat-rate motor vehicle tax or the unrestricted travel in environmental zones (GTÜ Gesellschaft für technische Überwachung mbH, 2016). In addition, this classification allows insurance in special vintage tariffs with extended insurance benefits (Anastassiou, 2013).

The possible intentions for investing in a vintage car are almost always individual, but the majority of motives can be aggregated to two main intentions. On the one hand, these are emotional intentions and, on the other hand, rational expectations of a monetary return. In practice, a combination of both intentions with corresponding emphasis will often be encountered.

Literature suggests, that the investment in classic cars can be referred to as a so-called passion investment. In addition to classic cars, this asset class includes works of art, jewelry or wine (Kräussl, 2015). This list already shows the character of an emotional investment. These are haptic objects, to which a clear individual preference of the owner can be assumed regularly. For example, the owner of a classic car can experience emotionally positive moments by using the vehicle. This incorporates the realization of a so-called *emotional return*, for example by continuous caretaking of the automobile or by opposing appreciation when participating in classic car events (Merten, 2015).

The second purpose of classic car acquisition is the intention of yielding. As early as 2012, 23.0 % of classic car owners in Germany viewed their vehicle primarily as an investment (bbg Betriebsberatungs GmbH, 2012). Particularly in the years following the financial crisis, investment flows have increasingly shifted to tangible assets and thus to the classic car market as well. Private investors apparently perceive the investment in classic cars as a way out of low interest rates and inflationary fear (Euler, 2014). Moreover, a growing popularity of the investment class with yield investors is encouraged by high-profile auctions with record sums (Jahnstone, 2014).

In terms of the performance of classic cars, there are special features to be considered that distinguish this asset class from almost all others. In the following, the three significant factors (extreme) rarity, condition and origin of the vehicle will be further examined (Barzilay, 2009).

Initially, classic cars are a type of commodity which are not reproduced in its specification under usual circumstances. Nevertheless, there are differences in the impact of this fact. As in all markets, supply and demand determine the price. Vehicles that have been produced in larger quantities and have a correspondingly large supply will tend to participate less in value increases. When choosing an investment object, one should therefore pay attention to the rarity of a vehicle. Extremely rare vehicles are considered those, which have been produced only in small series or even as individual pieces. Although enormous increases in value are possible here, the highly limited supply of spare parts should also be considered (Barzilay, 2009).

The second factor of performance considers the condition of the vehicle. It should be noted that, for example by restoring, significant increases in value can be observed. This is a decisive unique feature of the asset class classic cars. By the owners' own intervention, a significant increase in value is possible. This is almost impossible with traditional investments, such as stocks or bonds, and is also limited in other exotic investments such as art and wine (Thaddeus, 2012).

A third factor that can significantly add value to a vehicle is its history. In addition to the performance of a single vehicle, this can sometimes also impact complete series or brands. For example, a Porsche 911 S from 1971 was sold at an auction in 2011 at \$ 1,375,000, which was about six to eight times the value of comparable vehicles. Obviously, the cause was a prominent previous owner: Steve McQueen (Rotz, 2012). Moreover, the performance of a brand in terms on value-adding can be influenced by the use of the vehicles in films as well as by celebrity use (Kräussl, 2015a). Furthermore, the so-called racing history occupies a special position with regard to the value-adding potential. For example, vehicles of the Ferrari brand that are used in motorsport events such as the Le Mans race are particularly expensive (Brückner, 2013).

Only a few years ago, mainly technically experienced people, who could do repairs themselves, owned vintage cars. However, the group of those who mainly enjoy the possession and the movement of the vehicle, but have no technical

expertise, grows (Trockner, 2011). Besides the purely quantitative expansion of the market for classic cars, also a broadening of interests as far as the buyers are concerned can be observed. Based on the various investment opportunities, the classic car market will be examined in more detail below.

Basically, there are three ways to acquire a classic car. A survey among classic car owners in 2012 revealed that the majority of respondents purchased their car in a private sale. Thereby, upfront research on the internet also played a key role. In total, more than 25 % of the vehicles were finally purchased on the Internet (bbg Betriebsberatungs GmbH, 2012). Moreover, for higher-priced vehicles, the purchase at auctions was observable (Phillip, 2014).

Another possibility of classic car acquisition is the purchase from commercial classic car dealers. Here, a distinction must be made between independent dealers and those of the original manufacturers. Independent classic car dealers sell vehicles of various brands. However, in recent years, manufacturers are increasingly utilizing the potential of their own historic vehicles. For example, Mercedes-Benz maintains its own classic car dealership, which is affiliated with the Mercedes-Benz Museum (Mercedes-Benz Museum GmbH, 2016). Furthermore, BMW offers access to its Classic Parts Shop over the Internet, through which almost all replacement parts can be ordered for historic BMW vehicles. Moreover, purchase requests for classic BMW cars can be made there (BMW AG, 2016). Finally, the Porsche Classic Shop has a similar offer regarding spare parts and also offers factory restorations (Dr. Ing. h.c. Porsche AG, 2016). The described activities of car dealers show, how profitable the classic car business really is.

### III. Investing in Classic Cars

Investing in classic Cars comes with special characteristics of this investment class, that have to be taken into account. Historic vehicles are almost unique and hard to replace. Also, the pricing is, apart from auctions for high-priced vehicles, mostly non-transparent (Firlus, 2011). Comparative values can sometimes not be determined consistently as the market for a number of vehicles is subject to intrinsic illiquidity (Lipinski, 2014). In the following, investment forms in the classic car market are described under the outlined conditions as well as with regard to the potential chances and risks.

Generally, direct investments in classic cars and the derivative investments via funds or certificates can be differentiated. As with almost all investment decisions, the factors risk, return and liquidity should be weighted according to the investors' preferences (Benicke, 2006). In the following, it is shown that due to the specificity of the asset class classic cars, there are differences in the two investment forms mentioned beforehand. As it will be shown, seeking the advice of experts and establishing a Classic Car Banking in an existing wealth management structure can be gainful for both, customers and consultants.

The direct investment in classic cars offers not only the chance of a quantifiable return, for example a sales revenue. Considerably more, the investor has the opportunity to realize an emotional return. Only very few asset classes have this feature. Literature suggests, in addition to classic car investments the investment in art in this context (González / Weis, 2000). However, the direct investment in classic cars does not only address a visual-aesthetic level of perception. In the use of the historic vehicle, enjoyment can be perceived in all senses. If the investor has a corresponding affinity, the individual emotional return can therefore play a central role in the investment decision (Merten, 2009).

In addition to the factors emotional return and the influenceability of value described before, tax benefits can arise from the direct investment in classic cars, depending on the individual legal position. In Germany for example, in addition to the reduced motor vehicle tax, the possibility of tax-free profits from private sale transactions after a one-year holding period has to be considered. The direct investment can subsequently lead to a tax optimization for the overall portfolio of private investors (§ 23 (1) S. 1 Nr. 2 S. 1 read in conjunction with S. 3 Einkommensteuergesetz – EStG)

Due to the already outlined growing attractiveness of the asset class classic cars and the current market environment, several providers have tried to come up with derivative investments in this asset class, such as funds and certificates. The basic idea lies in the diversification in a portfolio of multiple classic cars, in which the investor participates from profits of resale. However, not all providers could survive on the market. One example is the Classic Cars GmbH & Co. KG Fonds Nr. 1 KG, which predicted a payout of 210 % after eleven and a half years but had to conclude operations after about three years (Classic Dream Lease GmbH & Co. Verwaltungs KG, 2010 & Justizministerium NRW, 2014).

A still active provider in the market of indirect investments in the field of classic cars is the Custozza Family Office. This Zurich-based company offers two forms of participation under the umbrella of The Classic Car Fund for participation in the vintage car market. The two variants differ mainly in the minimum investment. In the product version Class P, an investment is already possible from 10,000 Euros upwards, whereas in Class I only from 200,000 Euros upwards. According to the

Family Office, individual vehicles were sold with more than 25 % profit after just more than a few months period (Custoza Family Office Ltd., 2016). Noteworthy about this fund is the legal construction. The Classic Car Fund has been formed by The Classic Car Fund Limited, an investment company registered on the island state of Saint Vincent and the Grenadines (The Classic Car Fund Ltd., 2012).

When examining opportunities and risks of the classic car class asset class, it is expedient to take the already discussed intentions of the acquirers of classic cars into account. For example, investors who are more focused on emotional returns or on enjoyment (A) are less likely to highly appreciate a selling price that is rising as fast as possible than mainly yield-oriented investors (B). Thus, for example, a low selling price (market price risk) for (B) would be perceived as a much greater risk than for (A). In a certain sense, the investor's intentions determine the risk assessment as well as the expected returns on a case-by-case basis.

The potential monetary return of a classic car greatly depends on the individual vehicle. However, on an aggregated level, classic cars indices are available. One example is the DOX – Deutscher Oldtimer Index, which was developed by the German Association of the Automotive Industry in 1999. The DOX tracks and aggregates the performance of 88 vehicles, just as the Dow Jones tracks the performance of the 30 largest corporations in the US. The DOX index was set at 1000 points in the year of its implementation.

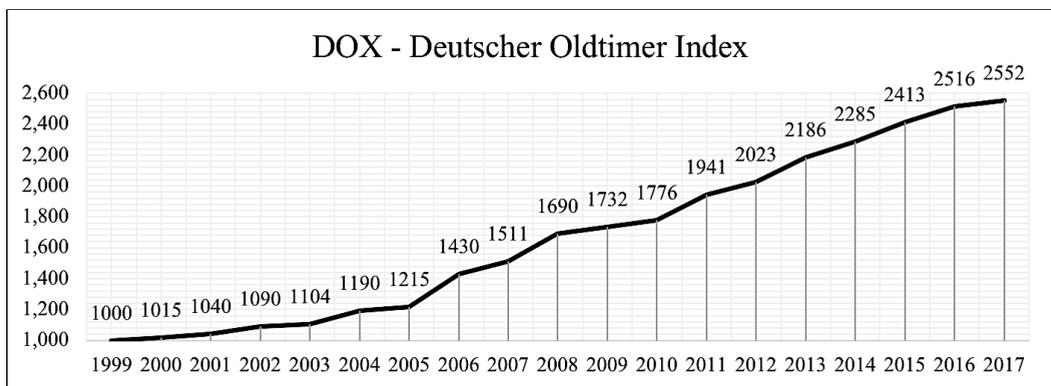


Figure 1 Deutscher Oldtimerindex (DOX) – logarithmic. Figure by author, data from (Verband der Automobilindustrie e.V., 2016).

The optical analysis of the DOX shows a permanently positive development, a feature which cannot be observed in almost any other index. The economic and financial crisis did not dampen the development either. Rather, it turns out that the curve becomes steeper from 2005 on and continues to increase even more.

In addition to the isolated consideration of the classic car as an investment object, the question of portfolio optimization arises in connection with the expected return of the asset class classic cars. In an analysis by Daxhammer and Klein, the correlation between the DOX and the DAX (Deutscher Aktienindex) revealed almost no correlation between the both indices ( $r = -0.02$ ). In the study, this result was included in the further calculation to develop an optimal portfolio. One of the key findings is, that classic cars are overall able to reduce the risk of a given portfolio (Daxhammer & Klein, 2016).

However, the assessment and interpretation of the DOX should be viewed critically. Firstly, the underlying vehicle prices are average values. Nonetheless, individual price deviations are possible in significant magnitudes. Secondly, only observable transactions are included in the evaluation, but many purchases are made privately. A third point of criticism lies in the fact that ongoing costs of classic car owners such as wearing parts, repairs and storage are not taken into account (Brückner, 2010). Even though these costs might consume a significant portion of the return. Finally, the already described emotional return is almost unquantifiable and therefore does not enter the performance of the DOX. Consequently, it can be assumed that there may be significant deviations in terms of return as well as the risk minimizing effect of the classic car investment depending on each individual case.

As already described, the classic car asset class has a number of special features compared to conventional asset classes. In the following, the three specific risks: maintenance costs, market (in)transparency and liquidity will be examined more closely.

The running costs for the preservation of the vehicle consist of various components. In addition to predictable expenses for taxes, insurance or storage, which are necessary to keep the vehicle in working order and thus stable in value, unpredictable costs are a crucial risk. This includes expenses for spare and wear parts as well as expenditures for damages caused by accidents. Due to the age of the vehicles, the search for adequate spare parts is a challenge that in itself binds time and financial resources. The relationship between yield opportunity and maintenance costs is cited in the literature as a central area of tension for this asset class. Since the maintenance costs for higher-priced vehicles are lower in percentage terms, it is noted that, especially in low-cost vehicle categories up to 25,000 Euros, the potential return is usually already eroded by the maintenance costs (Daxhammer & Klein, 2015). Real chances of a positive net yield are mainly attributed to vehicles from 100,000 Euros upwards (Bender & Schmidt, 2010).

The market transparency of the classic car market is limited and can lead to a vehicle being acquired at a significantly higher price than a short or medium-term resale would cash out. Moreover, due to the increased activity of speculators on the classic car market, critical deviations for sustainable price formations are observable (Bilanz Deutschland Wirtschaftsmagazin, 2014).

In contrast to the limited ability to already achieve a return with a historic vehicle during the holding period, ultimately only a sale offers the opportunity to realize profit. However, since the investments described are necessary during the holding period to ensure value preservation, this may result in a liquidity risk for the investor. This is worsened if the corresponding market is also characterized by illiquidity and therefore no short sales are possible (Brückner, 2010).

#### IV. Classic Car Banking in Wealth Management Environments

There are already first providers of wealth management services in the field of classic cars. However, the topic tends to be considered isolated and focuses primarily on the provision of services to a corresponding customer request for an above-average return (UniCredit Bank AG, 2016). However, when investing in a historic vehicle, in addition to an ex ante hard-to-estimate monetary return, the focus is on the emotional return. This circumstance opens up opportunities for wealth management, which is strongly influenced by personal interactions with the customer. Therefore, the approach outlined in the following builds up on the core competence of wealth management: an intensive and holistic relationship management.

The investment strategy for clients in wealth management shows a high degree of individuality. As part of a holistic consultation, tailor-made solutions are developed for the customer (Rizk-Antonious, 2002). In this context, the question of optimizing the portfolio by adding the exotic asset class classic cars may arise. Given certain parameters such as risk appetite, disposable cash, etc., the investment on the market for classic cars can take place. Like any decision in an investment strategy, the investment in classic cars should be regularly reviewed to ultimately ensure customer satisfaction as a critical factor of success in the advisory relationship between customer and wealth management consultant.



Figure 2 Process of consulting in wealth management with emotional return. Figure by author.

The integration of classic car banking in an existing wealth management structure can be described as a three-step approach. The first level is the core competency of wealth management. This core is formed by classic car-related banking services as well as non-bank classic car related services that can be operated as a brokerage business. The core competence of wealth management focuses on the constant portfolio optimization for clients through an intensive relationship management (Häger & Raffelsberger, 2005). Moreover, high-quality and exclusive events for customers round off the core competences of wealth management.

Around the described core competencies of wealth management, a comprehensive solution package for the classic car investment should be offered as classic car related banking services. These include offers for financing or leasing historic vehicles. The latter might be worthwhile for tax purposes in certain circumstances (Trockner, 2011). Moreover, an adequate insurance of the vehicle can be provided as a banking / insurance service by consulting experts. The value of the historic vehicle usually increases while the value of a new vehicle decreases. In order to reflect these increases in value and avoid

underinsurance, regular valuations are required, which can be forwarded to an insurance company. In this area, there seems to be an even greater need for advice, as insurance coverage of historic vehicles often does not correspond with the value or condition of the vehicle adequately (bbg Betriebsberatungs GmbH, 2015).

As already mentioned above, investing in classic cars comes with additional questions that go far beyond traditional investments. Since competences for technical issues cannot be provided in wealth management or a bank generally, it makes sense to set up a network of experts. The wealth management consultants as the central and single point of contact can fall back on those experts if customers require a special service for their classic cars. The network should cover as many possible issues that could arise in the investment process. This ranges from technically-competent purchase advice to professional storage and transport through recommendations for specialist workshops and support at auctions (Kammerer, 2016). This support by experts is essential for the technical layman to create the conditions for a profitable investment.

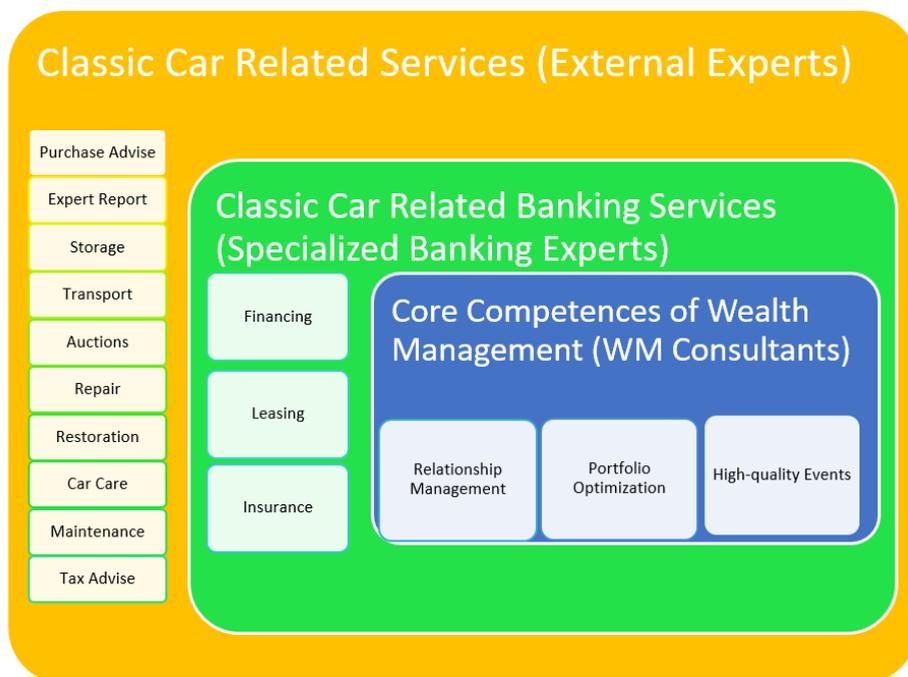


Figure 3 Classic Car Banking in an existing wealth management environment. Figure by author.

## V. Behavioral Finance and Classic Cars

Behavioral finance as a subcategory of behavioral economics has been a field of distinct research over the last decades. Contrary to the neoclassic concept of Homo Oeconomicus, behavioral finance suggests, that human rationality is contradicted by cognitive biases and heuristics and therefore susceptible for irrational and inconsistent decisions (Tversky & Kahneman, 1979). As this paper already proposed, the individual emotional return plays a central role in the investment decision for classic cars. Therefore, this investment decisions are even more prone to inefficiency than other financial decisions without such an emotional component. In the following, four different concepts of behavioral finance will be presented and applied to classic car investments.

Firstly, anchoring as a concept of behavioral finance refers to the observation, that individuals exposed to any kind of information, whether it is related to the matter of decision making or not, are influenced in their decisions, simply because the exposure leads to insufficient adjustments (Tversky & Kahneman, 1974). By taking the given non-transparency of the classic car market into account, it is likely, that individuals who are about to purchase a vehicle are highly influenced by the sellers offers during negotiations, just because the market does not provide a price assessment for every car in every

condition. Subsequently, higher and even out of the market prices might occur, which again makes it harder for investors to benefit financially from the investment.

Secondly, the endowment effect describes the tendency of people to ascribe value to an object mainly because they own it and not because of its special features or actual worth (Kahneman et. al. 1990). In terms of classic cars, this could be especially unfavorable when it comes to reselling the classic car. This particular bias corresponds with the classic car market attribution to be illiquid. Sellers might have a hard time to actually sell their vehicles for a (perceived) convenient price after all the time they owned it and spend additional money for maintenance and other additional costs.

Thirdly, people have a variety of mental accounts that they use to organize, evaluate and keep track of financial issues. The human tendency is, to apply different rules on different mental accounts, whereas costs in the same account are considered less upsetting (Thaler, 1985). Subsequently, this concept of behavioral finance might also explain why people attribute to much value to their classic car and ignore the fact that besides all those follow-up investments, that were necessary to obtain the value of the vehicle, also some follow-up investments clearly have to be considered as sunk costs. The latter most likely won't be recouped in case of a resale. Another aspect of mental accounting in terms of an asset allocation is, that probably the emotional involvement in the classic car leads to insufficient adjustments as far as other asset classes in a given portfolio are concerned. However, this hypothesis needs to undergo further research.

Finally, overconfidence has the potential to withhold financial gain from the classic car investor. Overconfidence actually consist of the three subcategories overprecision, overplacement and overestimation (Moore & Healy, 2008). In terms of classic car investments, overplacement seems to be one of the most obvious biases that might explain the negative interference of the emotional commitment of an investor with the ambition to realize profit. One example would be an investor, who does not follow the consultants advise to sell the vehicle at a certain point in time, because the investor thinks he knows better when the right time has come. Moreover, a situation in conceivable in which the investor is sure that there is the possibility of an outstanding good purchase ahead, whereas such an assessment can't be made properly due to the non-transparent market and the market illiquidity. If the investor still buys the car, the price payed might be way out of the market.

## VI. Conclusion and Outlook

An end to the low-interest rate situation in Europe and beyond is currently only partially in sight and even in the case of slightly rising interest rates, the question of alternative investment options will continue. Against this background, investing in classic cars represents an alternative investment opportunity for wealth management clients. However, the investor and the consultant should be aware that this can be a highly emotional investment. The latter can give the investor a lot of pleasure and, at a later stage, a sales profit after deduction of all costs. The consultant in contrast has the opportunity to advise clients on a completely new topic and with it, in a different emotional intensity.

However, the investment is not recommended for individuals who have limited loss readiness or who rely on liquidity from a sale in the short and medium term. Ultimately, in the worst case, the emotional return realized over a period of time may be the only return left to the investor. In order to be able to successfully accompany an investment in classic cars, expert knowledge is required which the wealth management consultant usually cannot provide in full. Therefore, the involvement of more qualified professionals and experts is required.

Furthermore, due to the possibly highly emotional matter of classic cars, the investor is prone to make common investment mistakes that are known in behavioral finance research. In order to avoid these mistakes, the wealth management consultant should be aware of them and provide objective consulting, even if this might be hard sometimes. The latter can apply to both, the investor and the consultant. The investor might be too attached to the emotional return of the classic car, whereas the consultant might fear to argue controversial with a valued customer.

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## Critical Factors in English Teachers' Professional Development in China – a Case Study

Kathy O'Sullivan

United Business Institutes (Belgium, China, Luxembourg)

### Abstract

This case study is set in the context of globalisation, framing its analysis of issues relating to professional development of teachers of English language in China against the global background of English language teaching reform. In Asia generally, and particularly in China, where the focus of education in recent years has shifted from access to quality of teaching and learning, an existing plethora of underqualified teaching staff, mainly because of rapid higher education expansion, constitutes a major barrier to regular participation in professional development programs. Barriers identified as impacting on the provision of good quality teaching arose, largely, from the pressures due to the demands of curriculum reform and the often-changing expectations of university leadership, which highlighted tensions between a traditional reliance on the primacy of exam results and a newer demand for holistic development and lifelong learning. Following a review of the literature on aspects of teacher professional development, and a discussion of the current policy context in China, a range of findings will be used to illustrate common stakeholder expectations, as well as teacher beliefs and practice. The analysis of the narratives uncovers issues of identity and power, in the shaping of the participants' practice and professional trajectories. The analysis provides illustration of how limitation in professional participation can result in limitation of innovative practice. Concerns regarding barriers to further development are also highlighted. The study offers recommendations to promote innovative practice which can support more effective teaching and learning.

**Keywords:** Professional development, higher education, China, English

### Introduction

The impact of globalisation on higher education has been widely discussed (see, for example, Xu, 2005; Hassi & Storti, 2012; Shahidi & Seyedi, 2012; Zajda & Rust, 2016). While Altbach (2004) and Vandermensbrugge (2002) caution of the inequality which globalisation may lead to in academia, others (Lo, 2011) note that non-Western countries may selectively adapt from the Anglo-American model what suits their needs when developing their national higher education systems.

Researchers such as Ngok & Guo (2008) have reported on China's approach of "kejiao xingguo" (i.e., revitalizing China through developing science and education) which led to the launch of the 211 project in 1995 and 985 project in 1998. Project 211 is a project by the Chinese Ministry of Education that aims to raise the research standards of universities and refine strategies for socio-economic development. Project 985 is a project to promote the development and reputation of the Chinese higher education system, through funding certain universities to build new research facilities, hold international conferences, attract world-renowned faculty, and help Chinese faculty attend conferences abroad. Until recently, professional development of teachers has not been deemed to be of primary importance in China.

In common with educational leaders and policy makers elsewhere, who have tended to operate a myriad of top-down teacher professional development programs, rather than an inclusive training program involving the active participation of teachers as co-designers (Hardy, 2012), China has also relied on a one-size-fits-all approach to professional development of teachers. However, there is the dawning of a recognition that this needs to change.

Central to the debate regarding professional development programs are questions about what constitutes good quality teaching, how to develop (and subsequently evaluate) the teaching workforce and how to place students at the centre (Viète & Peeler, 2007; Chen & Fang, 2013; Peng et al, 2014). This paper seeks to contribute to the burgeoning research on teacher quality and teacher development in Asia by drawing on selected findings from a case study conducted at a university in China.

With a high focus on research performance, teaching and learning are often perceived to be secondary in importance to research in universities worldwide, and particularly Chinese universities. For example, promotion and evaluation processes still value research performance more than teaching performance in the classroom. This research-oriented tradition is a well-worn obstacle to faculty professional development on teaching and learning.

### **Literature Review**

Language teachers' professional development emerges from a process of restructuring teachers' existing knowledge, beliefs, practices and reflections rather than just simply imposing fresh language teaching theories, methodologies and teaching materials on teachers. Therefore, language teachers' professional learning is a complex process which requires knowledge in various disciplines, such as psychology, sociology and methodology. Strong motivation on the part of teachers and a willingness to embrace change are also needed for the process of professional development to be sustainably successful (Guan & Huang, 2013; Reynolds et al, 2015).

### **Massification of higher education in Asia**

The massification movement of higher education across much of Asia is creating a challenge for government planners and higher education administrators in being able to offer high-quality instruction with an under-prepared faculty workforce. In many country contexts, faculty qualifications prevent them from being able to keep pace with the rising demands of higher education students (UNESCO, 2014). Increasing enrolments in most Asian contexts causes many higher education institutions to be preoccupied in meeting minimum academic provisions rather than being able to focus on the improvement of high-quality instruction and learning. Varying faculty member academic qualifications—such as inadequate English language-speaking abilities and practical expertise, or qualifications in the field—are key issues among many that prevent them from reaching higher academic standards.

In an effort to address these quality gaps, many Asian higher education institutions began to emphasize accountability and quality assurance procedures, with a special focus placed on teaching performance and research output (Hallinger, 2010). Rote learning has been increasingly recognized as inadequate and university faculty members are expected to play a larger role in inspiring reflective and innovative learning.

In many higher education institutions, professional development programs were established to help support various initiatives that promote effective teaching and research. These programs are still being conceptualized across many top Asian higher education institutions with varying degrees of success. Research findings suggest a number of barriers that these professional development programs are trying to overcome (Asian Development Bank, 2011).

First, the massification process of higher education often overloads faculty members with substantially more teaching responsibilities. The trend where faculty members are required to teach more classes continues, as does the requirement to become involved in many non-academic matters that concern student campus life and/or developmental issues. As a result, professional development programs are often viewed by many faculty members as a luxury; most faculty already have little to no "extra" time available for such personal skills development.

Second, salary structures in many Asian universities are based on the number of teaching hours faculty members complete each semester/term/quarter. For language teachers, remuneration is often lower than for those who teach other subjects. From a monetary perspective, this often puts professional development program initiatives in direct competition with actual teaching activities. The lack of a general incentives or rewards structure further exacerbates the situation, making it even more difficult to motivate participation in professional development initiatives.

Third, faculty professional development programs in Asia are underfunded and operate on lean discretionary budgets. Faculty members seeking academic/professional self-enrichment domestically or overseas have to resort to self-funding in many cases, which is another disincentive for participation in professional development programs in Asian higher education institutions.

### **Issues of identity**

Varghese et al. (2005) have noted that there are three features of identity process. Identity is firstly understood as multiple, fluid and often conflicted in nature, and importantly includes the notion of agency to explain teacher choices and decisions. The second understanding is that identity is always related to social cultural and political contexts (Lave & Wenger 2002). Finally, it is understood that identity is constructed and negotiated through language and ongoing interactions with others

(Bucholtz & Hall 2004). Particular issues in studies of language teacher identity have included marginalisation, the position of non-native speaker teachers, and the nature of teacher knowledge.

Language teachers in particular position themselves both personally and professionally between two or more languages and cultures (Kanno 2003). These observations and issues have created a diverse research field but, as Varghese et al. (2005) note, do not constitute a coherent theoretical approach. While we acknowledge critique of its limitations in this context (Varghese et al. 2005), discussed below, we have chosen to use Wenger's (1998) framework of the dual process of identity formation. This is described as the result of two processes, identification and negotiation of meaning. Identification comes from engagement (investing ourselves in our practice, as well as in relations with others), imagination (seeing our experience as part of a broader context - "images of the world that transcend engagement" Wenger 1998: 17) and alignment (connection to others when our practice is in line with a broader enterprise, involving power). Negotiation of meaning involves ownership of making meaning of experience, power processes, and, if the participant's contribution is continually denied, results in marginalisation.

Narrative research has been recognised to be of particular significance in capturing language teacher development (Barkhuizen et al. 2013). It is understood that language teaching and learning focus not only on acquisition of a language, but on the interaction and development of a holistic and intercultural identity. Nevertheless, in individuals' stories, the tension between educational beliefs is noted, for example, between the models of teacher as authoritative source of knowledge and of the teacher as facilitator, helping the student to make their own discoveries in learning (Wilson 1996).

### **Educational technology**

Educational technology is an important aspect of professional development initiatives in Asian higher education institutions, with a special emphasis placed on research and instruction with multi-media support (Asian Development Bank, 2011; Azhar & Shahid, 2014). However, educational technology literacy among faculty—particularly embedding it into innovative curriculum design as well as transformative pedagogical practices—remains discouragingly at a low level and suffers inadequate attention from higher education administrators and government policymakers. Some faculty members, especially senior professors, remain educational technology adverse, and are often antagonistic to its strategic deployment at the institutional level. When it comes to language learning, there is often a significant lack of funding in educational technology, with the view that the textbook is the curriculum.

### **Top tier universities vs the rest**

Geo-political and geo-economical diversities in Asia often make it difficult for professional development programs to establish unified standards and optimal training opportunities for all administrators, faculty and staff members, and students. The most robust professional development programs tend to exist within the top Asian universities, compared with lower-ranked institutions where professional development activities happen on a more *ad-hoc* and as-needs basis. Asian universities with the most salient faculty professional development programs have both centralized and decentralized measures adapted to best meet the needs of faculty research, teaching and learning.

Interestingly, there is a noticeable lack of rewards structures for innovative research, teaching and learning, even in the top ranked universities (Chapman, 2009). This is especially true for language learning. Incorporating professional development to faculty teaching and learning as a long-term strategy rather than a short-term resort has been a typical challenge in this region.

### **Qualifications and experience**

In China, newly-hired higher education teachers often lack teaching experience due to limited teaching opportunities during their postgraduate studies (Wu et al, 2016). This has led to myriad teacher professional development programs in Chinese universities, with many deemed to have been unsuccessful, primarily because of the adoption of a one-day workshop approach to teacher development. Such an approach overlooks that learning and professional growth are life-long processes which build upon previous experiences, skills and knowledge. For native English speaker teachers, in many Asian contexts they still do not possess the qualifications necessary for employment in other parts of the world. There are encouraging signs that this is changing, but, due to the sheer numbers of students that need to be taught, it will take time. For both groups of teachers, it is clear there is a pressing need for meaningful professional development.

However, many researchers (Colbert, Brown, Choi & Thomas, 2008; Ryan & Cooper, 2010) have perceived such programs as something done to teachers rather than by them. In other words, they are often top-down programs that are planned and designed by higher education administrators whose aims and objectives have never been discussed or shared with

teachers at the planning stage. Researchers such as Lee (2011) view the involvement of teachers in professional development at the planning stages as crucial to its success.

While it is not merely a matter of who is presenting in CPD seminars that makes the difference, the process of teacher learning can be enhanced by having teachers engage in professional sharing and critical reflection and by helping them connect knowledge to unique contexts. As teachers take a more active role in their CPD by engaging in professional sharing with their peers, they also build a collaborative culture and foster learning in professional learning communities.

### **Societal changes leading to possibilities and opportunities**

Values can change in response to environmental possibilities (Littrell, 2005; Han, 2016). Social change in countries such as China and Korea, for example, including globalisation and neoliberalism, and their enthusiasm for high education are resulting in changes to ideas of good education and desirable teacher and student roles and identities. Their university culture is now said to be at the centre of a mixture of traditional values and current liberalism, individualism and equalitarianism. Lecturers seek to promote communication-based reciprocal teaching and learning, so their dominant teaching and learning theme is deemed to be constructivist (Han, 2007). Blended learning is being increasingly promoted, to increase feedback exchanges between the lecturers and the students. Given that all Asian societies are also changing under the influence of globalisation and modern ideas, their learners may share some similar values and expectations.

### **Policy changes leading to possibilities and opportunities**

Masino and Niño-Zarazúa (2016) conducted a systematic review to identify policy interventions that improve education quality and student learning in developing countries. They highlighted three main drivers of change of education quality: (1) supply-side capability interventions that operate through the provision of physical and human resources, and learning materials; (2) policies that through incentives seek to influence behaviour and intertemporal preferences of teachers, households, and students; (3) bottom-up and top-down participatory and community management interventions, which operate through decentralisation reforms, knowledge diffusion, and increased community participation in the management of education systems. Overall, these findings suggest that interventions are more effective at improving student performance and learning when social norms and intertemporal choices are factored in the design of education policies, and when two or more drivers of change are combined. Thus, supply-side interventions alone are less effective than when complemented by community participation or incentives that shift preferences and behaviours.

### **Research context**

China is at a critical juncture in education reform. One in every five of the world's college students is said to be in China (Zhao, 2016). The total number of college students in China in 2015 was 37 million, easily the world's largest student population. The number of colleges and universities in China in the same year, 2015, was at least 2,900, according to the Ministry of Education (Zhao, 2016), with the number growing every year. According to the World Economic Forum, in 2017, the number of graduates from Chinese universities stood at 8 million, more than double that of the US (Stapleton, 2017). This has placed considerable pressure on the system to reform its teaching practices.

The university in this study, established in 2012, is a public institution with a student cohort of approximately 4,000 students. Thus, the university is expanding quickly, thanks in no small part to generous government funding. Goals are clearly defined by the institution, and this, in tandem with a dynamic leadership, is why expansion is happening successfully. A university with research, innovation and entrepreneurship as its mission, it has a male-female student ratio of 3:1. Chemistry, Physics and Communications Engineering are the top three programs studied by students. In the regular curriculum, the chief characteristics of the university's undergraduate education are the high prevalence of small classes (twenty students or fewer), the expansion of English a medium of instruction, and the intensification of its math courses. The low student-professor ratio (1:10) provides students with abundant opportunities to interact with their professors and enhance their higher-order intellectual skills. Approximately eighty percent of the university's graduates undertake graduate studies abroad, primarily in the US.

The university plans to intensify English education and to conduct all courses in English, to further its aim of mentoring its students as global leaders. To this end, students in their first two years are required to take intensive English courses. Upon entering the university, freshmen must take a placement test for English. All of this serves to increase the burden of expectations placed upon the English teachers. English teachers were, until two years ago, mainly native Chinese speakers, but now native English speakers comprise approximately two thirds of the English teaching faculty, the result of a university push to satisfy the demands of parents and students. Half of the English native speaker teachers are employed

directly by the university, and half have been supplied by an outside recruitment agency, which is what many universities in China do.

This study takes place in the context of frequently changing policies and requirements for English language instruction as a subject. How does this impact teachers' sense of professionalism?

### **Research question**

This study addresses the following two research questions: (a) what are the opportunities and challenges for the professional development of teachers in a mainland Chinese university and (b) do Chinese and native speaker teachers of English face mainly similar, or different, opportunities and challenges in the field of professional development?

The first research question aims to explore the current situation on the professional development of teachers and what the opportunities of and challenges for the professional development of teacher educators are. The understanding of the responses to the first research question can be seen as a foundation for the understanding of the second research question.

### **Method**

This study involved a longitudinal study for more than six months in a university in southern China, of five native English speaker teachers and five Chinese teachers of English language in the university. Observations, interviews with the teachers and with two trainers, in addition to document analysis, were employed to capture the teachers' thoughts, actions and especially group interactions in trying to understand and implement this new professional development practice. The practice involved mentoring (Chinese teachers mentoring non-Chinese teachers, long-serving teachers mentoring newly-hired teachers), as well as continuous professional development (workshops, seminars, group reflection etc.) throughout the six months of the study.

All of the above facilitated narrative enquiry. Narrative is a pathway to disclose "how we see ourselves and how we view ourselves with respect to others" (Vasquez, 2011: 543). In this sense, the interview was an appropriate method, enabling teachers to reflect on any changes they experienced. The participants' worldviews were disclosed and their experience and positioning with others and revealed the "evaluative and ideological" discourses embedded in their identities (Maybin, 2004:70).

Data analysis methods included: transcribing interview and observation data; writing analytical memos after each observation, interview and document analysis; keeping constant dialogue with the existing research findings and theories as well as the author's own personal experience and insights. Throughout this research, a social constructivist approach was taken of these teachers' responses to a top-down initiated reform practice. While keeping theoretical framework and concerns in mind, special attention was paid to these teachers' native concepts. These concepts were used as the codes and categories for data analysis, in addition to other related concepts and theories in the existing literature.

As for the validity of the research findings, triangulation of different data sources from different participants was used. Preliminary findings were fed back to the participating teachers for verification and falsification, and findings were revised accordingly. As China is a huge country with a lot of regional disparities in education, it is not claimed that the findings from teachers in the university in the study represent all teachers in all universities in China, although they may shed light on the phenomenon under study.

### **Results and discussion**

The study found that despite some clear views on how professional development can help teachers be more effective, it was also evident from the interview responses that there were barriers to ensuring quality, equal treatment and the future development of teaching. This largely centred around issues of continuous professional development and differences between native and non-native speaker teachers, as well as between those employed directly by the university and those on secondment to the university through an outside agency. Issues of intercultural communication are the first ones to arise.

#### **Intercultural communication**

Xu, a Chinese teacher, was at first sceptical about being asked to mentor Amy, as she felt she wouldn't be listened to. However, after two months, her attitude had changed completely:

*'Collaborating with Amy is my first experience of working closely with a non-Chinese colleague on English teaching and learning. Through her, I have learned many useful skills and activities and most importantly, I understand how the two of*

*us share some of the same ideas about English teaching. Of course, we think differently about some things. Her comments prompted me to rethink many things that I took for granted, and her caring personality makes me, an older teacher, feel respected and treated as a mentor. This is a fascinating experience of intercultural professional learning. I think I'd like to do some teacher training in the future. I didn't think it would work, but it has!*

Amy had a similarly positive experience with her mentor, Xu:

*'Working with Xu has been important to me in a number of ways. Firstly, it shifted stereotypes I had held, such as "all Chinese teachers teach by standing in front of the class and lecturing", when clearly Xu didn't teach that way at all! Secondly, I learned how I need to adapt to the Chinese context. I love the personal challenge, knowing that I need to learn a lot about this incredible culture, and I am so fortunate Xu is helping me navigate it. We each understand so much more about the other's point of view.'*

One of the positive results of this was that a renowned researcher in the field of intercultural communication was invited by one of the Chinese teachers to give a guest lecture to students at the university, as it was felt that students, just as much as teachers, could benefit from a greater awareness of intercultural issues.

### **Stakeholder expectations and the role of teachers**

The University's strategy is to ensure that the learning experience of students is a relevant fit in an increasingly globalized world. In particular, the university leadership wants to ensure that students are prepared for academic migration upon graduation, to undertake doctoral studies in English-speaking countries, at some of the world's top universities. Students need to develop new knowledge, skills, and attributes which prepare them for this new world. This means, as Nick acknowledges, that they need to be taught in ways that are different from those traditionally associated with University education:

*'First, the world is changing, and our teaching methodology needs to keep pace, especially when it comes to technology. Second, our students are changing, and we need to be constantly aware of their changing needs and expectations. I've appreciated the workshops which deal with the areas I need to develop in, and would suggest we have follow-up workshops, refreshers, on those areas next semester. My students have benefitted too, and it makes me feel part of the team, the Centre and the university.'*

Nick, an agency teacher, was one of only two agency teachers to regularly attend professional development sessions. When asked why there was such a low take-up rate amongst his colleagues, he believed that:

*'For so many agency teachers, not just here, but the ones I know in other universities, they won't be involved because of the time commitment. They will just go and find another teaching gig in that time, as salaries aren't that high in China. They know even if they don't have good teaching evaluations they will be employed again next semester, because there is a great demand. Also, nobody will recognise them or reward them, so they figure why should they?'*

It is clear from this that not everyone wants to avail of the opportunities afforded by professional development. This highlights the need to link student assessment of teaching effectiveness to professional development continual improvement. But then the question arises do these assessments necessarily translate into teaching improvement? These questions will continue to knock on our doors as we witness progresses of faculty professional development experimentation in Chinese universities well into the future.

Yohet, a Chinese teacher, found professional development to be effective and noted how it changes her perception of her role as a teacher:

*'Before, I just came to class, taught the class, and left. Like most teachers, I didn't always stay for office hours. However, I now realise that it's important to be more accessible to students, and I think PD has helped me understand my role as a teacher is also pastoral.'*

Wanda, one of the international training providers, was somewhat frustrated by her experience with the teachers:

*'What surprised me was that, generally, the Chinese teachers were more qualified in terms of degree level than the foreign teachers, but that everyone expected everything to be spoon-fed to them. There wasn't the same level of motivation that I have encountered with groups of teachers of all nationalities in other countries, and perhaps it is because English language teachers do not seem to be as valued here in China. They seem to be expected to just teach anything, like robots, and this*

*is the first experience for most of them of real professional development. By the end of the course, I noticed a difference, as they could see how they had improved, and I will make myself available online for them. They were surprised by that.'*

It is clear from what Wanda is saying, which was reiterated by the second trainer, that teachers need to feel valued, and that they also need career development opportunities provided to them, in order to be motivated in their work. However, opportunities for many teachers as few and far between, as shall be discussed below.

### **Lack of a level playing field**

Career development is important for most people in their field of work, and this is no less true for teachers. However, what emerged over the course of this study is that there is a dichotomy between opportunities available for Chinese and non-Chinese teachers, as Rob explains:

*'I want to do a good job, and I want to be acknowledged for it. However, there are absolutely no opportunities for promotion for me at this university. Only when the director of the language centre pointed out to university administration that it wasn't fair that the annual teaching competition wasn't open to non-Chinese teachers and argued for inclusion was this allowed to happen. Also, for English teachers, all the funding available for research, which isn't as much for language as it is for other subjects, is only available to Chinese teachers. How unfair is that?'*

Flynn, a Chinese teacher, also bemoaned the dearth of opportunities for career advancement:

*'Only because we have a language centre director who fights for our interests do we have a chance, but she encounters a lot of opposition. It is so difficult to move up the career ladder here, and I am ambitious, as are many Chinese teachers. However, we are just told to teach. There is a complete lack of understanding that teaching should go hand in hand with research, professional development and career opportunities. Because we are not mathematicians or chemists, it doesn't seem to be important. But they will see that their good teachers will leave. I know some who are already making plans, even to leave the teaching profession.'*

It is clear from the above that career inducements are not forthcoming to language teachers. Additionally, non-Chinese teachers are mainly employed on one-year contracts, unlike their Chinese counterparts, who have standard three-year contracts, thereby making sustainability of teaching and learning initiatives a much more difficult proposition, as well as making the argument for devoting more time to greater professional development opportunities one that is more difficult to advocate for. All of this can have a knock-on impact on the quality of teaching and learning.

### **Perceived barriers to improving the quality of teaching and learning**

In line with other investigations on teacher education and professional development of foreign language teachers in China, we can find that the university administration wants the methods adopted in teacher professional development to follow the traditional way which emphasises the impact of such professional development on teachers' pedagogical knowledge and teaching skill. This neglects the impact on the promotion for teachers' cognition, emotion, attitude and self-development, and, although the professional development in this university for English language teachers has endeavoured to address this, there is an uphill battle. This hinders the development of teachers to a certain extent. However, the many curriculum reforms being imposed by administration require teachers to renew teaching ideas, implement new curriculums creatively, update educational concepts, reset their roles and innovate in approaches of their professional development. All of this creates additional pressure on teachers who already feel overburdened.

### **Publish or perish pressure for Chinese faculty**

To boost their research productivity, Chinese universities are putting great pressure on their faculty to publish in internationally indexed journals. However, the emerging publish-or-perish culture in China has been evolving differently for Chinese teachers of English, who, unlike their counterparts who teach other subjects, are not usually seen as either research track or tenure track, are expected to teach more classes than before, due to the increased number of hours of English language instruction for students, to greater numbers of students, and yet who are, in the words of three of the teachers in this study, viewed 'as second class citizens', expected to publish but rarely provided with the time or research grants their colleagues in other disciplines enjoy.

Consequently, the Chinese participants were reluctant to spend time on other academic activities, including professional development, as indicated by Eric:

*'The course designed for us was a very good one, particularly as we had some input into what we wanted to learn. However, I had to drop out of the course after a few weeks, because I need to complete my research and publish. If I don't, I won't be considered for future projects. I want to develop professionally, but I just can't find the time. Research first.'*

They also reported considerable work time devoted to writing, which resulted in fatigue and negatively affected family relations. The participants admitted that they had to rush to publish, and therefore were less likely to produce papers of better quality, as Jenny frankly states:

*'I know that I'm not producing the best quality papers, but I'm determined to be promoted. It's so difficult for us English faculty, because we are not seen as tenure-track or research track, and yet we are evaluated every year on our research output as much as our teaching. I have no time for anything else in my life at work, so my students and my professional development are suffering, and my home life is suffering, trying to juggle it all.'*

This serves to underscore Chinese universities' increasing use of the number of international publications as a major assessment and incentive measurement of their faculties' academic performance. Teaching and professional learning are still not receiving the recognition they deserve from administrators.

### Recommendations

Improving university instruction and research quality is an area of growing concern for government policymakers and planners, higher education administrators, faculty members, students and the community at large. In this article we examined the global literature on this topic, with a specific focus on the professional development of teaching and research within universities. While many ideas can be learned from the university in this study, a few recommendations are highlighted that higher education administrators should consider when establishing or strengthening university-based professional development. Each of these recommendations is broad enough to apply to different country contexts as well as institutional types—regardless of whether the university is private or public.

It is no secret that teacher professional development is an essential element in the teaching and learning process and should have an effect on student performance. It is supposed to help teachers improve their skills, knowledge and teaching practices. Yet, most of the programs and courses planned for this purpose lack the engagement of teachers in the planning process and indeed, in other phases of the process also. What matters at the end is what teachers learn and acquire and the way they transfer this new knowledge into the classroom. One main aspect that policymakers have not probably well-considered in planning for educational reforms throughout the world in general and in China in particular is the lack of research studies in education, as research in science, engineering and mathematics has traditionally been more valued. Local studies based on real data in Chinese university contexts are essential if solutions for more promising outcomes are the ultimate goal of the reform.

Teacher professional development is planned and designed to help teachers improve their pedagogical knowledge and skills and then to translate their new understanding into classroom teaching and practices. Consequently, this improvement is expected to impact positively on students' learning outcomes. Therefore, it is of high importance to investigate teachers' existing knowledge and experiences and build on them at the planning phase of any professional growth program. Programs need to be customized to fit into the individual and subject-knowledge requirements. As it is the case with accommodating to students' learning styles, literature is also replete with research studies that emphasize the necessity to match one's teaching styles to his/her learning styles. Therefore, one size does not fit all when it comes to professional development.

Teachers' beliefs and attitudes are major factors in any educational reform. Therefore, it stands to reason that teachers need to be convinced of the reasons for the change imposed on them. They need to believe in the credibility of any designed training course in providing them with new opportunities for learning, recertification and salary increments, as well as individual growth. If there are no career inducements for teachers, it is unlikely that professional development programs will have a wide impact.

Policy makers and university administration should be aware that learning is a long-term process. Assuming immediate positive results of students' performance after a well-planned professional development program is by no means possible. Variables other than any specific program might have larger impact on students' academic performance such as parents' educational and social backgrounds, students' motivations and interests, students' learning styles or the classroom size. More importantly, the link between what teachers have learned and acquired in a certain professional development program does not necessarily have a direct impact on students' academic performance. Teachers might have developed and gained

other skills and knowledge that would affect the classroom teaching and practices in a different aspect. As a result, a well-designed follow up strategy of teachers' development might provide a better understanding of what worked well in the training programs and highlight areas of concern to be tackled in the future.

It is more effective to have multiple professional development offerings rather than a single option. Multiple professional development approaches to improving teaching and research include individual counselling and mentoring services, online training seminars, podcasts, peer reviews; courses on optimal use of research and instructional best practices; access to the latest research and instructional software; and university wide training workshops. With the trend towards increasing teaching and research workloads of tenure-track and non-tenure-track faculty members, it is especially important that professional development reaches out, communicate, respond, and provide solutions, guidance and technical assistance. Professional development centres can help support all university personnel.

However, effective professional development requires top-level administrative support from the university, for example, a vice-chancellor or provost. This often helps secure the institutional and financial support needed to be able to outreach to the various schools, colleges and departments across large campuses. Regardless whether the institution is considered public or private, top-level administrative support is essential for long-term sustainable change and in ensuring that professional development is considered central to the university's mission. Without top-level administrative support, universities often consider professional development programmes as secondary to the central research and instructional focus of world-class universities.

### Conclusion

Possessing expertise in education reforms provides no guarantee of having the capacities, attitudes, and cultural sensitivities needed to facilitate change across cultural contexts, which at the policy level seems largely assumed. Universities that value student exposure to native speaker teachers may not want or require a teacher with an ambitious change agenda. Conversely, universities that aim to implement specific reforms, such as standards-based assessment or English medium instruction, may benefit from native speaker teachers possessing such expertise and experience. However, there needs to be a more level playing field in terms of opportunities provided to both native speaker and non-native speaker teachers, be that in terms of promotions, salary increments or opportunities for conference attendance, research funding etc.

So, while recognising the limitations in the data discussed, and despite the limited scope and exploratory nature of these findings, it is argued that this paper can still provide greater understanding of the current situation of teaching in universities within mainland China. Structural and financial inequality was evident in the responses, and strategies for further professional development were being compromised in some areas. The findings also support the view from Reynolds et al. (2015) that teacher behaviour is influenced by their underlying attitudes and values, although more research is needed on the way in which the formation and expression of such values shapes, and is shaped by, the historical, social and political context, in which they work. It can be argued that this is especially needed in developing country contexts where little such research already exists.

What this study highlights is that successful professional development efforts are based on relationships. This is especially true in the Chinese context, where networking operates at a more intensive and pervasive level than elsewhere. Those managing professional development must have leadership style characteristics that are consultative and collaborative. Professional development administrators need to be able to adapt to the many unique challenges that faculty members and departments from many different backgrounds face, and also know how to work collaboratively with faculty members.

Professional development also needs to be able to reach out and meet the needs of individual faculty members. This one-on-one faculty mentoring and guidance model is often the most sustainable. Faculty members' instructional and research needs are often so unique that they cannot be grouped into entire department-wide training seminars. Finding ways to best meet the various and disparate needs of so many faculty members is a constant challenge for professional development, yet, if viewed as an opportunity, long-term success can ensue.

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## Separation of Powers in the Kuwaiti Criminal Justice System: a Case Study

Abdulrahman F S H Alhajri

### Abstract

Discussions of the Separation of Powers (SOP) tend to be related to the administrative state, at the expense of the criminal state. This research addresses the question of separating powers within the criminal justice system of Kuwait, examining the function of this division and the structures that are designed to protect the rights of citizens. Despite being regulated according to democratic principles, the criminal justice system of Kuwait has been described as excessively controlled by executive bodies. Currently, there appears to be a lack of research explaining how numerous criminal justice bodies in Kuwait can effectively promote the principles of freedom, democracy, and equality before the law. The proposed research aims to provide insights into the SOP between institutions and to assess its effectiveness in addressing the principles stated in the Constitution of Kuwait. The origins of the modern Kuwaiti criminal justice system will also be explored, with a focus on British Jurisdiction (as a past influence) and French, Egyptian and Islamic law (as continuing influences). This development history makes Kuwait an excellent example of the diffusion of law, which, although it has been investigated widely, is still a topic of interest among modern researchers, alongside human rights and their protection through the criminal law system. This is one of the first studies to discuss the SOP in the Kuwaiti criminal justice system as a mixed phenomenon that can influence the protection of Kuwaiti citizens' human rights at each stage of law enforcement and prosecution.

**Keywords:** Separation of Powers, Criminal Justice System, law.

### Introduction

The Separation of Powers (SOP) in a criminal justice system can be regarded as a method of protecting citizens' rights from bias, corruption, and inequality in judging.<sup>1</sup> The history of the phenomenon has involved several milestones and was the product of the minds of multiple notable figures. For example, Aristotle introduced a number of constitution-related ideas in his *Politics*, especially in books two – seven, which considered citizenship, types of regimes, and constitution. With respect to SOP, the author distinguished between “the deliberative body, the magistracies and the judges” in book four, suggesting that such separation could prevent absolute power.<sup>2</sup> Furthermore, in his criticism of the then-existing patriarchal system of power, Locke focused on SOP in the context of legislation and formulated the “principle of legislative supremacy ... in the sense that it envisions the legislature as having an initiating place on the assembly line of law-making/law enforcement”<sup>3</sup>, arguing that an “authority that is able to give laws to others must necessarily be the superior of the latter.”<sup>4</sup> It can be suggested that Locke did not only try to separate the judiciary system; he also implied that there was a hierarchy of the branches of power, with judiciary being the “supreme power.”<sup>5</sup> However, the principle of separating powers was clearly formulated by Montesquieu, who focused on the idea of SOP between “the three sorts of power: the legislative; the executive in respect to things dependent on the law of nations; and the judiciary in regard to matters that depend on the civil law.”<sup>6</sup> Montesquieu based his view on a comprehensive analysis of a variety of systems, including ancient ones (for example, those of Romans and Barbarians)<sup>7</sup> and those that were contemporary at the time (for example, that of England).<sup>8</sup> While not the first to pinpoint the idea of SOP, Montesquieu is believed to be the first person to fully and explicitly

<sup>1</sup>David Samuels, 'Separation of Powers' in C Boix and SC Stokes (eds), *The Oxford Handbook of Comparative Politics* (OUP 2009) 703, 706.

<sup>2</sup>Aristotle, *Politics* (H. Rackham [transl]) (Cambridge University Press, 1932), at 1297b–1298a. See also Gerard Conway, 'Recovering a Separation of Powers in the European Union' (2011) 17 *European Law Journal* 304, 306.

<sup>3</sup>Jeremy Waldron, 'Separation of Powers in Thought and Practice' (2013) 54 *Boston College Law Review* 433, 441.

<sup>4</sup>John Locke, *Two Treatises On Government* (Industrial Systems Research 2009) at 188.

<sup>5</sup>*Ibid.*

<sup>6</sup>Charles Baron De Montesquieu, *The Spirit of Laws* (Cosimo 2011) at 151.

<sup>7</sup>*Ibid.* at 95.

<sup>8</sup>*Ibid.* at 151.

formulate the idea of tripartite SOP, aiming to “prevent the concentration of all power in the hands of a single ruler.”<sup>1</sup> It is also noteworthy that the practice of using SOP in Islamic countries started with Umar ibn Al-Khattab (634-644 AD), who was the second Caliph of Islam. He may have been the first person to implement a form of SOP, in particular, to isolate the judiciary from the executive branch.<sup>2</sup> This outcome was achieved by appointing both judges and governors in the provinces, both of which were supposed to be under the supervision of the Caliph.<sup>3</sup> This measure ensured their independence from each other, although, eventually, the judiciary depended on the Caliph. Thus, the Islamic roots of SOP can also be found, and they are related to the practice of SOP.

It can be suggested that the discussions around the SOP tend to be related to administrative or public law in the majority of cases. In her study, Barkow states that although scholars have written many works on the SOP in a state, they “have wholly ignored the criminal state.”<sup>4</sup> Barkow mentions at least a dozen works that illustrate her point, explaining that she had analysed only a small sample of the literature.<sup>5</sup> It is noteworthy that the majority of the works that she mentions were written in the previous century. Still, the issue appears to have been carried into the new century: the consideration of the administrative side of SOP is exemplified by multiple works, including those by Koven, Bruff, Kamali, and Tribe.<sup>6</sup> However, the criminal-matters perspective seems to be rarely mentioned. Articles by Haljan and Nelson and Ringsmuth can be used to illustrate works that do mention it, but such examples seem to be underrepresented, and they do not focus on the topic.<sup>7</sup> At the same time, it is important to achieve the SOP in the field of justice as it permits the judicial system to be relatively independent and it improves its legitimacy, which is highlighted, for example, by Hall.<sup>8</sup> An analysis of Ashworth’s conclusions can be interpreted to suggest that this importance also correlates with a history of challenges in ensuring the judiciary’s independence, which the author recognises as “failures of state-led criminal justice.”<sup>9</sup> These failures can be the result of the difficulties the judiciary experience in resisting external pressures, which the government is supposed to reduce, if not nullify. As suggested by Ashworth, “it should remain the responsibility of the state towards its citizens to ensure that justice is administered by independent and impartial tribunals.”<sup>10</sup> Apart from that, Barkow demonstrates that the administrative and criminal perspectives on the SOP are noticeably different, and in practice, few safeguards, including individual rights as delineated in the Constitution, are applied to the latter.<sup>11</sup> Thus, the author points out the tendency to ignore criminal-matter SOP, indicating the need to acknowledge and change the situation, which the proposed paper aspires to do.

The current research aims to examine how the SOP in the criminal justice system of Kuwait contributes to addressing citizens’ rights, with the focus on the principles mentioned in the Constitution of Kuwait. Article 50 of the Kuwaiti Constitution declares the principle of SOP at the level of the state: “In conformity with the provisions of the Constitution the system of government shall be established on the basis of separation and cooperation of powers”, and moreover, “No Authority shall be allowed to waive all or part of its jurisdiction as prescribed in this Constitution”.<sup>12</sup> Still, the legal background for the SOP principles in the state is not derived solely from the Constitution. Much attention will be paid to discussing the effect of

<sup>1</sup> Anthony Murphy and Alan Stoica, ‘Sovereignty: Constitutional and Historical Aspects’ (2015) 2 *Bulletin of the Transilvania University of Braşov* 219, 224.

<sup>2</sup> Myra Williamson, ‘The diffusion of Western Legal Concepts in Kuwait: Reflections on the State, the Legal System, and Legal Education’ in S Farran, J Gallen and C Rautenbach (eds), *The Diffusion of Law: The Movement of Laws and Norms around the World* (Routledge 2016) at 32.

<sup>3</sup> Sharifah Hayaati Syed Ismail al-Qudsy and Asmak Ab Rahman, ‘Effective Governance in the Era of Caliphate `Umar Ibn Al-Khattab (634-644)’ (2011) 18 *European Journal of Social Sciences* 612, 620; see also Ata urRehman, Mazlan Ibrahim and Ibrahim Abu Bakar, ‘The Concept of Independence of Judiciary in Islam’ (2013) 4 *International Journal of Business and Social Science* 67, 68.

<sup>4</sup> Rachel Barkow, ‘Separation of Powers and the Criminal Law’ (2006) 58 *Stanford Law Review* 989, 989.

<sup>5</sup> *Ibid.* at 992.

<sup>6</sup> Steven Koven, ‘Separation of Powers, Rule of Law, and the Bush Administration’ (2009) 11 *Public Integrity* 347-361; see also Harold Bruff, *Balance of Forces: Separation of Powers Law in the Administrative State*. (Carolina Academic Press 2006) 1-526; Mohammad Hashim Kamali, ‘Separation of Powers: An Islamic Perspective’ (2014) 5 *Islam and Civilisational Renewal* 471-488; Laurence Tribe, ‘Transcending the Youngstown Triptych: A Multidimensional Reappraisal of Separation of Powers Doctrine’ (2016) 126 *The Yale Law Journal Forum* 86-106.

<sup>7</sup> Done Haljan, *Separating Powers: International Law Before National Courts*, (Springer 2013) 230-231; see also Tom Clark, ‘The Separation of Powers, Court Curbing, and Judicial Legitimacy’ (2009) 53 *American Journal of Political Science* 971-989.

<sup>8</sup> Matthew Hall, ‘The Semiconstrained Court: Public Opinion, The Separation Of Powers, And The U.S. Supreme Court’s Fear Of Nonimplementation’ (2013) 58 *American Journal of Political Science* 352, 352-353; see also Clark, *supra* (n 15) 971, 971-989.

<sup>9</sup> Andrew Ashworth, ‘Responsibilities, Rights, and Restorative Justice’ (2002) 42 *British Journal of Criminology* 578, 590.

<sup>10</sup> *Ibid.* at 591.

<sup>11</sup> Barkow, *supra* (n 12) 989, 1031.

<sup>12</sup> Constitution of Kuwait, 1962, art. 50.

British Jurisdiction (as a past influence), as well as the continuing impact of the French and Egyptian law on the development of the criminal justice system in a country that gained independence from the United Kingdom in 1961.<sup>1</sup> Furthermore, it is important to take into account the fact that Kuwait is an Islamic country, but that Muslim law has a direct impact on only the country's family law.<sup>2</sup>

The proposed study will examine the extent to which an effective SOP exists in the Kuwaiti criminal justice system. The first step is a general overview of the intricate net of functions that are shared and divided between institutions and personnel, and which are typical of the country's criminal justice system. The second step is a discussion of critical issues in the system and its functioning, involving the question of the protection of citizens' rights. The Kuwaiti criminal justice system can be described as mixed in its origins.<sup>3</sup> Also, it is not fully protected from *over-bureaucratisation*, dishonest or wrongful conduct, possible biases, and unfairness.<sup>4</sup> Due to the significance of these challenges, the analysis of police structures, prosecutors' responsibilities, and the judiciary, with a focus on the role of Article 50 in determining the SOP, are the most important parts of this research.

Much attention should be paid to the role of prosecutors and the prosecutorial process in Kuwait, which are influenced by the traditions of French law. Discussion of this process allows conclusions to be drawn regarding the effectiveness of the SOP in Kuwait, with the focus on conducting unbiased crime-control procedures. The analysis should include a discussion of those aspects of the criminal justice system adopted in Kuwait that can lead to a reduction in the number of crimes against citizens' rights in the country.<sup>5</sup> In this context, the focus is on the resources that are available to representatives of different branches of the system for the purpose of organising an effective prosecutorial process and litigation. Finally, conclusions and recommendations need to be provided regarding the role of SOP in the criminal justice system in protecting Kuwaiti citizens' rights. The recommendations will be formulated referring to the analysis of the criminal justice system's mixed structure.

A certain typology of SOP assessment criteria is also proposed for the study. A most significant criterion is the level of the independence of the judiciary, which can be assessed by pinpointing the instances of supervision and control performed by other branches of power. In particular, in Kuwait, the procedures that are related to the appointments of judges imply a lack of judiciary independence from the executive power.<sup>6</sup> Thus, the procedures of the judiciary, including the appointment and removal of judges, can be reviewed to assess SOP. Apart from that, the management of cases, especially those related to political crimes, the protection of the rights of offenders and inmates, and the work of the appeal system, might signal independence issues. If miscarriages of justice can be pinpointed, they should also be analysed for external pressures. Finally, police conduct, including interrogation, is of interest for the study.

It should also be mentioned that the proposed study refers to the work of Barkow. The article considers the context of the United States, and Barkow notes that although the risk of abuse and prejudice can be reduced with SOP, "more stringent enforcement of the separation of powers in criminal cases" is required in the United States.<sup>7</sup> As a result, Barkow's work is not directly connected to the topic of the current research, but it may be helpful to consider the research and practice in the field of SOP in several countries to form the argument for Kuwait.

### **The Role of Separating Powers between Institutions in the Criminal Justice System**

Throughout its existence, the idea of SOP was adopted in a number of contexts, which allows conclusions to be drawn about its theoretical and practical value. A very early example of the use of SOP is the adoption of some of its elements (in particular, the separation of the judiciary from the executive branch) by Umar ibn Al-Khattab (634-644 AD).<sup>8</sup> There is some

<sup>1</sup> Nathan Brown, 'Mechanisms of Accountability in Arab Governance' (United Nations, 2001) accessed 25 December 2016, 1, 8; see also Ahmad Hijazi, 'Kuwait: Development from a Semitribal, Semicolonial Society to Democracy and Sovereignty' (1964) 13 *The American Journal of Comparative Law* 428, 437; Daniel Treisman, 'The Causes of Corruption: A Cross-National Study' (2000) 76 *Journal of Public Economics* 399, 403.

<sup>2</sup> Herbert Liebesny, *The Law of the Near and Middle East: Readings, Cases, and Materials* (SUNY Press 1975), 110; Nathan Brown, *The Rule of Law in the Arab World*, (Cambridge University Press 2006) at 132.

<sup>3</sup>Williamson, *supra* (n 10) at 41.

<sup>4</sup> Brown, *supra* (n 22) 159.

<sup>5</sup>Williamson, *supra* (n 10) at 36.

<sup>6</sup>Alkarama Foundation, 'Kuwait: Report submitted to the Human Rights Committee in the context of the third periodic review of Kuwait' (Alkarama Foundation, 2016) 12. Accessed 22 March 2017.

<sup>7</sup>Barkow, *supra* (n 12) at 990.

<sup>8</sup>Al-Qudsy and Rahman, *supra* (n 11) at 620; see also Rehman, Ibrahim and Bakar, *supra* (n 11) at 68.

debate on the topic: according to Rehman, Ibrahim, and Bakar,<sup>1</sup> one of the schools of thoughts argues that at that time of Umar ibn Al-Khattab, the judiciary was merged with the executive branch (which means that neither of them is controlling the other; they were just parts of the same branch). However, Rehman, Ibrahim, and Bakar highlight the evidence<sup>2</sup> which indicates that the caliphs did delegate part of their power to judges. Apart from that, the authors focus on the principles of justice from the Quran,<sup>3</sup> suggesting that in order to achieve justice, fairness, equity, and impartiality promoted by it, the judiciary needs to be independent.<sup>4</sup> The authors present a clear and logical argument, which is based on historical evidence and the analysis of Quran. Therefore, the Islamic roots of SOP practice may be present.

In the British and French law systems (which both developed their own monarchy-based SOP versions), the concept of the SOP was adopted in the wake of Montesquieu's argument regarding the potential of this system to protect citizens' rights.<sup>5</sup> It is noteworthy that France's legal-matters SOP refers back to the pre-revolutionary "parlements" that performed "regulated resistance," which modified the relationships between the monarchy and the nobility, according to Goldoni.<sup>6</sup> In addition, the SOP has been demonstrated to be a legitimate means of protecting democracy or, rather, limiting absolute power by making it impossible to concentrate power in one place.<sup>7</sup> As a result, the principle of the SOP is reflected in many modern constitutions, including those of the United Kingdom, the United States and France, among other countries. Therefore, it would be feasible to state that the SOP is typical of both common law and civil law systems.<sup>8</sup>

The aim of SOP, as pointed out by Montesquieu, is to "prevent the concentration of all power in the hands of a single ruler."<sup>9</sup> Therefore, SOP in a criminal justice system is meant to prevent power abuse and ensure the protection of the vulnerable populations.<sup>10</sup> The population that is involved in the criminal justice system is indeed particularly vulnerable and requires effective safeguards.<sup>11</sup> However, historically, SOP in criminal matters was not only largely ignored by the researchers;<sup>12</sup> it also proved to be difficult to maintain.<sup>13</sup> As a result, the present study intends to rectify this issue by attracting attention to criminal justice SOP and investigating related issues.

### The Concept of a Criminal Justice System and its Patterns

The term criminal justice that is employed in this paper can be defined as "the formal social institution designed to respond to deviance defined as crime."<sup>14</sup> The system is typically said to have three subsystems: "law enforcement, courts, and corrections."<sup>15</sup> The first one is concerned with enforcing laws, which is carried out by specific agencies through the activities related to crime: its prevention, detection, and response to it (investigation and apprehension).<sup>16</sup> The second one consists of the courts that uphold laws by resolving disputes,<sup>17</sup> and the third one is concerned with punitive operations, as well as rehabilitation.<sup>18</sup> Criminal justice systems are complex and vary from country to country. In the present study, the criminal justice system of Kuwait is going to be considered.

### Barkow's Review

The article by Rachel E. Barkow<sup>19</sup> presents a critical analysis of the classical approach to SOP and demonstrates the fact that criminal-matters SOP has the specific features that require a different approach. According to Barkow, the typical

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<sup>1</sup>Rehman, Ibrahim and Bakar, *supra* (n 11) at 68.

<sup>2</sup>*Ibid.* at 69.

<sup>3</sup>*Ibid.* at 70-71.

<sup>4</sup>*Ibid.* at 72.

<sup>5</sup> Marco Goldoni, 'Montesquieu and the French Model of Separation of Powers' (2013) 4 *Jurisprudence* 20, 22.

<sup>6</sup>*Ibid.* at 31.

<sup>7</sup>Michael Socarras, 'Judicial Modification of Statutes: A Separation of Powers Defense of Legislative Inefficiency' (1985) 4 *Yale Law & Policy Review* 228, 228-229; see also Samuels (n 1) 1; Conway, *supra* (n 2) at 306-307.

<sup>8</sup>Murphy and Stoica, *supra* (n 9) at 224.

<sup>9</sup>*Ibid.* 224.

<sup>10</sup>Samuels (n 1) at 706; see also Hall, *supra* (n 16) at 352-353; Clark, *supra* (n 15) 971, 971-989.

<sup>11</sup>Barkow, *supra* (n 12) 989, 995.

<sup>12</sup>*Ibid.* 991.

<sup>13</sup>Ashworth, *supra* (n 17) 578, 590; see also Barkow, *supra* (n 12) 989, 991.

<sup>14</sup>Lawrence Travis and Bradley Edwards, *Introduction to Criminal Justice* (Routledge 2014) at 3.

<sup>15</sup>*Ibid.* at 20.

<sup>16</sup>*Ibid.* at 54.

<sup>17</sup>*Ibid.* at 57.

<sup>18</sup>*Ibid.* at 62.

<sup>19</sup>Barkow, *supra* (n 12) 989, 989.

approach to SOP which is applied to administrative law consists of a relatively flexible “blending of powers” combined with regular checking aimed at ensuring the lack of power abuse. The flexibility can provide the opportunity to step back from full, complete SOP in order to enable the “government to respond more readily to criminal matters.”<sup>1</sup> On the other hand, an alternative approach would consist of strict adherence to SOP in criminal matters to ensure the lack of power abuse which, in this context, can have disastrous consequences. In other words, Barkow views SOP as a form of possible protection of the population from power abuse, which can technically be modified (be made less strict and more flexible) as long as it is combined with another safeguard (checks in the first example).

When analysing the SOP in the US, Barkow claims that the criminal-matters SOP happens to follow the flexible approach with the exception of checks, which the author defines as insufficient, claiming that only the Constitutional rights can be considered criminal-matters safeguards in the country.<sup>2</sup> According to the author, they are not sufficient when structural power abuse is concerned.<sup>3</sup> As a result, Barkow suggests that criminal-matters SOP is a field that needs separate, specific attention and consideration when determining its significance and potential forms, as well as safeguards.<sup>4</sup> The author criticises the lack of attention to the topic within academic literature, offers an analysis of the SOP that she observed in the US and proposes a different approach, as well as the justification of the reasons for her suggestions.

While the specifics of the US SOP are not pertinent to the present study, the rest of the article can be viewed as the framework adopted by the current investigation. In particular, Barkow claims that SOP in criminal matters is particularly important because of the potential negative outcomes (threat to human rights) of power abuse,<sup>5</sup> that strict SOP in criminal matters is a working mechanism for preventing power abuse because it directly prevents power from accumulating in a specific branch,<sup>6</sup> and that this approach would be functional within the criminal matters context specifically because of the features of that context.<sup>7</sup> Consequently, Barkow advocates for amore vigorous enforcement of SOP within the criminal-matters context.<sup>8</sup>

Barkow’s investigation is based on a literature review and analysis of the Constitution of the US, as well as some cases that illustrate her points. Despite this fact, Barkow’s work is of relevance to a study on Kuwait since certain similarities can be found in the development of the Kuwaiti SOP and that of other governments. For example, the process that characterises the development of the Kuwaiti SOP can be termed democratisation, which has been taking place in countries all over the world.<sup>9</sup> Also, Barkow provides a sound argument for the idea that criminal-matters SOP is strongly connected to, and even rooted in, the Constitution, which can be used to justify the approach used by the proposed study. Similarly, works by Samuels and Al-Zumai illustrate the way the constitutions of different countries, including Kuwait, establish the SOP principle.<sup>10</sup> Thus, Barkow’s work can be regarded as a framework that guides the current research from the point of view of its content and methodology.

### The Criminal Justice System of Kuwait

The criminal justice system of Kuwait includes the typical elements of such a system, that is, the law enforcement agencies, the courts, and the correctional institutions.<sup>11</sup> The Kuwaiti Penal Code (Law No. 16 of 1960) contains the information pertinent to crimes and penalties,<sup>12</sup> and the criminal procedures are guided by the Kuwait Code of Criminal Procedure (Law No. 17 of 1960).<sup>13</sup> Overall, however, very few recent resources are available on the topic of the criminal justice system in Kuwait. For example, when researching political crimes, which is one of the SOP criteria proposed within this research, a lack of

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<sup>1</sup>*Ibid.* at 992.

<sup>2</sup>*Ibid.* at 993.

<sup>3</sup>*Ibid.* at 1031.

<sup>4</sup>*Ibid.* at 993.

<sup>5</sup>*Ibid.* at 1012-1013, 1028-1029.

<sup>6</sup>*Ibid.* at 1032-1033.

<sup>7</sup>*Ibid.* at 996.

<sup>8</sup>*Ibid.* at 1053.

<sup>9</sup>Stepan et al., *supra* (n 40) 35, 46-47.

<sup>10</sup>Samuels, *supra* (n 1) 1-31; see also Al-Zumai, *supra* (n 40) at 5.

<sup>11</sup>John Morison and Brian Grimshaw, *Investigation, Process and Legal Standards within the Criminal Justice System in Kuwait* (Queen’s University Belfast, 2016) at 3.

<sup>12</sup>USA International Business Publications, *Kuwait justice system and national police handbook* (USA International Business Publications 2007) at 46.

<sup>13</sup>Kuwait, Law No. 17 of 1960: Code of Criminal Procedure, 1960, art. 1-75.

resources that would consider this phenomenon in Kuwait is apparent. The National Security Law,<sup>1</sup> which is the Law No. 31 of 1970 (Act Amending the Provisions of the Penal Code), seems to be dedicated to this topic. Indeed, the law focuses on the crimes that can be concerned with state security, describing them and stating the related punishments. The law has been labelled as insufficiently detailed and termed, which, according to specialists, might result in abuse.<sup>2</sup> Mousavi described an example in which a woman's tweet was reinterpreted to imply "reproach of the Prince person,"<sup>3</sup> which is punishable according to Article 25 of the law.<sup>4</sup> Moreover, since the term "political crime" is not used by the document, it is difficult to determine if this category of crime is specifically acknowledged and regulated by the Kuwaiti government. Secondary sources on the topic are also rather rare, which limits the ability of this study to assess the way political crimes are handled in the country. Thus, Kuwaiti criminal system can be viewed as understudied. However, a report developed with the help of the Kuwait International Legal Research Centre and the Queen's University of Belfast has provided a short overview of the system and its issues in 2016.<sup>5</sup>

One of the first issues that the report considers consists of the fact that the criminal justice system of Kuwait does not exhibit a "principled" or "coherent" structure, which is why some important elements are missing.<sup>6</sup> According to the report, this issue makes the strategic development of the system more difficult and hinders the process of policy formation.<sup>7</sup> Similarly, the authors mention the lack of officials' training, insufficient guidance (code of practice) for crime investigation, and resource shortages, as well as some more specific challenges.<sup>8</sup> The report focuses on issues without considering the positive elements. Still, the mentioned issues are important to review in the present research since they provide the opportunity for analysing the concerns of Kuwaiti criminal justice system, which may be pertinent to the analysis of its SOP. Apart from that, the Kuwaiti government and legal and academic communities have expressed the idea that the justice system of Kuwait requires some improvement.<sup>9</sup> Therefore, the analysis of the data from the report appears to be particularly important. The details about the elements of the Kuwaiti criminal justice system are presented below.

It is also noteworthy that Kuwait is a part of multiple international treaties and organisations, which have affected its criminal justice system. For example, Kuwait is a member of the Gulf Cooperation Council.<sup>10</sup> Similarly, it is a part of the United Nations, which means that it is also a member of a variety of affiliated entities, including, for instance, the United Nations Educational, Scientific and Cultural Organization or the United Nations Development Programme, which is reported to have particular influence in the country.<sup>11</sup> Regarding the relevant treaties, Kuwait has signed the Charter of the United Nations,<sup>12</sup> the Kyoto Protocol,<sup>13</sup> and the Convention against Torture<sup>14</sup> to name just a few relevant documents. The latter convention is connected, for instance, to the National Security Law No. 31/1970, which criminalises torture.<sup>15</sup> The legal education in Kuwait also incorporates international law courses.<sup>16</sup> Thus, Kuwait's criminal justice system has been impacted by the international influences.

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<sup>1</sup> Kuwait, Law No. 31 of 1970: Act Amending the Provisions of the Penal Code (National Security Law), 1970, art. 1-58.

<sup>2</sup> Mahmoud Rudi Mousavi, 'A Comparative Study between Kuwait and Britain Level of Understanding the Scope of Free Speech in Both Countries' (2016) 7 *International Journal of Educational Research and Reviews* 880, 884.

<sup>3</sup> *Ibid.* 883-884.

<sup>4</sup> Kuwait, Law No. 31 of 1970: Act Amending the Provisions of the Penal Code (National Security Law), 1970, art. 25.

<sup>5</sup> Morison and Grimshaw, *supra* (n 71) at 3.

<sup>6</sup> *Ibid.* at 7.

<sup>7</sup> *Ibid.* at 7.

<sup>8</sup> *Ibid.* at 7.

<sup>9</sup> Morison and Grimshaw, *supra* (n 71) at 5.

<sup>10</sup> Gulf Cooperation Council, 'Member States' (Gulf Cooperation Council, 2018), para. 6. accessed 18 March 2018.

<sup>11</sup> United Nations, 'The UN System in Kuwait' (United Nations, 2018), para. 1. accessed 18 March 2018.

<sup>12</sup> United Nations, 'Charter of the United Nations and Statute of the International Court of Justice' (United Nations, 2018), para. 1. accessed 18 March 2018

<sup>13</sup> United Nations, 'A Kyoto Protocol to the United Nations Framework Convention on Climate Change' (United Nations, 2018), para. 1. accessed 18 March 2018

<sup>14</sup> United Nations, 'Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment' (United Nations, 2018), para. 1. accessed 18 March 2018

<sup>15</sup> Kuwait, Law No. 31 of 1970: Act Amending the Provisions of the Penal Code (National Security Law), 1970, art. 53, 56.

<sup>16</sup> Williamson, *supra* (n 10) 43.

## Separation of Powers in Kuwait and Article 50 of the Constitution

In Kuwait, the history of the SOP is related to the history of the country and its constitution, and it can be regarded as an example of the democratisation of a monarchy.<sup>1</sup> Therefore, a brief history needs to be provided. Kuwait has a rich history that, among other things, involved being a centre of trade.<sup>2</sup> In 1938, oil was discovered in the area, which spurred on the country's economic growth after the Second World War.<sup>3</sup> This possibly facilitated the democratisation of the country, as exemplified by freedom of expression in the press, which has been greater than anywhere else in the Arab world since the previous century.<sup>4</sup> Apart from that, the proclamation of the country's independence in 1961 was a major step towards its democratisation.<sup>5</sup> Thus, the specifics of the country's economic and political development might have prepared it for the introduction of an increasingly independent SOP. Also, the development of education and increased awareness of political concepts has contributed to the process.<sup>6</sup> Similarly, the integration of Western liberal attitudes into the life of the people of Kuwait must have mirrored the adoption of the SOP, which may have seemed premature at the time but appears to have been carried out smoothly.<sup>7</sup> Here, it should be pointed out that citizenship of Kuwait is a birthright<sup>8</sup> connected to the nationality of the father of the child.<sup>9</sup> In other words, a child fathered by a Kuwaiti in any country is Kuwaiti; also, foundlings found in Kuwait are considered Kuwaiti.<sup>10</sup> Furthermore, Kuwaiti citizenship can be granted for prolonged residence in the country (at least 15 consecutive years for Arab people), for various services to Kuwait, and other factors.<sup>11</sup>

According to Barkow, in the United States, "the Constitution separates legislative, executive, and judicial power to prevent tyranny and protect liberty", and this principle works for many countries, including Kuwait.<sup>12</sup> The Constitution of Kuwait was adopted in 1962 after the country was proclaimed independent,<sup>13</sup> and the principles of the codified law system were reflected in its articles.<sup>14</sup> According to Hijazi, the Kuwaiti Constitution reflects and determines the approach to dividing powers in the country's criminal justice system.<sup>15</sup> Articles 6 and 7 state that Kuwait has a democratic government and its justice system is based on the principles of democracy and equality.<sup>16</sup> In addition, Article 8 of the Constitution notes that the state guarantees the security and protection of its citizens.<sup>17</sup>

Article 50 of the Constitution declares the principle of the SOP for the state, which is reflected in the criminal justice system.<sup>18</sup> Alhajeri demonstrates that the Constitution creates a threefold SOP and entrusts specific powers in its elements, whilst also requiring that they are independent of each other. In her article, Barkow also answers the question about the role of the Constitution in determining the SOP for the criminal justice system. She states that "each branch must agree before criminal power can be exercised against an individual. Congress must criminalise the conduct, the executive must decide to prosecute, and the judiciary (judges and juries) must convict".<sup>19</sup> The same approach is also followed in Kuwait because Parliament criminalises the conduct, guidelines for prosecutors are written according to the Constitution, and the judiciary is responsible for convicting, employing the principles of law adopted from the French and Egyptian systems.<sup>20</sup>

<sup>1</sup>Stepan et al., *supra* (n 40) at 45-47; see also Salameh and Al-sharah, *supra* (n 40) 57, 57-58.

<sup>2</sup>Rosemarie Zuhlan, *The Making of the Modern Gulf States* (Routledge 2016) at 24-27.

<sup>3</sup>Maria O'Shea, Michael Spilling and Marshall Cavendish, *Kuwait* (Routledge 2010) at 66-67; see also Michael Herb, *The Wages of Oil* (Cornell University Press 2014) 1-14; see also Jill Crystal, *Kuwait: The Transformation of an Oil State* (Routledge 2016) at 66-67.

<sup>4</sup>Michael Casey, *The History of Kuwait* (Greenwood Publishing Group 2007) at 70.

<sup>5</sup>Salameh and Al-sharah, *supra* (n 40) 57, 58.

<sup>6</sup>Salameh and Al-sharah, *supra* (n 40) 57, 59.

<sup>7</sup>Hijazi, *supra* (n 21) 428, 436.

<sup>8</sup>Constitution of Kuwait, 1962, art. 27-28.

<sup>9</sup>Kuwait, Nationality Law, 1959, art. 1-2.

<sup>10</sup>*Ibid.* art 3.

<sup>11</sup>*Ibid.* art. 4-5.

<sup>12</sup>Barkow, *supra* (n 12) 989, 990. See Constitution of Kuwait, 1962, art. 50

<sup>13</sup>Salameh and Al-sharah, *supra* (n 40) 57, 58.

<sup>14</sup>Hijazi, *supra* (n 21) 428, 437.

<sup>15</sup>*Ibid.* 437.

<sup>16</sup>Constitution of Kuwait, 1962, art. 6, 7.

<sup>17</sup>*Ibid.* art. 8.

<sup>18</sup>Masha'alhajeri, 'Judiciary and the Administration of Justice in Building and Construction Disputes Under Kuwaiti Law' (2008) 22 *Arab Law Quarterly* 199, 199-200.

<sup>19</sup>Barkow, *supra* (n 12) 989, 1017; see also John Manning, 'Separation of Powers as Ordinary Interpretation' (2011) 2 *Harvard Law Review* 1939, 1945.

<sup>20</sup>Abdul Reda, 'A Summary of the Legal and Judicial System in the State of Kuwait' (1991) 6 *Arab Law Quarterly* 267, 270.

An analysis of the Constitution of Kuwait reveals an important element of its articles: the figure of the Amir. The legislative power is “vested in the Amir and the National Assembly”;<sup>1</sup> the executive power “shall be vested in the Amir, the Cabinet and the Ministers”;<sup>2</sup> and the judicial power “shall be vested in the Courts in the Amir’s name.”<sup>3</sup> Article 56 also states that Ministers are appointed by the Amir, but the number of Ministers cannot be greater than one-third of the National Assembly, which is formed through “general direct secret ballot.”<sup>4</sup> Both males and females are allowed to vote after they reach the age of 21.<sup>5</sup> Thus, the people’s will is generally expressed by the National Assembly, and the suffrage of Kuwait is considered to be “near universal” and fair.<sup>6</sup>

With respect to legislation, the Amir has the right to propose, sanction, and promulgate laws, and laws can be submitted by the National Assembly to the Amir. Also, the Amir can produce a variety of decrees that can be used to enforce laws, regulations, and “other necessary rules.”<sup>7</sup> Thus, the legislative and executive powers are closely connected to the Amir, even though his power is balanced out by the Cabinet (chosen by himself, preferably from the National Assembly)<sup>8</sup> and the National Assembly (chosen by the people).<sup>9</sup> The candidates must be Kuwaiti, at least thirty years old, and fluent in Arabic; also, they have to correspond to the current requirements of the Electoral Law.<sup>10</sup> Overall, the Amir possesses great power, but the Constitution limits it notably.<sup>11</sup>

It is acknowledged that the Assembly “plays an active and substantive role in governance, both in legislating and in monitoring the government,” especially when compared to the activities of parliaments in other constitutional monarchies of the region.<sup>12</sup> In particular, the Amir’s decrees and the appointment of the Prime Minister can be controlled by the body to an extent.<sup>13</sup> More than that, in 2006 the National Assembly set forward the appointment of Amir Sheikh Sabah Al-Ahmad Al-Sabah, instead of the then-ailing Amir Sheikh Sa’ed Al-Abdulah Al-Sabah. This was considered an empowering step that signified a strengthening of democratic tendencies in Kuwait.<sup>14</sup> As a result, through the Assembly, the people became the source of sovereignty for the country.<sup>15</sup> According to Selvik and Alnajjar, the people of Kuwait can be characterised as politically active,<sup>16</sup> which appears to correspond to reality, despite the relatively subjective character of the term.

The Kuwaiti judiciary is supposed to be completely separated from the Amir, since “no Authority may wield any dominion over a Judge.”<sup>17</sup> But the judges are expected to perform their duties in the name of the Amir. Also, it is apparent that a country’s judicial system is unlikely to be completely immune to varied external forces.<sup>18</sup> Still, it can be stated that the Constitution of Kuwait postulates and demands the independence of the system from the direct influence of external forces, including the executive power.<sup>19</sup>

However, certain boundaries and obstacles to the continued development of Kuwaiti democracy have been identified, including political challenges (for example, power imbalances and a lack of unity in the opposition) and economic issues – the liberalisation of the economy is considered unfinished,<sup>20</sup> which means that the government is not ready to relinquish its control over a number of economic aspects, for example, lending rate ceilings.<sup>21</sup> As shown by Al-Zumai, both economic

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<sup>1</sup>Constitution of Kuwait, 1962, art. 51.

<sup>2</sup>*Ibid.* art. 52.

<sup>3</sup>*Ibid.* art. 53.

<sup>4</sup>*Ibid.* art. 56, 80.

<sup>5</sup>Freedom House, ‘Kuwait’ (Freedom House, 2016), para. 3. accessed 12 January 2017

<sup>6</sup>Stepan et al., *supra* (n 40) at 45.

<sup>7</sup>Constitution of Kuwait, 1962, art. 71-73.

<sup>8</sup>Constitution of Kuwait, 1962, art. 56.

<sup>9</sup>*Ibid.* art. 80.

<sup>10</sup>*Ibid.* art. 82.

<sup>11</sup>Salameh and Al-sharah, *supra* (n 40) 57,65.

<sup>12</sup>Al-Zumai, *supra* (n 40) at 2.

<sup>13</sup>Freedom House, *supra* (n 114) para. 3.

<sup>14</sup>Al-Zumai, *supra* (n 40) at 3; see also KjetilSelvik and Ghanim Alnajjar, ‘Kuwait: The Politics Of Crisis’ in KjetilSelvik and Bjørn Olav Utvik (eds), *Oil States in the New Middle East: Uprisings and stability* (Routledge 2015) at 100.

<sup>15</sup>Fadi Nader, ‘Kuwait: Human Rights Under the Constitution’ (2000) 7 *YB Islamic & Middle EL* 267, 267.

<sup>16</sup>Selvik and Alnajjar, *supra* (n 123) at 98.

<sup>17</sup>Constitution of Kuwait, 1962, art. 163.

<sup>18</sup>Hall, *supra* (n 16) at 364.

<sup>19</sup>Alkarama Foundation, *supra* (n 26) at 12.

<sup>20</sup>Al-Zumai, *supra* (n 40) at 1, 3.

<sup>21</sup>International Monetary Fund, *Kuwait: Selected Issues and Statistical Appendix* (International Monetary Fund 2012) at 51.

and political issues tend to weaken the development of democracy, including the empowerment of Kuwaiti parliament and voters,<sup>1</sup> which eventually hinders effective SOP. It has been established that the Amir still holds impressive power, which is enhanced by the extensive involvement of the country's princes in political matters as Ministers.<sup>2</sup> Also, a number of setbacks before 1992 involved unconstitutional dissolutions of the Assembly.<sup>3</sup> Fortunately, the new century has seen only constitutional dissolutions.<sup>4</sup> As a result, the democratisation of the country is incomplete.

The analysis of key governmental bodies also indicates that majoritarianism appears to be present in the Kuwaiti political system. Majoritarianism can be defined as an approach to politics that favours a particular majority, resulting in that majority being able to influence a country's politics to a greater extent.<sup>5</sup> Given the fact that judges are not immune to these influences, majoritarianism is clearly an issue for SOP in criminal law. This is especially true for Egyptian judges in Kuwait, who are particularly unwilling to disturb the powerful groups of the country because the salary of a judge is greater in Kuwait than in Egypt.<sup>6</sup> As pointed out by Ashworth and Horder, the "individuals whose preferences are at odds with those of the majority" are bound to "lose out" in the case of democratic or participatory decision-making.<sup>7</sup> Thus, the main problem with majoritarianism is the neglect of minorities, which attracts criticism and calls for an approach that is more representative.<sup>8</sup> It is noteworthy that offenders are a minority, and from the perspective of the criticism of majoritarianism, a balance between the protection of the majority and the human rights of both groups needs to be found.<sup>9</sup> In general, majoritarianism is relatively typical for Asian countries, and Kuwait does not appear to be an exception.<sup>10</sup>

To sum up, the existing state of affairs in Kuwait cannot be regarded as an illustration of the theoretically ideal SOP, even though it has travelled a long way from the archetypical monarchy.<sup>11</sup> Nowadays, liberal tendencies in Kuwait remain strong<sup>12</sup> despite the difficulties in establishing them<sup>13</sup> and the fact that the United Nations insist on the further development of democratic governance in the country,<sup>14</sup> which is its policy in the Asian region in general.<sup>15</sup> Kuwait seems to respond favourably to such comments as it tends to highlight the importance of freedoms<sup>16</sup> and equality<sup>17</sup> for its population, while also emphasising its agreement with the UN.<sup>18</sup>

It is important to note that, according to Conway, no currently existing system has managed to achieve the pure threefold SOP that, according to the author, exists only theoretically,<sup>19</sup> and this results in both risks and benefits for citizens. Similarly, Daugherty points out that separating the judicial branch from the executive one is a necessity, but one that is not always possible, providing an example of a politically-influenced case of criminal prosecution.<sup>20</sup> Therefore, the issues that are experienced by Kuwait do not indicate the impossibility of change and, in fact, signify a room for improvement.

<sup>1</sup> Al-Zumai, *supra* (n 40) at 1, 3.

<sup>2</sup> Stepan et al., *supra* (n 40) 35, 46-47.

<sup>3</sup> Al-Zumai, *supra* (n 40) at 5; see also Salameh and Al-sharah, *supra* (n 40) 57, 66.

<sup>4</sup> Al-Zumai, *supra* (n 40) at 2.

<sup>5</sup> Petra Schleiter and Valerie Belu, 'The Decline of Majoritarianism in the UK and the Fixed-term Parliaments Act' (2016) 69 *Parliamentary Affairs* 36, 36-38.

<sup>6</sup> Brown, *supra* (n 22) at 159-160.

<sup>7</sup> Andrew Ashworth and Jeremy Horder, *Principles of Criminal Law* (OUP 2013), 26.

<sup>8</sup> Matthew Hall and Joseph Ura, 'Judicial Majoritarianism' (2015) 77 *The Journal of Politics* 818, 823.

<sup>9</sup> Andrew Ashworth, Lucia Zedner and Patrick Tomlin, *Prevention and the Limits of the Criminal Law* (OUP Oxford 2013), 89.

<sup>10</sup> Omar Dajani, 'The Middle East's Majority Problems: Minoritarian Regimes and the Threat of Democracy' (2015) 38 *Ethnic and Racial Studies* 2516, 2527.

<sup>11</sup> Kristian Ulrichsen, 'Politics and Opposition in Kuwait: Continuity and Change' (2014) 4 *Journal of Arabian Studies* 214, 214-217.

<sup>12</sup> Meir Hatina and Christoph Schumann, *Arab Liberal Thought after 1967* (Springer 2015) at 4-8, 102-103

<sup>13</sup> Brown, *supra* (n 22) at 158.

<sup>14</sup> Executive Board of the United Nations Development Programme, the United Nations Population Fund and the United Nations Office for Project Services, 'Draft Country Programme Document for the State of Kuwait (2015-2017)' (United Nations, 2014) at 23 accessed 18 January 2017

<sup>15</sup> Saikal A, 'Authoritarianism, Revolution and Democracy: Egypt and Beyond' (2011) 65 *Australian Journal of International Affairs* 530-544. See also, UNDEF, 'Doers of Democracy - Asia & Pacific' (UNDEF, n.d.) accessed 17 February 2017

<sup>16</sup> His Highness Sheikh Naser Al-Mohammad Al-Ahmad Al-Sabah, Prime Minister, 'Statement Before The Sixty-Fifth Regular Session Of The United Nations General Assembly' (United Nations, 2010) at 3 accessed 12 February 2017.

<sup>17</sup> *Ibid.* 2.

<sup>18</sup> *Ibid.* 1.

<sup>19</sup> Conway, *supra* (n 2) at 322.

<sup>20</sup> Donald Daugherty, 'Separation of Powers and Abuses in Prosecutorial Discretion' (1988) 79 *Journal of Criminal Law and Criminology* 953, 994.

## The Past Influence of British Jurisdiction and the Continuing Impact of French, Egyptian, and Islamic Law on the Criminal Justice System of Kuwait in Terms of Separation of Powers

The current criminal justice system of Kuwait is based on contrasting principles of British Jurisdiction (as a past influence) as well as French, Egyptian and Islamic law (that can be described as continuing influences). This feature makes the criminal justice system in Kuwait rather unique in its diffusion and dependence on several different patterns, including the reference to civil codes and Islamic views.<sup>1</sup> Farran, Gallen, and Rautenbach<sup>2</sup> offer a collection of chapters that are devoted to different cases of law diffusion. One of them is Williamson's work,<sup>3</sup> which refers to Kuwait and considers the way that a variety of legal concepts are diffused within its legal system. The author also points out that scholars do not tend to have a unanimous opinion concerning the classification of the Kuwaiti legal system, which is common for the subject<sup>4</sup> but which results in very different appraisals of the share and influence of different sources of Kuwaiti law. The author mentions that some scholars, for example, Palmer, choose to highlight civil and Islamic law while, for example, the Central Intelligence Agency, which also devotes reports to the topic, emphasises common and French civil law.<sup>5</sup> According to Williamson, the country's history (in particular since colonisation and the restoration of independence) is responsible for the process of diffusion, and this process may explain "the discrepancies between these classifications."<sup>6</sup> The present section will consider all the pertinent influences that have had a major impact on Kuwaiti law.

### British Jurisdiction (Past Influence)

Kuwait used to be under the influence of the British Jurisdiction since 1925 and until the country became independent in 1961.<sup>7</sup> Technically, however, Kuwait was not colonised by Great Britain; instead, the two countries entered an Anglo-Kuwaiti Treaty, in which it was specified that Great Britain would provide protection but would not interfere with the internal affairs of Kuwait.<sup>8</sup> Great Britain had entered such treaties with multiple other countries, including, for example, Bahrain.<sup>9</sup> The treaties affected the external politics of the Gulf states,<sup>10</sup> but they were intended to have no consequences for their internal affairs, including positive ones.<sup>11</sup> It is noteworthy that the level of democracy in Bahrain<sup>12</sup> is considered to be lower than that in Kuwait.<sup>13</sup> For instance, in both countries, there is a constitution, a king (Bahrain) or Amir (Kuwait), a cabinet of ministers appointed by the king or Amir, and a National Assembly elected by the people. However, in Bahrain, the ministers constitute half of the government,<sup>14</sup> and in Kuwait, ministers can only take up one-third of it,<sup>15</sup> providing more power for the representatives of the people. Thus, the two countries that share similar history have moved in the same direction (towards complete independence and democracy), but Kuwait has moved further. It has been suggested that the activities of colonising countries could have been either beneficial or harmful for the development of democracy in a country.<sup>16</sup> Possibly, the lack of direct colonisation and the presence of only treaties reduced the potential negative impacts of outside influence on Kuwaiti democratic growth.

Thus, in Kuwait, the British Jurisdiction operated separately from the National one. In other words, between 1925 and 1961, the country had two separate and very different Jurisdictions,<sup>17</sup> the latter of which applied to predominantly to Kuwaiti

<sup>1</sup>Liebesny, *supra* (n 22) 110.

<sup>2</sup>Sue Farran, James Gallen, and Christa Rautenbach, *The Diffusion of Law: The Movement of Laws and Norms around the World* (Routledge 2016), 1-235.

<sup>3</sup>Williamson, *supra* (n 10) 25-41

<sup>4</sup>*Ibid.* at 41. More discussion in the subject see Esin Örüçü, 'What is a Mixed Legal System: Exclusion or Expansion' (2008) 12 *Electronic Journal of Comparative Law* 1, 3.

<sup>5</sup>Williamson, *supra* (n 10) 34. See also V.V. Palmer, 'Mixed legal system' in Bussani and Matei (eds), *The Cambridge Companion to Comparative Law* (Oxford University Press, 2012) at 381.

<sup>6</sup>Williamson, *supra* (n 10) 34-35

<sup>7</sup>*Ibid.* 27-28.

<sup>8</sup>*Ibid.* 34.

<sup>9</sup>Anthony Cordesman, *Bahrain, Oman, Qatar, And The UAE: Challenges of Security* (Routledge 2018) at 34.

<sup>10</sup>Carol Gillespie, *Bahrain* (Infobase Publishing 2009) at 35-36.

<sup>11</sup>*Ibid.* at 37-38.

<sup>12</sup>Freedom House, 'Bahrain' (Freedom House, 2016), para. 1. accessed 18 March 2018.

<sup>13</sup>Freedom House, *supra* (n 114) para. 3.

<sup>14</sup>Freedom House, *supra* (n 162) para. 5.

<sup>15</sup>Constitution of Kuwait, 1962, art. 56, 80.

<sup>16</sup>Cathy Elliot, *Democracy Promotion as Foreign Policy* (Routledge 2017) at 18-19; see also Ewa Atanassow, 'Colonization and Democracy: Tocqueville Reconsidered' (2017) 111 *American Political Science Review* 83, 83-96.

<sup>17</sup>Hijazi, *supra* (n 21) 428, 429.

citizens while the former was applicable to other groups, mostly British, Americans, Greeks, and some others.<sup>1</sup> According to the literature of the time, the National Jurisdiction was “relatively semitribal”<sup>2</sup> and had “no written laws, no procedure and no defined courts”<sup>3</sup> with the exception of the “personal status matters, which were and still are governed by Islamic law.”<sup>4</sup> The British Jurisdiction was based on English legal principles and mirrored the procedures and court functions of England.<sup>5</sup>

The two Jurisdictions worked together for mixed cases, but in general, the existence of two different jurisdictions led to problems and confusion.<sup>6</sup> Given the advantages of a system with written laws and defined procedures, the British Jurisdiction became popular in Kuwait, but consequently, it was also attacked by the nationalists because it was symbolic of potentially colonialist issues.<sup>7</sup> Again, Kuwait was not a colony; it was a party in a treaty with Great Britain, but at the time, the presence of the British Jurisdiction in Kuwait caused unease, especially among the nationalists.<sup>8</sup> As a result, in 1959, it was established that the British Jurisdiction in Kuwait would be repealed after a new working system would have been implemented,<sup>9</sup> and in 1961, the British Parliament officially fulfilled that promise.<sup>10</sup>

The British Jurisprudence legacy is multidimensional. According to Professor Abdullah Alnafisi, who is a former Parliament member of Kuwait, the influence of British specialists like John Richmond, George Middleton, Edward Heath, and William Loose illustrates that legacy. In particular, the named figures prompted the Amir to pursue democratic principles and freedom of the press.<sup>11</sup> On the other hand, there have been cases in which Britain hindered the development of SOP and democracy, for example, by ensuring the dissolution of the first Shura Council in Kuwait.<sup>12</sup> The Jurisdiction that was developed for Kuwait in the years following the decision to repeal British Jurisdiction was not based on the principles of the latter, which limits its impact on Kuwaiti legislation. However, it can be argued that the reason for choosing non-British legislation for Kuwaiti laws might be connected to colonialism and subsequent rejection of British Jurisdiction.<sup>13</sup> Thus, the choice of non-British legislation for Kuwait may have been the result of its presence in the country, which demonstrates that British Jurisdiction is an important influence on Kuwaiti laws.

### French Civil Law in Kuwait (Latin Civil Law)

The French law has served as an inspiration for the codified law of Kuwait in the majority of areas that do not cover personal status or financial matters (in particular, banking and tax legislation), which are governed by Islamic law.<sup>14</sup> This outcome was achieved indirectly: the legal system of Kuwait that was developed to supplant the British system was based on the Egyptian law, and the latter is noticeably inspired by the French law.<sup>15</sup> Other influences have also been noted; for example, the Kuwaiti Law of Commerce was created with the help of Iraqi law, which is also based on French legal principles.<sup>16</sup> In turn, a major source of the French law is the Roman law, which is associated with the prioritisation of functional codification.<sup>17</sup> Thus, the French law has influenced the Kuwaiti law indirectly through multiple sources while also bringing its own sources to have an impact as well.

According to Williamson, French law tends to be viewed as relatively less flexible and convenient than the British law. For example, the author notes certain French law-related drawbacks that can affect economic development. In particular, the British law is considered to be more business-friendly (providing “more adequate institutions for financial markets”) and implies less governmental interventions than the French law.<sup>18</sup> Williamson amends that this idea is supported by limited

<sup>1</sup>Williamson, *supra* (n 10) 35.

<sup>2</sup>Hijazi, *supra* (n 21) 428, 429.

<sup>3</sup>*Ibid.* 429.

<sup>4</sup>*Ibid.* 429.

<sup>5</sup>*Ibid.* 429.

<sup>6</sup>*Ibid.* 429-431.

<sup>7</sup>Miriam Joyce, *Kuwait* (Cass 1998) at 57.

<sup>8</sup>Williamson, *supra* (n 10) 36.

<sup>9</sup>Joyce, *supra* (n 174) 57.

<sup>10</sup>Hijazi, *supra* (n 21) 428, 434-435.

<sup>11</sup>Aljazeera Chanel, Program name is; the “Interview” published by Aljazeera on Mar 9, 2017.

<https://www.youtube.com/watch?v=GknsmbRss7o>

<sup>12</sup>Salameh and Al-sharah, *supra* (n 40) 57, 62.

<sup>13</sup>Joyce, *supra* (n 174) at 57.

<sup>14</sup>Williamson, *supra* (n 10) 34.

<sup>15</sup>*Ibid.* at 36.

<sup>16</sup>Isa Huneidi, ‘Twenty-Five Years of Civil Law System in Kuwait’ (1986) 2*Arab Law Quarterly* 216, 217.

<sup>17</sup>Eva Steiner, *French Law* (OUP 2018) at 28-30.

<sup>18</sup>Williamson, *supra* (n 10) 38.

evidence and can be contested, but the author also suggests that the Kuwaiti legal system might have inherited the issues related to the French law.<sup>1</sup> The author exemplifies this statement using the comments of the Oxford Business Group regarding the restrictive legislation in Kuwait that may result in challenges for the economic development of the country.

Admittedly, the report mentions some information about restrictive legislation, for example, that pertinent to insurance.<sup>2</sup> However, it also highlights some achievements in the field, including the movement of the tax legislation towards a more liberal one.<sup>3</sup> Therefore, it is difficult to assess the impact of French law on Kuwaiti legislation, but it is clearly present.

### **Egyptian Law and the Kuwaiti Civil Code Used by Judges**

The Egyptian law was particularly important for the development of the Kuwaiti legislation because the working system that was meant to supplant the British Jurisdictions in Kuwait was based on it. Indeed, Dr Abdel-Razzaq al-Sanhouri (a famous and accomplished<sup>4</sup> specialist from Egypt) was invited to develop the new Kuwaiti legislation, and since he was Egyptian, he used the Egyptian legal system for inspiration.<sup>5</sup>

Thus, the Egyptian Law assisted in the development of the codified Kuwaiti law in the non-personal status matters along with the French Law.<sup>6</sup> The Kuwaiti Civil Code was enacted in 1980.<sup>7</sup> It incorporates the general rules of Kuwaiti law; the more specific cases (for example, commercial transactions) are regulated by specific laws (for example, Commercial Code).<sup>8</sup>

The new system developed by Dr al-Sanhouri was based on non-Kuwaiti legislation rather heavily and was also implemented in a very short time,<sup>9</sup> which is why it was not assimilated easily and is sometimes described as unnecessarily complicated and cumbersome, as well as inflexible.<sup>10</sup> Williamson suggests that such a conclusion is largely warranted and uses the example of the ease of conducting business in the country to demonstrate that the process is more complicated in Kuwait than in New Zealand.<sup>11</sup> The lack of judges and lawyers in Kuwait was resolved by attracting Egyptian specialists, which is a decision that must have been necessary at the time, but which also required a different long-term solution.<sup>12</sup> In summary, the development of the new system was not very smooth, and some of the issues related to it have remained topical to this day.

### **Muslim Jurisprudence in Kuwait**

As mentioned, the Islamic law (Shari'a) dominated Kuwait until the middle of the previous century.<sup>13</sup> In fact, in the 1930s, the people of Kuwait petitioned for the introduction of a Shari'a-based political system.<sup>14</sup> The influence of the Muslim jurisprudence on modern Kuwait is notable;<sup>15</sup> in fact, it is explicitly stated in Article 2 of Constitution that the Islamic Shari'a is supposed to be a primary source of Kuwaiti legislation.<sup>16</sup> However, according to Williamson, Islamic Shari'a is a major but not the main source of Kuwaiti legislation; the author points out that it is used predominantly for personal-status matters and financial services (Islamic banking is very well-developed in the country).<sup>17</sup> In the end, the result of the law diffusion in Kuwait is a combination of Muslim law and French-Egyptian-based civil law.<sup>18</sup> In summary, the diffusion of law in Kuwait is

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<sup>1</sup>*Ibid.*

<sup>2</sup>Oxford Business Group, *Kuwait, 2013* (Oxford Business Group 2013) at 93.

<sup>3</sup>*Ibid.* at 206.

<sup>4</sup>Huneidi, *supra* (n 183) at 216.

<sup>5</sup>Williamson, *supra* (n 10) 36.

<sup>6</sup>Williamson, *supra* (n 10) 34.

<sup>7</sup>Kuwait, Decree Law No. 67 of 198, 1980, art. 1-3.

<sup>8</sup>USA International Business Publications, *supra* (n 72) at 44.

<sup>9</sup>Hijazi, *supra* (n 21) 428, 434.

<sup>10</sup>Williamson, *supra* (n 10) 36, 39.

<sup>11</sup>Williamson, *supra* (n 10) 36-37.

<sup>12</sup>Hijazi, *supra* (n 21) 428, 434.

<sup>13</sup>Mohammad Al-Moqatei, 'Introducing Islamic Law in the Arab Gulf States: A Case Study of Kuwait' (1989) 4*Arab Law Quarterly* 138, 138-139.

<sup>14</sup>*Ibid.* 140.

<sup>15</sup>Williamson, *supra* (n 10) 25-41.

<sup>16</sup>Constitution of Kuwait, 1962, art. 2.

<sup>17</sup>Williamson, *supra* (n 10) 34.

<sup>18</sup>Williamson, *supra* (n 10) 34.

the result of its history, the investigation of which can help to pinpoint and comprehend some of the challenges faced by the system nowadays.

### **The Kuwait Constitution as the Guarantor of Democracy and Citizens' Equality before the Law**

The Kuwait Constitution is the guarantor of democracy in the country, which can be proven with the help of Article 6, which states that the country's governmental system is democratic.<sup>1</sup> The rights of the population of Kuwait are proclaimed by Articles 27-46, which includes rights to privacy,<sup>2</sup> freedom,<sup>3</sup> trade unions,<sup>4</sup> freedom of religion,<sup>5</sup> expression,<sup>6</sup> opinion and press,<sup>7</sup> and so on. Also, the freedom from torture and the principle of no "punishment without law" are included in the Constitution.<sup>8</sup> Apart from that, the citizen's equality is directly stated in the Constitution's preamble and supported by Article 8,<sup>9</sup> which is concerned with equal opportunities, and Article 29,<sup>10</sup> which specifically points out the equality of the people of Kuwait "in the eyes of the Law." In summary, the Kuwait Constitution guarantees human rights, democracy, and citizen equality.

### **The Three Divisions of the Criminal Justice System in Kuwait**

#### **The Police as the Law Enforcement Body and Divisions within the Ministry of Interior**

Within the Ministry of Interior, which is responsible for enforcing the law, the Directorate of Police and Public Security<sup>11</sup> represents the law enforcement body.<sup>12</sup> Its divisions include those working with criminal investigation, civil defence, traffic, immigration, and so on, which corresponds to the typical activities performed by a law enforcement agency.<sup>13</sup>

There are some issues related to Kuwaiti police that can be found in literature. The recent report on Kuwaiti criminal justice suggests that there is no effective SOP with respect to investigative power when police and prosecutors are concerned.<sup>14</sup> Apart from that, the Ministry of Interior demonstrates a lack of control over the national police, its sub-divisions, and the National Guard in relation to investigations and guaranteeing public security.<sup>15</sup> This is the result of the existence of a rather complicated net of agencies that are responsible for internal security, which results in their responsibilities overlapping.<sup>16</sup> Consequently, citizens' rights can be violated when individuals are unfairly imprisoned or held in police offices for more than four days without prosecution. The criminal justice system must respect human rights and freedoms,<sup>17</sup> but the inefficiency of the system can pose a threat to them.

Naturally, the Penal Code of Kuwait contains Article 184, which states that imprisoning or arresting a person "without observing the procedures" must be punished.<sup>18</sup> Moreover, the Constitution also contains Article 31, which establishes that people cannot be "arrested, detained, searched, or compelled to reside in a specified place" unlawfully.<sup>19</sup> Finally, the Prison Regulation Act 26/1962 establishes the need for a legal authorisation for imprisonment.<sup>20</sup> Thus, there are multiple legal safeguards, but they might not be entirely successful in achieving the desired level of protection of human rights.

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<sup>1</sup>Constitution of Kuwait, 1962, art. 6.

<sup>2</sup>Constitution of Kuwait, 1962, art. 36.

<sup>3</sup>Constitution of Kuwait, 1962, art. 42.

<sup>4</sup>Constitution of Kuwait, 1962, art. 43.

<sup>5</sup>Constitution of Kuwait, 1962, art. 35.

<sup>6</sup>Constitution of Kuwait, 1962, art. 36.

<sup>7</sup>Constitution of Kuwait, 1962, art. 37.

<sup>8</sup>Constitution of Kuwait, 1962, art. 32.

<sup>9</sup>Constitution of Kuwait, 1962, art. 8.

<sup>10</sup>Constitution of Kuwait, 1962, art. 29.

<sup>11</sup> Anita Burdett, *Records of Kuwait* (Archive Editions 2003) at 394.

<sup>12</sup> Jill Crystal, 'Criminal Justice in the Middle East' (2001) 29 *Journal of Criminal Justice* 469, 471.

<sup>13</sup> Travis and Edwards, *supra* (n 55) at 54.

<sup>14</sup> Morison and Grimshaw, *supra* (n 71) at 7.

<sup>15</sup> Crystal, *supra* (n 215) 469, 471.

<sup>16</sup> *Ibid.* 474.

<sup>17</sup> Ashworth and Horder, *supra* (n 137) at 48; see also Ben Emmerson, Andrew Ashworth and Alison Macdonald, *Human Rights and Criminal Justice* (Sweet & Maxwell 2012), 1-5.

<sup>18</sup> Kuwait, Penal Code 16/1960 (as amended), article 184.

<sup>19</sup> Constitution of Kuwait, 1962, art. 31.

<sup>20</sup> Kuwait, Prison Regulation Act 26/1962, art. 17-18.

## Prosecutors as Part of the Criminal Justice System and Details of the Prosecutorial Process

Prosecutors are a part of the judicial system of Kuwait, appearing in the courts of different levels.<sup>1</sup>Public Prosecution<sup>2</sup> members defend the interests of the community of Kuwait.<sup>3</sup>The decision regarding the appointment of the candidates is made by a body called the Supreme Judicial Council.<sup>4</sup>The latter is comprised of the Heads and Deputies of Kuwaiti Courts (including Court of Cassation, Court of First Instance, Court of Appeal, and Supreme Court of Appeal), as well as the Public Prosecutor.<sup>5</sup>A representative of the Ministry of Justice is also present in the Council, but they are prohibited from voting.<sup>6</sup>The activities of the Council are governed by the law.<sup>7</sup>The appointment decision is carried out by the Minister of Justice through decrees.<sup>8</sup>Thus, since the decision is made by the Council, which consists of the representatives of the judiciary, it can be suggested that the appointment of prosecutors does not depend on the Minister.

Liability to prosecution is governed by the Kuwait Penal Code.<sup>9</sup>According to a recent report, the prosecutors that were interviewed for it “appeared not to fully understand their role during the trial process.”<sup>10</sup> Apart from that, the problem of insufficient SOP between police and prosecutors seems to be problematic.<sup>11</sup> Thus, the literature on the topic identifies some pertinent procedures and issues, but in general, Kuwaiti prosecution does not receive sufficient coverage in modern research. As a result, no reliable source was found that would critique the details of the prosecution processes in Kuwait.

### The Kuwaiti Judicial System and the Responsibilities of Judges

The Judicial system of Kuwait consists of the Courts of First Instance, the Courts of Appeal, the Supreme Court or Court of Cassation, and the Constitutional Court.<sup>12</sup> The courts of the first two degrees are comprised of three judges, and the Supreme court consists of the court's heads, deputies, and Consultants. The Constitutional Court is comprised of five Consultants.<sup>13</sup> The first- and second-degree courts and the Supreme Court also incorporate multiple circuits dedicated to particular law branches.<sup>14</sup>The Constitution points out that the Military courts are “restricted to deal with military offenses committed by members of the Armed and Public Security Forces within the limits prescribed by Law.”<sup>15</sup>

According to the recent report, the judicial supervision is crucial for Kuwaiti criminal justice, but no direct guidelines on this process exist.<sup>16</sup>

The independence of the judiciary is established Articles 50, 53, and 163 of the Constitution. The Kuwaiti judiciary is supposed to be completely separated from the Amir, since “no Authority may wield any dominion over a Judge.”<sup>17</sup>But the judges are expected to perform their duties in the name of the Amir. Also, it is apparent that a country's judicial system is unlikely to be completely immune to varied external forces.<sup>18</sup> Still, it can be stated that the Constitution of Kuwait postulates and demands the independence of the system from the direct influence of external forces, including the executive power.<sup>19</sup>

The effectiveness of Articles may be undermined by the fact that senior judicial officials are appointed by the Minister of Justice (who belongs to the administrative branch of power) through decrees.<sup>20</sup>However, the Minister has to consult the

<sup>1</sup>Travis and Edwards, *supra*(n 55)at 60.

<sup>2</sup>Constitution of Kuwait, 1962, art. 167.

<sup>3</sup>USA International Business Publications, *supra* (n 72)at 31-32.

<sup>4</sup>Kuwait, Decree Law No. 67 of 198, 1980, art. 61.

<sup>5</sup>USA International Business Publications, *supra* (n 72)at 32.

<sup>6</sup>Alkarama Foundation, *supra* (n 26) at 12.

<sup>7</sup>Constitution of Kuwait, 1962, art. 164.

<sup>8</sup>Kuwait, Decree Law No. 67 of 198, 1980, art. 61.

<sup>9</sup>USA International Business Publications, *supra* (n 72)at 46.

<sup>10</sup>Morison and Grimshaw, *supra*(n 71)at 7.

<sup>11</sup>*Ibid.*

<sup>12</sup>USA International Business Publications, *supra* (n 72)at 31.

<sup>13</sup>Kuwait, Law No. 14 of 1973, 1973, art. 1.

<sup>14</sup>USA International Business Publications, *supra* (n 72)at 31.

<sup>15</sup>Constitution of Kuwait, 1962, art. 168.

<sup>16</sup>Morison and Grimshaw, *supra*(n 71)at 7.

<sup>17</sup>Constitution of Kuwait, 1962, art. 163.

<sup>18</sup> Hall, *supra* (n 51) at 364.

<sup>19</sup>Alkarama Foundation, *supra* (n 26) at 12.

<sup>20</sup>USA International Business Publications, *supra* (n 72)at 32.

Supreme Judicial Council before the appointment,<sup>1</sup> and the decision should belong to the Supreme Judicial Council,<sup>2</sup> which is comprised predominantly of the representatives of the judicial branch of power.<sup>3</sup> The rest of the officials are appointed by the Supreme Judicial Council. However, as pointed out by Brown, the Council includes the mentioned senior officials and is not independent in its funding.<sup>4</sup> Moreover, foreign judges are appointed after requests by the Ministry of Justice, without any discussions with the Council.<sup>5</sup> Apart from that, the Minister is lawfully vested with the power to supervise the judiciary system.<sup>6</sup> Thus, certain aspects of judiciary-related procedures appear to undermine the independence of the judiciary.

Some of the historical developments in the field of judicial independence can be regarded as adversely affecting the SOP. There was a notable attempt to make the justice system less dependent in the 1980s, which was curbed as a result of the suspension of Parliament in 1986 and reintroduced in the 1990s in the form of new proposals.<sup>7</sup> In particular, the 1990s saw a decree limiting the independence of the judiciary;<sup>8</sup> it prevented the Courts from considering acts of sovereignty.<sup>9</sup> The decree was not repealed to this day. Thus, there is a need for continuous development of SOP to ensure the independence of Kuwaiti judges.

Other issues pertinent to the judges of Kuwait may also pose a threat to human rights. They may include transparency issues.<sup>10</sup> Moreover, although judgements are usually declared to be in line with the principle of equality of all citizens before the law, they tend to take a lot of time to “move their way through the court system,”<sup>11</sup> which implies the existence of red tape.

According to Liebesny, challenges in the Kuwaiti legal system “arose initially since the courts, staffed by lawyers from Arab countries whose systems had been modernised many years ago, were not familiar with the background of the Kuwaiti system,” and moreover, “the Kuwaiti court clerks and police officers on their part found the precipitous introduction of a largely alien system hard to cope with.”<sup>12</sup> Williamson also agrees that “the strong presence of foreign (mainly Egyptian) judges working in the Kuwaiti judiciary” creates a challenge for the system.<sup>13</sup> The fact that judges in Kuwait are often non-citizens can undermine a sense of their legitimacy when they need to be regarded as the highest authority in determining punishments. Brown points out that the need for foreign judges is typical for some Arab countries due to their shorter legal history, which may result in less-established law schools.<sup>14</sup> He emphasises, however, that Kuwait’s legal history is sufficient to avoid employing foreign lawyers and that Egyptian lawyers can only take overseas contracts (through which they are recruited in Kuwait) for a limited number of years, which, in his view, makes the problem less acute but still present.<sup>15</sup> Currently, Egyptian judges are appointed for four years (with a possible two-year extension) through an Egypt-approved request from the Kuwaiti Ministry of Justice; as of 2011, there were 300 Egyptian judges working in Kuwait.<sup>16</sup> The appointment of foreign judges would be expected to reduce the issue of the elitism of the judiciary, but it should be pointed out that Kuwaiti judges hold their posts for a lifetime, even though they can be removed from this position in the case of misconduct.<sup>17</sup> Thus, it can be suggested that Kuwait suffers “from unnecessarily complicated, inflexible and sometimes outdated laws and procedures, not to mention frustrating bureaucracy.”<sup>18</sup> As a result, the authority of the courts becomes questionable. In this context, there is the possibility of the introduction of the jury system in Kuwait to increase the potential for fair trials, but researchers state that the criminal justice system of the state is not prepared for this pattern.<sup>19</sup>

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<sup>1</sup>Alkarama Foundation, *supra* (n 26) at 12.

<sup>2</sup>Kuwait, Decree Law No. 67 of 198, 1980, art. 61.

<sup>3</sup>USA International Business Publications, *supra* (n 72) at 32.

<sup>4</sup> Brown, *supra* (n 22) at 158.

<sup>5</sup>Alkarama Foundation, *supra* (n 26) at 13.

<sup>6</sup>Kuwait, Decree 23/1990, article 35, 1990.

<sup>7</sup> Brown, *supra* (n 22) at 158-159.

<sup>8</sup> Brown, *supra* (n 22) at 159. See Kuwait, Decree 23/1990, art. 32 and 35, 1990.

<sup>9</sup>Kuwait, Decree Law No. 23 of 1990: Regulation of the Judiciary Law, 1990, art. 2.

<sup>10</sup>Williamson, *supra* (n 10) at 36.

<sup>11</sup>*Ibid.*

<sup>12</sup>Liebesny, *supra* (n 22) at 110.

<sup>13</sup>Williamson, *supra* (n 10) at 36

<sup>14</sup> Brown, *supra* (n 22) at 159-160.

<sup>15</sup>*Ibid.* 160.

<sup>16</sup>Alkarama Foundation, *supra* (n 26) at 12.

<sup>17</sup>*Ibid.* 12-13.

<sup>18</sup>Williamson, *supra* (n 10) at 36.

<sup>19</sup>*Ibid.* 54.

It should be pointed out that the judicial independence and transparency appear to be commonly challenging to achieve, while corruption is difficult to avoid in a variety of countries, indicating that the problems are not unique to Kuwait and its SOP.<sup>1</sup> For example, Ashworth considers the topic of the separation of powers and responsibilities in the field of restorative justice, highlighting the role of government in ensuring the independence of justice, and pointing out that state-led justice tends to have flaws and can result in failures.<sup>2</sup> In particular, Ashworth states that "the list of failures of state justice is a lengthy one."<sup>3</sup> Still, Brown asserts that since the 1990s the process of increasing judicial independence in Kuwait has been in motion.<sup>4</sup> This process illustrates the fact that the government tends to develop and evolve together with the evolution of the SOP.<sup>5</sup>

### Resources Available for the System's Functioning

The criminal justice system requires resources for functioning just like any other system. In particular, funding, human resources, equipment (for instance, police cars or computers) are necessary.<sup>6</sup> However, according to the recent report on Kuwaiti criminal justice system, resources in it are not distributed adequately.<sup>7</sup> Therefore, at least one issue pertinent to the topic can be encountered in relevant literature. However, the topic of resources within the criminal justice system of Kuwait appears to be otherwise uncovered by recent and less recent literature, which limits the ability of the current study to draw conclusions on it.

### The Role of Article 50 in the System

Article 50 of the Constitution which requires SOP, as well as cooperation of powers, states that "No Authority shall be allowed to waive all or part of its jurisdiction."<sup>8</sup> Therefore, the Article guarantees SOP and implies that each of the components of criminal justice of Kuwait must act in accordance with their authority. The significance of establishing SOP has already been mentioned,<sup>9</sup> which suggests that the implications of Article 50 for the functioning of the criminal justice system should be notable and beneficial. However, as it was mentioned above, the cases when the authority of the elements of the criminal justice system was underdefined<sup>10</sup> or waived do occur.<sup>11</sup> Consequently, the literature indicates that Article 50 is not always followed, but following it is crucial for ensuring SOP and the lack of power abuse.

### Conclusion

The significance of SOP is easily established by the literature, but criminal-matters SOP is less extensively covered. As a result of the present literature review, no studies that would consider the criminal justice SOP in Kuwait were found, but the research and reports on the aspects that can be included in the discussion were encountered. In particular, the majority of the significant aspects of the criminal justice system can be described relatively well, which offers the opportunity for analysis. Similarly, the diffusion of law has been discussed relatively extensively. Also, the issues experienced by the criminal justice system in Kuwait appear to have received some coverage. The fact that the topic is understudied limits the ability of the literature review to respond to the research questions, but still, the following conclusions can be made.

The history of the development of Kuwaiti legal system has defined its features and some of its problems. Kuwait had experienced the impact of British Jurisdiction for a long period, but when the country gained independence from the United Kingdom in 1961, the civil law system, based on the Egyptian law, which, in turn, is developed in accordance with the French law, was established in the country in addition to traditional Islamic law. However, the hasty introduction of the new legislation, as well as some of its inefficiencies, and the introduction of Egyptian lawyers into the Kuwaiti legal system have caused some long-lasting issues. The Constitution of Kuwait requires SOP and independence of the judiciary while also granting the citizens all the necessary rights and proclaiming them equal in the eyes of the law. However, the mentioned

<sup>1</sup> Stephan Rosiny, 'Power Sharing in Syria: Lessons from Lebanon's Taif Experience' (2013) 20 *Middle East Policy* 41, 43; see also Ashworth, *supra* (n 17) 590-592; see also Omar Azfar and William Robert Nelson, 'Transparency, Wages, and the Separation of Powers: An Experimental Analysis of Corruption' (2007) 130 *Public Choice* 471, 471-490.

<sup>2</sup> Ashworth, *supra* (n 17) 578-579, 595.

<sup>3</sup> *Ibid.* at 590.

<sup>4</sup> Brown, *supra* (n 21) 8.

<sup>5</sup> Jon Michaels, 'An Enduring, Evolving Separation of Powers' (2015) 115 *Columbia Law Review* 515, 515-597.

<sup>6</sup> Travis and Edwards, *supra* (n 55) at 22.

<sup>7</sup> Morison and Grimshaw, *supra* (n 71) at 7.

<sup>8</sup> Constitution of Kuwait, 1962, art. 50.

<sup>9</sup> Samuels (n 1) at 706; see also Clark, *supra* (n 15) 971, 971-989.

<sup>10</sup> Morison and Grimshaw, *supra* (n 71) at 7.

<sup>11</sup> Kuwait, Decree Law No. 23 of 1990: Regulation of the Judiciary Law, 1990, art. 2.

issues, especially those related to transparency and red tape, might endanger those rights. Moreover, there is some evidence indicating that the independence of judiciary being limited legislatively. Apart from that, the literature on the topic indicates other inefficiencies in various elements of the criminal justice system of Kuwait.

As shown by Barkow's article, which is the framework of the present study, the development of criminal-matters SOP is a crucial element of Kuwait's democratisation, and it is an important guarantee of the protection of the freedoms and rights of Kuwaiti people, which is especially evident in the light of the issues and barriers mentioned above. As a result, the proposed research aspires to investigate SOP, primarily by considering its constitutional and historical roots and discussing its effectiveness from the point of view of human rights' protection.

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## The Impact of Accounting Reforms in Financial Reporting- Case of Albania

**PhD. Mirela UJKANI MITI**

Lecturer on Accounting Department, Faculty of Economics University of Tirana Albania

**Prof. PhD. Sotirag DHAMO**

Lecturer on Accounting Department, Faculty of Economics, University of Tirana

### Abstract

In the line with Albania's membership in the European Union, as in many other countries, we have been implementing reforms in the accounting field, which have had an impact on financial reporting. These reforms have also affected the accounting profession. The establishment of a full set of National Accounting Standards (NAS) in accordance with IFRS was the main basis of these reforms. Through our study, following a review of the literature and focusing on the National Accounting Council's objective in updating national accounting standards in the context of harmonization with European Parliament Directive 2013/34 / EU (hereafter referred to as the "Directive"), we will highlight if this harmonization in itself is essential and effective for the economic unit, or it is simply an update. Based on the analysis of the primary data through the fuzzy logic analysis method, the effect of the accounting reform in the financial reporting will be studied by observing the relationship that may exist between these two indicators, as well as measuring the convergence level and making the difference between the adjusted NAS and the previous set of them.

**Keywords:** financial reporting, accounting standards, legal framework, formal harmonization, Measurement.

### Introduction

What is being massively required by all countries is the creation of accounting practices and financial reporting that use a universal language. There are several factors that have encouraged and do still urge the process of a worldwide harmonization of financial reporting. Among others, the fast-paced development of information technology, has led to the ease of electronic movement of funds beyond national borders and has increased the readiness of the investors to invest within these borders. One reflection of the movement towards the international harmonization of financial reporting is the spread of International Financial Reporting Standards usage worldwide. In this context the improvement and reform making in the accounting area is aimed to increase the level of transparency and reliability of the financial information, as well as to fulfill the needs of market and protect the interests of the public and the state in the best way possible. In Albania the choice to use International Financial Reporting Standards does in line with the conditions of our economy, the goals set to bring our legislation closer with European Union member countries and by keeping in consideration the national accounting practices and traditions. The economic and social environment, the level of development and the ways in which the economy is organized have increased step by step the need to improve accounting standards. These improvements in general have ameliorated accounting and the accounting information system of businesses. The continuous evolving provided several information for its users, among which the primary basis of gaining information is the full set of financial statements that aim to give true and fair information regarding the activity developed by the company. These efforts have made possible the approval of Law no. 9228 on 29.04.2004 "For accounting and Financial Statements" that abolished Law no. 7661 on 19.01.1993 "For accounting". This law predicted the creation of the National Accounting Council as a public and independent professional establishment that designs National Accounting Standards. This follows article 100 of the Constitution and articles 20 and 24 of Law no. 9228 on 29.04.2004 "For accounting and Financial Statements" that states this major goals:

The continuous perfection of accounting legislation

The processing of the accounting system in accordance with the Law for Accounting

Designing National Accounting Standards

The urge to use NAS and IFRS.

Financial Statements in Albania from the 1<sup>st</sup> of January 2008 to present are prepared according to the requirements of this new Law no.9228 "For accounting and financial statements" that has been modified several times until nowadays. Not only because they were firstly prepared based on a set of 14 national accounting standards, that were designed in line with national accounting standards and are to be used by all profitable private and public enterprises since January 1<sup>st</sup> 2008 with the exception of those large companies that will be included in an approved list by the Council of Ministers and will fully apply international accounting standards. Then, due to further economic development and adjustments made in the area of accounting, there was another standard added to the set of 14 standards, The national Standard no. 15 "On accounting and financial reporting principles applied on micro enterprises" that was implemented from January 1<sup>st</sup> 2009 that was obviously in accordance with the IFRS published by IBFR, (IFRS for SMEs).

Another novelty of the reforms undertaken in Albania was the creation of NAS for Non Profit Organizations, which was made possible by the adoption of 14 NAS as required for the issues related to NGOs. It began its implementation on January 1<sup>st</sup> 2016. Applying the NAS represents a core change regarding the preparation and reporting of the financial statements. Although it has faced many obstacles, it represents an indispensable step in Albania's path towards the European Union. The reforms undertaken in the accounting area did not stop with the creation of the NAS or the Law for accounting but was enriched with further changes in other additional areas such as: practicing independent professions in accordance with Law no. 10091 on 05.03.2009 "*For legal auditing, management of the Accounting Expert Profession and certified accountant.*" which aims to improve and reinforce the public surveillance of the auditor's profession and for the certified accountants as well. Furthermore the accounting laws were followed by the legal adjustment of the cases related to it. On April 14<sup>th</sup> 2008 in support of the articles 78 and 83 point 1 of the Constitution, was approved Law no. 9901 "*For traders and trading companies*", that abolished Law no.7632 on 04.11.1992 "*For the general part of the Trade Code*" Law no. 7638 on 19.11.1992 "*For trading companies*" and Law no.7512 on 10.08.1991 "*For sanctioning and protecting private property, free incentives, independent activities and privatization.*" Through this law many important reforms were undertaken, related to traders, establishing and managing trading companies, the rights and duties of the founding businessmen, their partners and shareholders, reorganization and liquidation of trading companies. This period's legislation established the foundations of accounting and market economy.

The reforms continued again, so in 2012, the National Accounting Council undertook the incentive to review and improve the full set of the NAS (a total of 15 standards) aiming to harmonize them with the requirements of the new standard for financial reporting in small and medium enterprises, published by IASB on July 2009. This reform was successfully completed in 2014 and the improved NAS in accordance with the Order of the Minister of Finance no.64 on 22.07.2014 "For the announcement of the improved National Accounting Standards and their mandatory implementation" are being applied since January 1<sup>st</sup> 2015. Once again the full set of the financial statements is composed by 14 applicable standards for SME one NAS for micro enterprises and one NAS for NGOs so a total of 16 national standards. The undertaken reforms have had several main goals:

- The improvement of the regulatory framework related to financial reporting
- The creation of stable structures to produce standards with high quality in the area of accounting and auditing.
- Creating monitoring and surveilling mechanisms that guarantee the application of standards in this area
- Increasing the professional level of accountants and auditors while preparing the financial statements and auditing reports.

Keeping in mind the aspiration to be part of the UE the Albanian government is approaching its legal and institutional framework with the EU's *acquis communautaire*.

In this context, the improvement of the responsibility and transparency in the field of financial reporting is an important goal. (Fino D. 2016)

### **Methodology**

It is often stated that establishing national accounting standards must comply with IAS/IFRS. In this study will be elaborated the compliance of this final harmonization. Many studies related to harmonization have used the factorial analysis for the similarities between accounting practices in countries that follow the same rules (Doupnik 1987; Doupnik and Taylor 1985, McKinnon & Janell, 1984, Frank, 1979; Rahman, Perea, and Ganeshanandam 1996). Garrido, Leon, and Zorio 2002) presented an index in their study that provides the measurement of the harmonization of formal accounting in the course

of time. Others have tried to indicate the level of accounting harmonization, by analyzing specific measurement methods applied by companies in Europe (Emenyonu & Gray, 1992, 1996; Herrmann & Thomas, 1995, 1996, Murphy, 2000; Van der Tas, 1988). In these studies the annual financial reports have been analyzed by companies with different residencies in order to define the level of the compliance between different accounting practices and the impact of adopting international standards in the process of accounting harmonization.

Even though several improvements are made in terms of measuring the harmonization and mainly the formal one, the core question of this study is applying the Euclidian distances. Being an absolute distance, the Euclidian distance can only indicate the differences between the compared cases/articles, but it cannot reflect the similarities or differences between them. This flaw makes it inappropriate to be applied while analyzing the formal harmonization (convergence) between different standards or the progress made within a standard (material harmonization).

Conscious about these existing flows Fontes et al. (2005) proposed the Jaccard coefficient and the Spearman coefficient in order to estimate the progress of formal harmonization between every two groups of accounting standards. They estimated the formal harmonization between the Portuguese accounting standards and IFRS in the three phases of accounting convergence, using the Euclidian distance, Jaccard coefficients and the Spearman coefficient.

Based on the analysis and estimation of the existing methods used to measure the level of harmonization (convergence) between every two groups of the accounting standards, in this study will be presented a method that fits the fuzzy clustering analysis (Qu X. & Zhang G. 2008). Firstly in 1965 Lotfi A. Zadeh published his work "Fuzzy Sets" that describes the mathematical theory of fuzzy clustering, where the fuzzy logics is expanded. This theory provided that the function on membership (or the true and false values) could be applied on a range of real numbers between [0.0, 1.0]. Through this it is evaluated the progress of national accounting standards convergence with IFRS. The essence of the fuzzy clustering analysis is to build the fuzzy matrix in accordance with the features of the object being studied. The classification is made according to a specific scale of membership based on the fuzzy matrix. If A is function of x that takes its values from [0, 1], A is considered a fuzzy set, and it's marked:

$$A(x) = \begin{cases} 1 & x \in A \\ 0 & x \notin A \end{cases}$$

The scales of membership are between a tight section [0, 1].

The procedures of the fuzzy clustering analysis applied in this study are as it follows:

**Step 1: Choosing the indicators for the fuzzy clustering analysis**  $X : \{x_1, x_2, \dots, x_n\}$  it is designed to represent general classified objects, where the characteristics of each object  $x_i$  are named by a group of data  $(x_{i1}, x_{i2}, \dots, x_{im})$ .

**Step 2:** Transforming the original data in the way that it eliminates the effects of different dimensions. The idea and the methods of transformation are the same being used in other fuzzy analysis for example in systematic clustering analysis that include standardization, classification and logarithmic etc.

**Step 3: Calculating the fuzzy matrix of similarity. Calculating the statistical size**  $r_{ij} (i, j = 1, 2, \dots, n)$

That represents the similarities between the classified objects. While 'n' is referred to the number of the classified objects.

$$\mathfrak{R} = \begin{bmatrix} r_{11} & r_{12} & \dots & r_{1n} \\ r_{21} & r_{22} & \dots & r_{2n} \\ \dots & \dots & \dots & \dots \\ r_{n1} & r_{n2} & \dots & r_{nn} \end{bmatrix} \quad (3)$$

$r_{ij}$  can be calculated by methods such as Euclidian distances, relator coefficients, Max-Min method, arithmetic mean, geometric mean, the absolute value index, mutual absolute values and the cosine method.

**Step 4:** If the fuzzy similarity relationship  $\mathfrak{R}$  is also an equilibrium fuzzy relationship, the fuzzy clustering analysis can be elaborated directly. Otherwise, the fuzzy matrix of similarity must be remodeled into an equilibrium fuzzy matrix that will be analyzed by the following criteria:

Let's suppose that  $\mathfrak{R}$  is a group in  $X \times Y$ , if  $\mathfrak{R}$  meet simultaneously the following pre-conditions:

(1) Reflexivity:  $(x_i, x_j) \in \mathfrak{R}$ ; and

(2) Symmetry: if  $(x, y) \in \mathfrak{R}$

Then  $(x, y) \in \mathfrak{R}$ , where  $\mathfrak{R}$  has a fuzzy similarity relationship.

If  $\mathfrak{R}$  fulfills the criteria (1) and (2), and also temporarily criteria (3):

(3) if  $(x, y) \in \mathfrak{R}$  and  $(y, z) \in \mathfrak{R}$ , then  $(x, z) \in \mathfrak{R}$

Where  $\mathfrak{R}$  is in an equal fuzzy relationship then it is the case of equilibrium fuzzy matrix.

The definition of different  $\mu$  to be part of the  $\mathfrak{R}\mu$  matrix, giving thus a different scale of membership to the matrix, defines the kind of the group gained. If  $\mu = 1$ , each case is a unique category. With the diminution of  $\mu$ , the categories start to become closer and at last are merged into one.

### Step 5: Designing the histogram (Clustering groups graphic).

This method was firstly used during the comparison of the first NAS set in Albania with IFRS where it was indicated that the full set of accounting standards was a novelty for Albania and it complies with the IAS/IFRS (Ujkani M, Dharmo S 2013)<sup>1</sup>.

What this paper elaborates using the same mathematical method if the ongoing reforms led to the further improvement of NAS in accordance with IFRS-9 for SME do still represent a novelty ore just a simple necessity to fulfill the UE's requirements. In this context we came up with the hypothesis:

**Hypothesis;** *The Improved National Accounting Standards are a novelty and do fully comply with IFRS;*

The source of data that will serve to test the hypothesis will be the full set of the respective IAS and IFRS that are the basis of the NAS establishment in Albania. Furthermore, a more detailed analysis and methodology of hypothesis confirmation will be elaborated.

### Literature Review

The European Union's strategy to continuously create and improve IAS/IFRS might offer new knowledge for enterprises that operate in different legal and accounting systems by approving a unique package of accounting standards. The presence of a unique package will provide that equal transactions have equal accounting treatment no matter where they happen. This will continue with the presentation of the financial statements on the same principles, accounting policies bringing a high quality and true information. However the improvement in changing the information of IAS/IFRS is conditioned by at least two factors:

*Firstly: the improvement is based on the hope that the changes on IAS/IFRS represent a change on a GAAP that induces a higher quality financial reporting.*

*Secondly, the accounting system is a component of the general institutional system of the country and it is set even with incentives coming from the enterprises when it comes to financial reporting.*

Based on this even the undertaken reforms in Albania in terms of accounting, have had the same focus. Some researchers for example Meeks (2002) are highly suspicious if an international accounting standard will produce a more comparable accounting worldwide. However, the changes in accounting practices through different countries might lead to similar transactions being registered differently in terms of financial reporting. This lack of comparability makes the international financial analysis and investments even more complicated. Regardless how similar the accounting system are in different countries, they will not be easily comparable due to the big changes in the way the standards have been applied by companies due to differences in terms of economic, politic and cultural environment.

Adhikari and Tondkar (1992) have observed that "Reporting, accounting and the standards for giving information as well as the practices are not developed in vain, but represent the specific environment in which they are developed" (pg.76). Accounting principles and practices are generally affected not only by environmental factors such as values, history and

<sup>1</sup> <http://www.doktoratura.unitir.edu.al/wp-content/uploads/2014/01/Doktoratura-Mirela-Ujkani-Fakulteti-i-Ekonomise-Departamenti-i-Kontabilitetit.pdf>.

culture but furthermore by the phase of the economic development of the society and the accounting system. There are different studies related to matters concerning the issues of accounting harmonization in Europe and its impact in the comparability and transparency of the financial statements. A study by Street and Shaughnessy (1998) has indicated that at the beginning of the 90's there were far more changes between international accounting standards among English-American countries.

In Albania on the study made by Ujkani M. and Dharmo S. in 2013, it was indicated that the creation of the full set of NAS was a novelty for the country and would provide an improvement in the quality of financial reporting in accordance with IFRS. The latest developments of the European Union offer a chance to investigate the impact of the rules set by the IAS/IFRS on the national accounting standards. The previous studies have investigated the cases related to the possible outcomes of the NAS regulation including the costs and possible problems related to the approval of IFRS (Stolowy and Jeny-Cazavan, 2001; Bradshaw and Miller, 2003; Cairns, 2003; Mazars, 2003; Haller & Eierle, 2004; Nobes & Parker, 2004; Street & Larson, 2004; Delvaile, Ebberts, & Saccon, 2005; Epstein & Mirza, 2006; etc.)

The accounting researchers indicate that IAASB is the main factor in the international harmonization of Accounting Standards. The compliance with IAASB is not mandatory and cannot be enforced to be applicable (Muller et al., 1991).

Now we are aware of the advantages that the process of harmonization and standardization gives, however these processes might be criticized.

Many studies have indicated that NAS are part of the national environment, which is different for any country. Among others, Wagenhofer, (2002) and Nobes (1994) think that the IAS are not compatible with the specific national environment. It is still uncertain if the IAS can elaborate differences that derive from different national backgrounds such as economic environments and traditions. This due to the fact that global standards are not equally involved in the national environment as the national ones and thus cannot react alike to national circumstances. Another declaration from Goeltz states that the global capital markets can be developed even without the IAS (Goeltz, Choi et al., 2002). Even though researchers agree with Goeltz, on the other hand they think that the need to comply or to prepare the financial statements according to the foreign accounting standards is an obstacle for the free competition of capital movement.

A major challenge for the IAASB is the need for a global applying in order to promote the equal application of IAS/IFRS. This requires that all the parts involved in this process (companies, auditors, governments, regulatory parts etc.) work together. We believe that it is firstly the process of harmonization (convergence) of Accounting Standards that will lead to a group of globally approved and unified accounting rules. Also all researchers must agree on a unique and high quality answer on accounting information.

To reach this goal, the preparers and users of the financial statements must be ready to accept that the process of harmonization of the accounting standards will include changes or reforms on all existing systems. Thus, an authentic and harmonized form of the international accounting system might create that business language that will provide comparing any accounting information from all countries.

### **Analysis and its indicated findings**

Before starting the analysis and the indication of its findings firstly a brief methodology for testing the hypothesis will be described. According the theory of the fuzzy clustering here mentioned before, the general standards are categorized in a unique group. Each pair of the compared standards represents a group. Comparing the groups of standards based on 6 elements that include: the object of the area covered by the standard, the main definitions, the recognition criteria, the measurement criteria, the methods of measurement, and the measurement at the end of the period that are specific indicators (variables) of the cases. Based on a specific  $\mu$  membership scale, the levels of the convergence standards are divided in four categories: It is set the coefficient *1 for cases that do completely converge, 0.7 for cases that do essentially converge, 0.3 for cases that do essentially not comply and 0 for the cases that are totally different*. These coefficients fit with each group and form the core data for the fuzzy clustering analysis.

In order to keep the same base of comparison and as the focus is on the National Accounting Standards and the expression of the indispensable need for them to represent a novelty, in this study it was followed the same structure while comparing NAS to IFRS. Thus the detailed steps for the calculation are followed as in the first evaluation of the convergence between NAS and IFRS (Ujkani M, Dharmo S 2013) as it follows.

### **Step 1: The definition of the case groups and their index specified in variables.**

**Firstly**, it is required to set the goal of our calculations.

From the full set of the standards in this study are not included: Accounting standards no 1, no 15, and no. 16, being specific accounting standards. The core accounting standard no 1 in the set of NAS is equivalent with the Framework for Preparation and presentation of Financial Statements of IAASB. This is the conceptual basis to make specific accounting standards and that is why it is not part of the study and the comparison. NAS no 15 “On Accounting Principles and Financial Reporting from micro enterprises” and NAS no 16 “Accounting for NGOs” are not included to be compared with IFRS. These three standards are excluded so 13 standards are compared to IFRS and actual IAS, which will be referred as cases.

**Secondly**, it is necessary to define the pairs to be compared in each NAS and IFRS. For example 13 cases (NAS) are defined in a group and each of the cases of NAS is paired with the paragraphs of the respective IFRS on which they are based. It is stated as  $S = \{s_1, s_2, \dots, s_{13}\}$  where  $s_i$  represent the “i” number of the standards’ case,  $i = 1, 2, \dots, 13$ .

In order to have a possible comparison, the compared articles of each part of the standards (functional indicator) 6 factors have been indicated based on the content of the standards. Those include: the object of the area covered by the standard, the terminology that is part of it, the recognition criteria, the measurement criteria, the methods of measurement, and the re-measurement at the end of the period. The requirements considering giving explanatory information that are quite different from the recognition criteria as well as the measurement, and that do not affect the accounting treatment and the comparison, but can improve the utility of the financial information.

All 6 factors of comparison are marked with  $D = \{d_1, d_2, d_3, d_4, d_5, d_6\}$ . The feature of no  $j$  in the standard of no “i” can be indicated by  $x_{ij}$ , where  $i = 1, 2, \dots, 13$ , and  $j = 1, 2, 3, 4, 5, 6$ .

**Step 2: The definition of the value for comparison cases in any unique case and the effects of the elimination coming from different dimensions.**

It is set the value 1 for cases that do completely comply and 0.7 0.3 and 0 for cases that do essentially comply, do essentially not comply and are totally different. While comparing a unique case there might be several other sub-issues of comparison for which the same coefficients are used and are calculated in accordance with the definition of the compared sub-articles in order to evaluate any case of comparison and to eliminate the effects coming from different dimensions. The data for the 13 comparison cases and their compliance coefficients are stated in Table 1 (Annex). Based on Table 1 we can use the method and the coefficient of compliance to calculate the overall level of convergence for 13 cases, that concludes that the overall level of convergence for NAS compared to IAS is

$$= (163 \times 1 + 55 \times 0.7 + 11 \times 0.3 + 16 \times 0) / (163 + 55 + 11 + 16) = 0.8359$$

**Step 3: Calculating the fuzzy matrix of similarity**

In this study it is applied the method of Cosine similarity to calculate  $r_{ij}$ , and to build the fuzzy matrix of similarity:

$$R = \left| r_{ij} \right|_{n \times n} \text{ indicated in equation (1). (Table no 2 Annex)}$$

**Step 4: The elaboration of the R matrix to get a fuzzy matrix equivalent**

After applying the method of Cosine similarity, the Max-Min method and the Max it is calculated the equilibrium fuzzy matrix. In this case, the second step (Max-Min method) has the same coefficient with the third step (Max method). So mathematically it can be stated:  $\mathfrak{R} \circ \mathfrak{R}' \circ \mathfrak{R}'' = \mathfrak{R} \circ \mathfrak{R}'$ . The equilibrium fuzzy matrix is stated in equation (2) (See Table 3 Annex)

**Step 5: Clustering and technical design of fuzzy clustering**

Different membership scales of  $\mu$  are given to take different types of the  $\mathfrak{R}\mu$  groups.

According to the Histogram no. 1.1.it is indicated:

If  $\mu = 1$ , each of the 13 cases is a unique category

$$\{S_2\} \cup \{S_3\} \cup \{S_4\} \cup \{S_5\} \cup \{S_6\} \cup \{S_7\} \cup \{S_8\} \cup \{S_9\} \cup \{S_{10}\} \cup \{S_{11}\} \cup \{S_{12}\} \cup \{S_{13}\} \cup \{S_{14}\}$$

If  $\mu = 0.99$ , all 13 cases are categorized in 5 different categories, in which convergence is reached. No 2, 7, 8, 11, 12, 4, 5, 6, 14 represent a unique category while cases no.9, 10, 13, and 3, are categorized separately.

$$\{S_2, S_7, S_8, S_{11}, S_{12}, S_4, S_5, S_6, S_{14}\} \cup \{S_9\} \cup \{S_{10}\} \cup \{S_{13}\} \cup \{S_3\}.$$

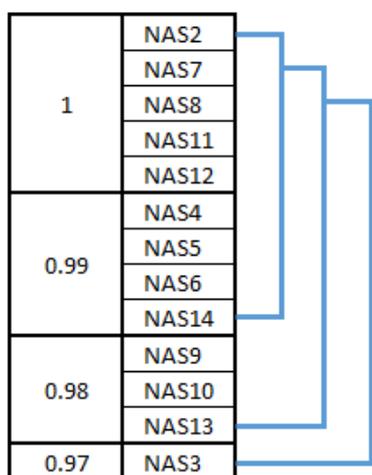
If  $\mu = 0.98$ , all 13 cases are categorized in 2 different categories. Cases no 2, 7, 8, 11, 12, 4, 5, 6, 14 and 9, 10, 13 are combined and merged in this category, while no. 3 is a unique category.

$$\{S_2, S_7, S_8, S_{11}, S_{12}, S_4, S_5, S_6, S_{14}, S_9, S_{10}, S_{13}\} \cup \{S_3\}.$$

If  $\mu = 0.97$ , all 13 categories are merged in a unique one.

$$\{S_2, S_7, S_8, S_{11}, S_{12}, S_4, S_5, S_6, S_{14}, S_9, S_{10}, S_{13}, S_3\}.$$

**Histogram 1.1 "For the convergence of the improved NAS with NAS/IFRS"**



The results analysis based on the coefficient's calculation and the fuzzy clustering analysis, indicates that the full set of the improved NAS continue to have a quite notable convergence with all IAS/IFRS and IFRS for SME, on which they are based. The overall level of convergence between NAS and IFRS calculated with a compliance coefficient is 0,8359 thus greater than 0.7 which means that a notable convergence is achieved between NAS and IAS/IFRS. However, on the first study made (Ujkani M. and Dharmo S 2013) this level of convergence was defined 0.8377. This indicates the fact that the level of convergence based on compliance coefficients between the improved set and the first set of NAS shows no notable difference (it can be said that they stay on the same levels). Based on the fuzzy clustering analysis the lowest membership scale of  $\mu$  is set on the level of 0.97, because on this level all the cases were able to be categorized in one. So it results that the smallest step of the membership scale is 0.01 and the biggest step of the membership scale is 0.03 the case of  $\mu = 1$ , and it defines the fact that each case is a unique category and when  $\mu = 0.97$  all the cases are categorized as one. This also means that the level of convergence between the improved NAS and IAS/IFRS and IFRS for SME is much higher and NAS have converged. The very small interval of the membership scale indicates small differences between the convergence of any case of the NAS and IAS/IFRS. While based on the previous study made by Ujkani M and Dharmo S 2013 it is stated that the membership scale is lower than  $\mu$  on a level of 0.96 and that the smallest step of the membership scale is 0.01 and the biggest step of the membership scale is 0.04. Once again, the comparison between the two phases, the phase when the first set of NAS was created and the phases of the reforms that continued the improvement of NAS indicates a quite small difference (0.97  $\div$  0.96).

This analysis **rejects** this study's hypothesis that "The improved NAS are a novelty and in full compliance with IFRS" So based on the fuzzy clustering analysis it is indicated that the improved set of NAS has almost the same convergence levels and  $\mu$  membership scale levels as it follows:

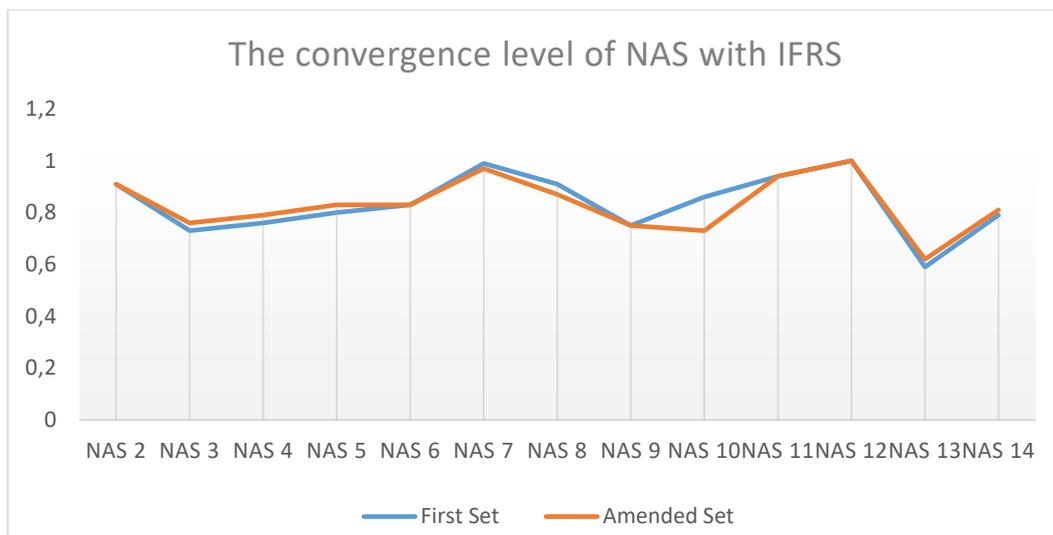
### Overall level of convergenceMembership scale

The first set of NAS1 > **0.8377** > 0.70.96

The improved set1 > **0.8359** > 0.70.97

However the analysis continues, focusing on the elaboration of these changes between the two sets and the overall level of convergence as well as evidencing the determinative factors of these differences. The data is shown graphically on Graphic 1 (see Annex 4)

**Graphic no 1 “Comparison of the level of convergence of first and improved NAS”**



**Source: Authors based on this study's data and the study made on 2013**

From the graphic and the comparison of the coefficients' data it is concluded that NAS no. 2, 6, 9, 11, 12, all have the same compliance coefficients in their creation fazes as well as during further improvement. This result tells that the reforms undertaken in order to improve these standards have no effects in their level of convergence continue to be the same, and it can be surely stated that it refers only to a compliance of the IFRS elements and to fully converge. NAS no 3, 4, 5, 7, 8, 10, 13 and 14 do have changes on their level of convergence. These changes might be divided in two categories- the category where reforms related to their improvement have had an impact on increasing their level of convergence that includes NAS 3, 4, 5, 13 and 14. These reforms are related to the accounting treatment of financial instruments, inventories, long term tangible and intangible assets, biological assets and controlled companies as well as participations, Some specific topics that may be included and that represent a novelty for NAS are the evidencing of the way concessionary agreements are treated (NAS 13) considering that may activities of this type are being developed in Albania. The other category NAS 7, 8, 10 includes those standards that the reforms for their improvement have given a lower convergence level compared to the first set created in these areas. This includes the accounting treatment of revenues, leasing and government grants. The most visible effects of these reforms are related to the evidencing in the respective NAS of the accounting treatment of the revenues generated from construction contracts, revenues from ordinary rent and leasing and indicating the forgivable debts that according to the NAS are to be treated as a grant only in the cases when there is sufficient assurance that the enterprise will fulfill the predestined conditions to forgive the debt. These changes in NAS emphasize that Albania in its respective reforms aims not only to comply with IFRS but also with the country's development conditions.

## 5. Conclusions

Albania's choice to apply National Financial Reporting Standards meets the necessities and conditions of its economy, the goals of bringing its legislation closer to the legislation of European Union member countries and is in line with the national accounting practice. The socio-economic conditions, the level of development and the way the economy is organized have urged the need and will continue to step up the need for reforms in the accounting field.

Based on the fuzzy clustering analysis this paper concludes that the improved NAS have reached their goal of sufficient convergence with all IFRS and IFRS for SME. The overall level of convergence between NAS and IFRS is calculated with a 0.8357 compliance coefficient, thus greater than 0.7 which means that a quite important convergence between NAS and IFRS has been achieved. On the other hand the lowest membership scale is set on the level of 0.97. These do not represent a novelty in the first set of NAS but represent an effort of Albania towards the improvement of responsibility and transparency the area of financial reporting, as a major goal to join the UE. These changes underline the fact that Albania in these particular reforms aims not only compliance with IFRS but also with the country's conditions.

The official convergence measurement of accounting standards through fuzzy clustering analysis is still on an exploratory phase. Due to the fact that it still includes personal judgements in solving of the cases compared and in the determination of the values, it is to be considered that there might be one-sided thoughts among researchers and readers.

*However, it is hoped that this study gives a contribution in studying the measurement of formal harmonization and gives the chance for others to do further research in this area.*

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**ANNEX**

**Table no 1. “Measurement of convergence coefficients for 13 NASs with IFRS / IFRS for SMEs”**

NAS / IAS	Coefficients		Scope	Terminologies		Recognition		Measurement		Accounting methods		Re-measurement	Measurement coefficient	
NAS 2 "Presentation of financial statements" / IFRS for SME (17 cases)	1	1	1.00	2	1.00	2	0.79	5	1.00	2	1.00	0	1.00	0.912
	0.7	0		0		5		0		0		0		
	0.3	0		0		0		0		0		0		
	0	0		0		0		0		0		0		
NAS 3 "Financial instruments" / IAS 32, IAS 39 and IFRS for SME (23 cases)	1	0	0.70	3	0.93	4	1.00	0	0.70	3	1.00	4	0.50	0.761
	0.7	1		1		0		3		0		0		
	0.3	0		0		0		0		0		0		
	0	0		0		0		0		0		4		
NAS 4 "Inventories" / IAS 2 and IFS for SME (19 cases)	1	0	0.70	2	0.90	2	1.00	3	0.93	3	0.60	2	0.75	0.795
	0.7	1		1		0		1		0		1		
	0.3	0		0		0		0		0		1		
	0	0		0		0		0		2		0		
NAS 5 "AAM dhe AAJM" / IAS 16, IAS 38, IAS 36, IAS 23, IFRS 5 and IFRS for SME (28 cases)	1	1	1.00	6	1.00	4	0.87	3	0.66	0	0.70	3	0.83	0.829
	0.7	0		0		3		0		5		0		
	0.3	0		0		0		1		0		1		
	0	0		0		0		1		0		0		
NAS 6 "Provisions, liabilities and contingent assets" / IAS 37 and IFRS for	1	1	1.00	5	1.00	3	0.88	2	0.62	2	0.77	1	1.00	0.829
	0.7	0		0		2		2		0		0		
	0.3	0		0		0		1		1		0		
	0	0		0		0		1		0		0		

SME (21 cases)														
NAS 7 "Accounting for leases" / IAS 17 and IFRS for SME (22 cases)	1	1	1.00	8	0.97	1	1.00	6	0.96	3	1.00	1	1.00	0.973
	0.7	0		1		0		1		0		0		
	0.3	0		0		0		0		0		0		
	0	0		0		0		0		0		0		
NAS 8 "The income" / IAS 18, IAS 11 and IFRS for SME (21 cases)	1	1	1.00	0	0.70	2	0.90	3	0.93	5	0.91	1	1.00	0.871
	0.7	0		5		1		1		2		0		
	0.3	0		0		0		0		0		0		
	0	0		0		0		0		0		0		

(continues)

NAS / IAS	Coefficients		Scope	Terminologies	Recognition	Measurement	Accounting methods	Re-measurement	Measurement coefficient					
NAS 9 "Consolidation" / IFRS 3 and IFRS for SME (15 cases)	1	1	1.00	2	1.00	2	1.00	3	0.66	1	0.50	0	1.00	0.753
	0.7	0		0		0		2		0				
	0.3	0		0		0		3		0				
	0	0		0		0		0		1		0		
NAS 10 "Grants and other forms of aid" / IAS 20 and IFRS for SME (12 cases)	1	0	0.70	0	0.47	1	0.65	2	0.77	2	1.00	1	1.00	0.725
	0.7	1		2		0		0		0				
	0.3	0		0		1		1		0				
	0	0		1		0		0		0				
NAS 11 "Profit tax" / IAS 12 (19 cases)	1	1	1.00	2	0.85	6	0.93	4	1.00	1	1.00	1	1.00	0.937
	0.7	0		2		2		0		0				
	0.3	0		0		0		0		0				
	0	0		0		0		0		0				
NAS 12 " The effect of exchange rate changes" / IAS 21 and IFRS for SME (16 cases)	1	1	1.00	4	1.00	4	1.00	3	1.00	3	1.00	1	1.00	1.000
	0.7	0		0		0		0		0				
	0.3	0		0		0		0		0				
	0	0		0		0		0		0				
NAS 13 "	1	0	0	3	0.93	1	0.85	1	0.57	1	0.3	1	0.50	0.618

Biological Assets and Concessions Agreements" / IAS 41 and IFRS SME (17 cases)	0.7	1	70	1		1		1		1	4	0		
	0.3	0		0		0		0		0		0		
	0	0		0		0		1		3		1		
NAS 14 "Accounting treatment of controlled companies and participations" / IAS 27, IAS 28, IAS 21 IAS 7 and IFRS for SME (15 cases)	1	1	1.00	4	1.00	1	0.50	1	0.85	1	0.85	1	0.85	0.807
	0.7	0		0		1		1		1				
	0.3	0		0		1		0		0				
	0	0		0		1		0		0		0		

Table no 2 "Fuzzy matrix of similarity to NAS - IAS / IFRS (Matrix  $\mathfrak{R}$ )"

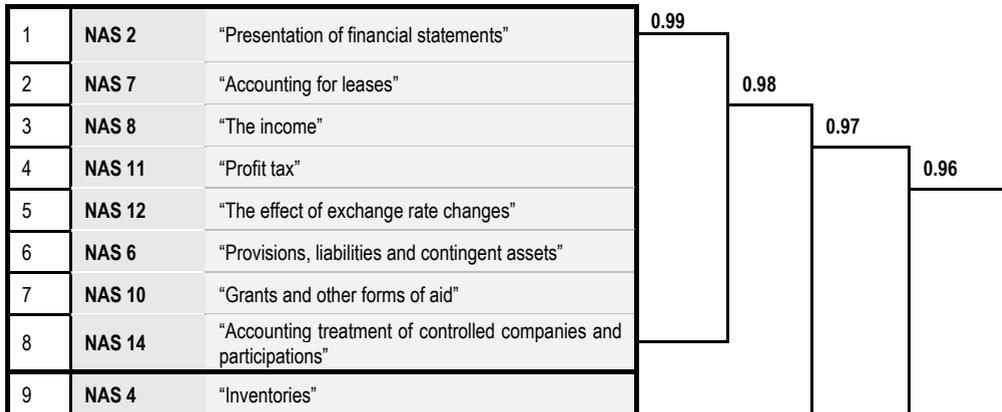
1	0.97	0.99	0.99	0.99	1.00	1.00	0.98	0.98	1.00	1.00	0.98	0.99
0.97	1	0.97	0.97	0.97	0.97	0.97	0.97	0.97	0.97	0.97	0.97	0.97
0.99	0.97	1	0.99	0.99	0.99	0.99	0.98	0.98	0.99	0.99	0.98	0.98
0.99	0.97	0.99	1	1.00	0.99	0.99	0.99	0.98	0.99	0.99	0.98	0.98
0.99	0.97	0.99	1.00	1	0.99	0.99	0.99	0.98	0.99	0.99	0.98	0.98
1.00	0.97	0.99	0.99	0.99	1	1.00	0.99	0.98	1.00	1.00	0.98	0.99
1.00	0.97	0.99	0.99	0.99	1.00	1	0.98	0.98	1.00	1.00	0.98	0.99
0.98	0.97	0.98	0.99	0.99	0.99	0.98	1	0.97	0.98	0.99	0.98	0.98
0.98	0.97	0.98	0.98	0.98	0.98	0.98	0.97	1	0.98	0.98	0.95	0.98
1.00	0.97	0.99	0.99	0.99	1.00	1.00	0.98	0.98	1	1.00	0.98	0.99
1.00	0.97	0.99	0.99	0.99	1.00	1.00	0.99	0.98	1.00	1	0.98	0.99

0.98	0.97	0.98	0.98	0.98	0.98	0.98	0.98	0.95	0.98	0.98	1	0.98
0.99	0.97	0.98	0.98	0.98	0.99	0.99	0.98	0.98	0.99	0.99	0.98	1

**Table no 3 “Fuzzy matrix of balance for NAS - IAS / IFRS(Matrica ƒ)”**

1	0.97	0.99	0.99	0.99	1.00	1.00	0.98	0.98	1.00	1.00	0.98	0.99
0.97	1	0.97	0.97	0.97	0.97	0.97	0.97	0.97	0.97	0.97	0.97	0.97
0.99	0.97	1	0.99	0.99	0.99	0.99	0.98	0.98	0.99	0.99	0.98	0.98
0.99	0.97	0.99	1	1.00	0.99	0.99	0.99	0.98	0.99	0.99	0.98	0.98
0.99	0.97	0.99	1.00	1	0.99	0.99	0.99	0.98	0.99	0.99	0.98	0.98
1.00	0.97	0.99	0.99	0.99	1	1.00	0.99	0.98	1.00	1.00	0.98	0.99
1.00	0.97	0.99	0.99	0.99	1.00	1	0.98	0.98	1.00	1.00	0.98	0.99
0.98	0.97	0.98	0.99	0.99	0.99	0.98	1	0.97	0.98	0.99	0.98	0.98
0.98	0.97	0.98	0.98	0.98	0.98	0.98	0.97	1	0.98	0.98	0.95	0.98
1.00	0.97	0.99	0.99	0.99	1.00	1.00	0.98	0.98	1	1.00	0.98	0.99
1.00	0.97	0.99	0.99	0.99	1.00	1.00	0.99	0.98	1.00	1	0.98	0.99
0.98	0.97	0.98	0.98	0.98	0.98	0.98	0.98	0.95	0.98	0.98	1	0.98
0.99	0.97	0.98	0.98	0.98	0.99	0.99	0.98	0.98	0.99	0.99	0.98	1

**Histogram 1.2 "For the Convergence of First NASs with IAS / IFRSs"**



10	NAS 5	"AAM dhe AAJM"	
11	NAS 9	"Consolidation"	
12	NAS 13	"Biological Assets"	
13	NAS 3	"Financial Instruments"	

Table no. 4 "Convergence measurement coefficients for the first and improved NAS Set"

NAS / IFRS	Measurement coefficient		
	First Set	Amended Set	Differences
NAS 2	0.91	0.91	0
NAS 3	0.73	0.76	0.03
NAS 4	0.76	0.79	0.03
NAS 5	0.79	0.83	0.04
NAS 6	0.83	0.83	0
NAS 7	0.99	0.97	-0.02
NAS 8	0.91	0.87	-0.04
NAS 9	0.75	0.75	0
NAS 10	0.86	0.73	-0.13
NAS 11	0.94	0.94	0
NAS 12	1	1	0
NAS 13	0.59	0.62	0.03
NAS 14	0.79	0.81	0.02

## A Fascinating Trip Through Literature in Elena Ferrante's Neapolitan Novels

**Maria Sgouridou**

Professor, Department of Italian Language and Literature, National and Kapodistrian University of Athens

**Athanasios Natsis**

Scientific Collaborator, Department of Russian Language and Literature and Slavic Studies, National and Kapodistrian University of Athens

### Abstract

In Elena Ferrante's *Neapolitan Novels*, more than a multidimensional frame of the contemporary Italian reality, a panoramic view of European and American literature is present. Such a view reflects the author's serious engagement and reveals, in part, her literary models. In the present paper, emphasis is put on the author's testimonies, both direct and internal, about the origin of her resources: Virgil, Leon Tolstoy and Louisa May Alcott are the ones treated here.

**Keywords:** comparative literature, apprenticeship novel, classics, Russian realism, American literature, Ferrante fever

### Introduction

Being recognized as one of the most important contemporary Italian writers, Elena Ferrante has always defended her right to anonymity and argued that keeping it would be of fundamental importance for the creative process (Domonoske, 2016). Experts have repeatedly tried to dig out her true identity: could she be Marcella Marmo, a Neapolitan Professor, as Marco Santagata claims (Donadio, 2016), or the translator Anita Raja, in Marco Gatti's opinion (Gatti, 2016), or even a man, Domenico Starnone, Raja's husband, according to what a group of linguists (Savoy, 2017) at the University of Padua has recently asserted?

Ferrante herself claims that a book, since it is written, has no more need of its author. However, if we accept that to fully appreciate a literary text it is necessary to know its author's perspective, as it inevitably affects the characters he creates, in Ferrante's case the safest source available so that we can reconstruct her background is the material offered by her own texts. In *Neapolitan Novels*, in fact, literature acts as a keystone for the evolution of the plot, as the author reveals a kaleidoscope of European literature, precisely her literary arsenal, which illuminates us about her reality.

Elena Ferrante's *Neapolitan Novels* is an epic circle that narrates the story of two little girls from their childhood to old age. It undoubtedly offers a precise description of the social and economic transformation of their world, their city and finally of all Italy during the significant decades from 1950 to 2011. Step by step, we observe not only the development of their relationship, but the way their modest neighbourhood and the entire peninsula changes as well. Through the narration of their lives, readers become able to approach and discover the political history of modern Italy from the end of the Second World War till nowadays. However, within this rich and multidimensional frame, another equally important factor is gradually emerging: a panoramic, through continuous references, view of European and American literature, which reflects the author's serious engagement and contributes to the so-called "Ferrante fever" phenomenon (Marangoni, 2017).

Elena and Lila, both born in August of 1944, are the best students in their elementary school. Lila, daughter of a shoe maker, is really brilliant, the most intelligent of the two, and Elena, daughter of a concierge, inevitably follows her. After all, the girls do not consider only the lessons at school; they also like reading romances of both Italian and international literature: Grazia Deledda, Luigi Pirandello, Alessandro Manzoni, Folgore da San Cimignano, Edoardo de Filippo, Louisa May Alcott, Anton Chekhov, Nikolai Gogol, Leon Tolstoy, Fyodor Dostoevsky are some of their favourite authors mentioned in the first three books of the 4-part series. All the above-mentioned foreign writers had already been translated in Italy (Mazzucchelli, 2007) and anyone, even people from the underdeveloped southern region of the country, could have access

to their work. Therefore, the two little girls will read Louisa May Alcott's *Little Women*, one of the world's most beloved novels. This book became a landmark of their childhood: they were impressed by the fact that the writer became wealthy by receiving publication rights and saved her family from poverty. Consequently, Elena and Lila decided to produce a book. Lila, always impatient and decisive, was the first to write a novel entitled the *Blue Fairy* at the age of 10.

"...However, Lila, whose parents did not allow her to continue the education she thrived on, was confined to the neighbourhood and her responsibilities to work and support her family. Elena, conversely, was allowed to continue her schooling with her parents' assistance, becoming a star pupil in Lila's absence. It was her education that gave her an opportunity to leave the neighbourhood, a privilege neither her parents nor Lila were afforded..." (Vazquez, 2017)

In fact, Elena became a professional writer. In contrast, Lila, although extremely gifted as a child, abandoned school after having completed only her elementary studies, since her father denied paying for private lessons in Latin, a necessary subject for her admission at higher education level. On the contrary, Elena continued her studies and she graduated from university. Yet Lila, faster than Elena, studying a borrowed book of Latin grammar, approaches Virgil's *Aeneid* and for the first time in her life Elena will listen from her lips about Dido. This means that there are a significant number of references of that book in a substantial part of the tetralogy. Dido, personification of the betrayed woman, is often used by Ferrante for another reason: both her heroines will face the same fate with Virgil's female protagonist. First, Lila will be abandoned by her lover Nino Sarratore, since her romance, after 23 days of life in common, will end unexpectedly, then Elena will be trapped by the same man after a few years. She will get divorced from her husband in order to be with Nino; however, he will abandon her, just like Aeneas abandoned Dido. It should be mentioned, however, that Aeneas is

"...a warrior who will lead his people to safety, found a new Trojan state, and establish order in his and his countryman's lives. Aeneas is the embodiment of Roman virtues: He is the dutiful servant of fate and of the gods, he is an exemplary leader of his people, and he is a devoted father and son. He demonstrates appropriate *pietas* — devotion to one's family, country, and mission. Aeneas's character possesses human qualities as well [...] Aeneas is "a man apart, devoted to his mission, a dedicated man." He tells Dido that he is "duty-bound." [...] Aeneas is determined to fulfil his mission despite obstacles that might hinder his progress" (McDougall & Pavlos, 2001).

Within such a frame, Dido, as a woman, represents an obstacle and must be eliminated. Just like Dido, Elena and Lila are also victims in a man's world even if this man is a father, a husband or a lover. The abandoned queen touches both girls, especially Elena who will choose the fourth book of the *Aeneid* as the main argument for her thesis. Notably, in Book IV, Aeneas is torn between his love for Dido and his need to fulfil his mission. However, none of the two heroines of the tetralogy commits suicide as Dido did. When Nino disappears the two women try desperately to survive each in her own way: Lila initiates a new relationship with Enzo and establishes a successful computing company. Elena becomes a well-known writer and continues living in Naples with her three daughters. The model of the abandoned woman, expressed by Dido, is radically transformed in accordance to the 20th-century necessities. In fact, during the decades of the seventies and eighties, women do not want to be victims anymore, even if a lover is still able to break their hearts. Their behaviour reclaims also another example from the campus of literature: Anna Karenina, Tolstoy's tragic heroine, predator and prey at the same time, left her family escaping from a boring marriage to seek happiness in the arms of Sergeant Alexei Vronsky, who abandoned her after the birth of their daughter.

Just like Anna, the much talked-about heroine of Leo Tolstoy, Lila abandons her home and a marriage that offers her confidence and prosperity but not happiness. Elena, much more successful based on the social standards and her humble origins, follows her own charming Vronsky —even more frivolous and hypocritical is Nino — leaving behind a peaceful man, a remarkable University Professor, and two daughters. She has been living with him for several years, like Anna Karenina, and she gives birth to a girl, just like the Tolstoy's heroine. Anna Karenina, the feminine ideal of the top representative of Russian realism, is reflected in the third book of the tetralogy, *Those who leave and those who stay*: "... In my thoughts, I travelled from the first and second biblical creation narrations up to Defoe's *Moll Flanders*, Flaubert's *Madame Bovary*, Tolstoy's *Anna Karenina*... ". But beyond that particular reference to a literary text, there is a Ferrante's interview, in which case she stated that she "...preferred to imitate Defoe, Fielding, Dostoevsky, Tolstoy..." (Levasseur, 2015). And since the author's interviews are always written, we have an internal testimony (Wellek & Warren, 1970) of the sources she uses.

Based on the above, it is assumed that Ferrante belongs to the category of the so-called "multi-collective" writers. Although she demonstrates, in terms of readings and sources she taps into, an evident trend towards the literature of modern realism, focusing on the lead Russian masters, Chekhov, Gogol, Goncharov, Dostoevsky, Tolstoy, she does not reject French masters, Flaubert, nor the classical sources, such as Virgil's *Aeneid*, which, along with the heroic tale about the creation of the Roman Empire, highlights the female world with much sensitivity. According to her own references and

statements, the author also takes into consideration the apprenticeship novel: her favourite readings include Daniel Defoe's *Moll Flanders* and *The History of Tom Jones* by Henry Fielding.

Inevitably, such quests will direct her to the paths of American literature, to the well-known version of Dickens's realism, to the multifaceted worlds of Louisa May Alcott. Alcott combines the apprenticeship novel — and the journey towards maturity — with the inevitable lightening of the female psyche, aiming to capture the evolution of her heroines in relation to their environment. Alcott's targeting, therefore, seems to coincide with that of Ferrante. The *Little Women*, Meg, Jo, Beth and Amy, represented the vision of every woman in the 1970s, when the feminist movement spread: they make up a fearless creature with a high intelligence quotient, with virtues and aspirations, that perceives its fragile nature and yet does not accept its fate without fighting. She reacts: she travels, falls in love, creates dramas. She is that kind of woman, she is the way every woman would like to be, an artist of life. Isn't it that Lila and Elena do the same thing? They complement each other, they survive, win, lose, build, demolish, move, decide, act, love and hate, and they mutually alternate in angel and demon roles, tied for more than half a century to a friendship that began as a game with two dolls, Tina and Nu.

Since 1868, the *Little Women* have endeared fascinatingly in Western societies by portraying the model of a woman who achieves everything passionately, talks about the end of innocence, the prolongation of adolescence, the dreams flattened out by the reality of life. Ferrante herself presents her ideal on the last page of the fourth book of the tetralogy: "... with that money we didn't buy dolls ... but the *Little Women*, the romance that goaled Lila to write the *Blue Fairy* and me to become what I am today, author of many books and mainly of a successful novel entitled *A friendship*" (*The Story of the lost child*). Thus, she completes a circle, after having referred to Alcott in the first book of the 4-part series. She explicitly admits the influence she received through her friend's novel in order to begin her writing career and to produce a novel talking about both of them and their unique friendship. However, the reader has the impression that something important is missing: the completion of the story by Lila. Actually, we never get to know whether Lila had ever authored anything in secret. In that sense, the book remains unfinished, its end is open. On another note, we should bear in mind that Ferrante's basic literary model, the *Little Women*, is an open-ended book.

In conclusion, as evidenced in *Neapolitan novels*, the author has a broad literary education that includes not only classical sources but also some of the greatest works of modern and contemporary European and American literature. Ferrante is not merely a reader of literature but a keen observer of it, being able to distinguish the style and the literary movement to which each writing belongs. She appreciates both pillars of literature as she seems to love prose, historical and apprenticeship novel, without excluding poetry in its epic form and she combines personal writing with romantic and realistic elements. Literature is for her a precious source, a firm reference point, a continuous stimulus of inspiration, a real tool.

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## **Classroom Observation for the Professional Development of Myanmar University Lecturers in a Singapore Cross-Cultural Context: Perception of Abilities and Learning Based on ‘Nine Events of Instruction’**

**Siew Hong Lam**

Department of Biological Sciences,  
Faculty of Science, National University of Singapore.

### **Abstract**

Continuing professional development is important for improving and reforming teaching. Classroom observation of others' teaching has been used for the professional development of eight lecturers from three Myanmar universities who visited the Department of Biological Sciences, National University of Singapore over a period of three weeks. To bridge the socio-cultural and educational background differences, Gagné's 'Nine events of instruction' was used as a pedagogical framework to guide and evaluate the classroom observation and learning as it is well-established for instructional design and resonate well with educators. This study aimed to evaluate the participants' abilities and their learning through classroom observation based on their perceptions of the 'nine events of instruction'. The study found that most of the participants have positive views of their abilities in relation to the 'nine events', especially in practicing the early events of instruction. The classroom observation has benefited them with respect to the 'nine events', particularly 'Informing the Students of the Objective/Outcome', 'Stimulating Recall of the Prior Knowledge' and 'Presenting Information/Content/Stimulus'. Notably, 'Assessing Performance' was the most perceived 'event of instruction' that the participants wanted to improve on and that the participants perceived will benefit Myanmar lecturers the most. Qualitative feedbacks by the participants revealed lessons learned, their potential applicability and desires to reform and share. The study further demonstrated that the 'nine events of instruction' is a useful pedagogical framework for guiding and evaluating perception of abilities and learning in classroom instruction and observation for continuing professional development in a cross-cultural context.

**Keywords:** Continuing Professional Development, Classroom Observation, Gagné's Nine Events of Instruction, Cross-Cultural Context.

### **Introduction**

Continuing professional development is critical to reforming teaching and learning in education (Borko, 2004). Educators who experienced effective professional development will increase in knowledge and skills, and in turn may change their attitudes and pedagogical approaches in teaching that will enhance students' learning (Desimone, 2009). Kennedy (2005) proposed up to nine models of continuing professional development for educators, and by increasing the capacity of professional autonomy of teachers to innovate, these models transit from playing transmission to transformative roles. Observing others' teaching can develop from a transmission model to a transformative model if ideas transmitted to the observer can further inspire and empower the observer to experiment and perform action research in the classroom. The observed classroom teaching offers an immersive and reflective environment for the observer to learn and develop ideas that could innovate his/her own teaching approach (Putnam & Borko, 2000; Wragg, 2002). It encourages self-reflection and experimentation with instructional design and delivery, and may even reduce the sense of isolation that might be felt by faculty with regard to teaching (Ammons & Lane, 2012). Therefore, classroom observation of peers' teaching has been used as a tool for continuing professional development and shown to improve teaching and learning in higher education (Ali, 2012; Sullivan, Buckle, Nicky & Atkinson, 2012; Hammersley-Fletcher & Orsmond 2004).

### **Classroom observation**

Classroom observation has served various interests from pedagogical research, curriculum development, course evaluation, and peer-review for appraisal of teaching to professional development of educators (Wragg, 2002). Irrespective

of its purpose, classroom observation promotes self-development of the observers into reflective practitioners of teaching and learning (Cosh, 1998). Observation of the classroom practices and interactions with students can provide insights into teaching effectiveness and students learning. It has been noted that the observers/reviewers had learnt and benefitted much from the experience of classroom observation (Wragg, 2002; Lomas & Nicholls, 2005). As a result, classroom observation has been used for developing professional skills of trainees, novice and even experienced teachers (Putnam & Borko, 2000).

Observing others' teaching can offer a stronger cognitive stimulation in terms of immersion, resonance, authenticity and motivation (Seidel, Stürmer, Blomberg, Kobarg, & Schwindt, 2011). Classroom observation allows one to immerse in an authentic environment to exercise professional vision that helps to identify teaching practices and interpret classroom activities that resonate with the observer (Berliner 1986, Evertson & Green, 1986). It allows the observer to make multiple connections of what have been observed with one's own classroom practices through the activation of prior knowledge and experiences. This in turn increases intrinsic motivation and interest to learn, change and apply relevant classroom instructional events that are perceived to deliver effective outcomes in the observer's teaching context. As a result of the newly derived insights and ideas from the classroom observation, the observer will be motivated to start experimenting the ideas and performing action research to innovate teaching practices in his/her own classroom.

### Continuing Professional Development

The Department of Biological Sciences (DBS) in the National University of Singapore (NUS), through its outreach program 'ASEAN Universities Network in Biology', is working together with the Department of Zoology from three universities in Myanmar to provide continuing professional development for their faculties. The continuing professional development involved multiple classroom observations carried out by the visiting Myanmar lecturers on selected life science courses/modules of their choices over a period of 3 weeks in DBS, NUS. As such continuing professional development can be costly and time-consuming, it is important to review its effectiveness and where possible value enhanced the program. However, given the differences between Myanmar and Singapore socio-cultural and educational contexts, there was a need to find common pedagogical themes that are relevant or universally experienced in order to guide the classroom observation and evaluate the learning. To do so, Gagné's 'Nine events of instruction' was used as a pedagogical framework to guide and evaluate the classroom observation and learning because it resonates well with educators as it is well established for instructional design and has high relevance for classroom teaching (Reiser, 2001, Kantar 2013).

### Nine Events of Instruction

Gagné viewed learning as progressive, generalizable and dependent on instructional effectiveness (Gredler, 2005; Kantar, 2013). He proposed that there are 'nine events of instruction' that are linked to specific cognitive processes and outcomes that are essential for information processing and learning, as summarized in **Table 1** (Gagné, 1985). From the perspective of classroom practice, these 'events' guide educators to start their lessons, engage students, link prior knowledge to new information, organize information to stimulate learning, guide learning, trigger performance to demonstrate learning, provide feedback, assess performance, and eventually facilitate internalization and transference of knowledge. These 'events', when carried out progressively to activate cognitive processes and to achieve learning outcomes, have been found to resonate well with the general aims of teaching which range from processing information to deep learning, and from development of psychomotor and affective skills to acquisition and application of knowledge and skills in new contexts (Gagné, Briggs, & Wager 1992; Walker 2009; Kantar 2013). As examples of its relevance in more recent years, the 'nine events of instruction' has been employed as instructional design for teaching medical sciences (Wong, 2018; Davies, Pon & Garavalia, 2018; Miner, Mallow, Theeke, & Barnes, 2015), Arabic language (Mei, Ramli & Alhirtani, 2015), as well as design of learning management systems (Gokdemir, Akdemir, & Vural, 2015) and online course (Onodipe, Ayadi, & Marquez, 2016) in higher education context. These examples further highlight the broad applicability of the 'nine events of instruction' in many of the teaching and learning contexts. The use of the 'nine events of instruction' as a pedagogical framework for guiding and evaluating learning for classroom observation in a cross-cultural context in this study would be a novel approach that will add to its list of applications.

**Table 1. Nine events of instruction and the corresponding cognitive processes/outcomes with action examples.**

Nine Events of Instruction	Cognitive processes/outcomes (action example)
Gaining Attention of Students	Activate reception which will lead to readiness to learn (use abrupt stimulus change)
Informing the Students of the Objective/Outcomes	Create expectancy which will lead to anticipation of the lesson and its purpose (tell learners what they are able to do after learning)

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Stimulating Recall of the Prior Knowledge	Retrieve knowledge and move them into working or short-term memory (ask for recall of previous lesson taught)
Presenting Information/Content/Stimulus	Create selective perception that will stimulate learning (display content with distinctive features)
Providing Learning Guidance	Cause semantic encoding that will move knowledge into long-term memory (suggest a meaningful organization)
Eliciting Performance	Induce response to demonstrate learning (ask learner to respond or perform)
Providing Feedback	Reinforce learning by affirming the correctness of performance (give informative feedback on performance)
Assessing Performance	Retrieve knowledge and further reinforce learning (require additional performance and feedback)
Enhance Retention & Transfer	Long-term storing and generalize knowledge (provide varied practice and spaced reviews).

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## Research Aims

In using the 'nine events of instruction' as a pedagogical framework for the classroom observation, this study first aimed to evaluate the perception of the Myanmar lecturers on their classroom instruction abilities in relation to the 'nine events of instruction' and to inquire which of the nine events they would like to improve on. The purpose was to aid reflection on their abilities which in turn helped to align their motivation and focus in learning the 'nine events' prior to the classroom observation. Next, the study also aimed to evaluate the degree of learning or benefits of the classroom observation in relation to the 'nine events' based on the self-perception and qualitative feedbacks of the participants. This will provide some insights into whether the classroom observation was useful for continuing professional development, at least from the participants' perspectives, and to consider possible improvements. Finally, there is also an interest to test the usefulness of 'nine events of instruction' as a novel approach for guiding and evaluating learning from classroom observation in a cross-cultural context.

## Method

### Participants and the Continuing Professional Development Program

Eight female faculties from three Myanmar Universities participated in the continuing professional development program hosted by DBS, NUS. Four of the participants were from Mandalay University, two other participants were from University of West Yangon and the remaining two participants were from University of Yangon. Seven of the participants were between 41 to 50 years old while one participant was between 25 to 40 years old. Five of them were teaching both undergraduate and graduate students, while two other participants were teaching only graduate students and one participant was teaching only undergraduate students.

The continuing professional development program required the participants to carry out multiple classroom observations of lectures and laboratory sessions of their choices over a period of three weeks in late January to mid February of 2018. Upon their arrivals, participants selected the modules of their interests for classroom observation and the consent for them to observe the classes was obtained from the respective module coordinator prior to the classroom observation. Given that a lecture duration is about 1.5 hours and a laboratory session is between 4 to 6 hours, a participant typically observed either two to three lectures per day or one lecture and one laboratory session per day. Over the period of three weeks, each participant would have observed over 20 lectures and several laboratory sessions. The lectures and laboratory sessions were conducted in English language. All the participants were able to speak, read and write in basic communication English language.

### Design and procedure for data collection and processing

Prior to the commencement of the class observation, a 1.5-hour briefing session was conducted to explain the 'nine events of instruction' to the participants so that they understood the 'nine events' in the context of classroom practice and observation. The briefing session included a PowerPoint® presentation explaining the 'nine events', a video-recorded micro-teaching demonstration of the 'nine events' and take-home printed materials describing the examples of the 'nine events'. This was followed by a question-and-answer session and thereafter participants were requested to complete a survey. In the survey, they were asked to rate their classroom instruction abilities in relation to the 'nine events of instruction' and to indicate which of the nine events they would like to improve on. For the rating, participants were required to check

on boxes representing a Likert scale, where '1' represented 'Very poor or Not at all' and '7' represented 'Very well', for each of the 'nine events'. The next question required participants to indicate the numbered event that correspond to each of the 'nine events' that a participant wanted to improve on, and they were allowed to indicate more than one event.

Towards the end of the program, a 1.5-hour discussion meeting with the participants were conducted to obtain their verbal and written feedback. Participants were asked to indicate how much they have learned or benefitted from the classroom observation in relation to the 'nine events'. A general example of having derived understanding and ideas that a participant may want to try in her class is considered as 'having learned or benefitted' from the classroom observation, although this does not limit the inclusion of other learning experiences. Participants were required to check on boxes representing a Likert scale, where '1' represented 'Very little or Not at all' and '7' represented 'Very much', for each of the 'nine events'. In response to the next question, participants were asked to indicate the 'nine events' that they thought would benefit Myanmar lecturers the most. Finally, participants were requested to provide written feedbacks with regard to what they have learned and how they can apply them to improve their classroom teaching.

The Likert scale rating provided quantitative scores that were transferred into a Microsoft® excel file where descriptive statistics such as sum total count, mean and standard deviation were computed and tabulated as summary data. Excerpts from the qualitative feedback were presented with minor editing for clarity purpose.

## Results

### Perception of ability in practicing the 'nine events of instruction' before classroom observations

To ensure that the participants have the same basic understanding of the 'nine events of instruction' and to evaluate the perceptions of their abilities in practicing the 'nine events' before the beginning of their class observation, a 1.5-hour briefing session to explain the 'nine events' were provided to the participants followed by a brief question-and-answer session and a survey (refer to **Method** for details). It was found that none of the participants had heard of the 'nine events of instruction' prior to the briefing session. Nevertheless, the participants rated that they practice all of the 'nine events of instruction' in their classrooms with different degrees of ability, and mostly between 'average' to 'very well' (mean rating range from 4.13 to 6.25; **Table 2**). None of the participants selected 'very poor/not at all' (Likert scale=1) with respect to their abilities in practicing the 'nine events of instruction'. The findings further suggest that the 'nine events of instruction' resonated well with the participants despite of the social-cultural differences and that none of them have heard of it prior to the briefing session.

Of the nine events, 'Stimulating Recall of the Prior Knowledge' recorded the highest mean rating (6.25) where six (75%) of the participants rated themselves as 'very well' (Likert scale = 7) while one participant rated 'above average' (Likert scale = 5) and another rated 'average' (Likert scale = 4) in practicing it in their teaching (**Table 2**). This suggests that 'Stimulating Recall of the Prior Knowledge' was a common practice in their classrooms which the participants were confident of. Moreover, the practice of 'Informing the Students of the Objective/Outcome' (Mean rating = 5.88) and 'Presenting Information/Content/Stimulus' (Mean rating = 5.88) were also perceived positively.

Of the nine events that were rated at the 'lower' end, 'Assessing Performance' received the lowest mean rating (4.13) and has the largest standard deviation ( $\pm 2.1$ ) which suggest that there exist a greater degree of differences in the participants' abilities in practicing it (**Table 2**). Upon closer examination of the data, three of the participants rated themselves as 'poor' (Likert scale = 2) and one as 'below average' (Likert scale = 3), which brings to a total of 50% of the participants having perceived their abilities negatively in terms of 'Assessing Performance' of students. This was followed by 'Providing Feedback' (Mean rating = 4.75), 'Enhancing Retention and Transfer' (Mean rating = 5.00) and 'Eliciting Performance' (Mean rating = 5.14).

When the participants were asked which of the 'nine events of instruction' that they would want to improve on, 'Assessing Performance' and 'Providing Feedback' received the highest count (4 each), followed by 'Enhancing Retention and Transfer' and 'Eliciting Performance' which both received 3 counts each. In contrast, 'Stimulating Recall of the Prior Knowledge', 'Informing the Students of the Objective/Outcome' and 'Gaining Attention of Students' received zero count. These responses were not surprising as they were consistent with the ratings of their ability in practicing these 'events' based on their perceptions. The consistency between their ratings and responses demonstrated that the participants understood these 'nine events of instruction' well before the commencement of the classroom observation.

**Table 2. Perception of ability in practicing 'nine events of instruction'**

Nine Events of Instruction	Rate how well you are able to practice the following 'nine events' in your teaching. Mean Rating ( $\pm$ S.D.)*	Which of the 'nine events' do you want to improve? Frequency count (Percentage) <sup>#</sup>
Gaining Attention of Students	5.75 (0.89)	0
Informing the Students of the Objective/Outcome	5.88 (1.13)	0
Stimulating Recall of the Prior Knowledge	6.25 (1.49)	0
Presenting Information/Content/Stimulus	5.88 (0.99)	1 (12.5%)
Providing Learning Guidance	5.57 (0.98)	3 (37.5%)
Eliciting Performance	5.14 (1.21)	2 (25%)
Providing Feedback	4.75 (1.28)	4 (50%)
Assessing Performance	4.13 (2.10)	4 (50%)
Enhance Retention & Transfer	5.00 (1.51)	3 (37.5%)

\* Rating is based on Likert scale: 1 = 'Very poor or Not at all' and 7 = 'Very well' S.D. = Standard Deviation.

<sup>#</sup> Percentage = [Number of participants indicated the 'event' that they want to improve on / Total number of Participants (n = 8)] x 100 Participants were allowed to choose more than one 'event'.

Taken together, the findings suggest that most of the participants were confident in practicing 'event 1' to 'event 5' of instruction, but were relatively less confident when it comes to the last four events of instruction, especially 'Assessing Performance' and 'Providing Feedback'. This further suggests that the participants were confident in engaging students at the opening of their lessons, connecting with previous lessons and delivering the current content, but were less able in activating students to demonstrate learning outcomes, in providing informative and timely feedback to students, in assessing learning outcomes, and in creating learning opportunities for internalization and application of knowledge in new context. These later instructional events and their outcomes are much more challenging to execute and achieve but are very important in impacting learning (Gagné, Briggs, & Wager 1992). Perhaps of greater importance is that the participants, in recognizing their own needs or weaknesses, had expressed their desires to improve on these later events of instruction.

### Perception of learning the 'nine events of instruction' after classroom observations

To find out how much the participants perceived that they have learned or benefitted from their classroom observations with regard to the 'nine events of instruction', a 1.5-hour discussion meeting and a written feedback survey were conducted near the end of the program (refer to **Method** for details). There were 71 out of the 72 expected quantitative rating responses (from nine survey items and eight participants), hence indicating a strong participation in the survey and feedback exercise. Two-third of the ratings were generally positive as most participants indicated that they have learned or benefitted 'quite much' to 'very much' (Likert scale = 5 to 7) from the classroom observation while a third of the ratings indicated that they have learned 'moderately' (Likert scale = 4), but none of them indicated 'little' (Likert scale = 2) or 'very little or not at all' (Likert scale = 1).

Of the nine events shown in **Table 3**, 'Informing the Students of the Objective/Outcome' received the highest mean rating (5.88) with six participants indicated that they have learned 'much' (Likert scale=6) and one indicated 'very much' (Likert scale = 7). This was followed by 'Stimulating Recall of the Prior Knowledge' (Mean rating = 5.50) and 'Presenting Information/Content/Stimulus' (Mean rating = 5.50). On the other hand, 'Providing Learning Guidance' (Mean rating = 4.63) and 'Eliciting Performance' (Mean rating = 4.75) have the lowest mean ratings, where each have four (50%) of the participants indicated that they have learned or benefitted 'moderately' (Likert scale = 4) from the classroom observation. Of importance are 'Assessing Performance' and 'Providing Feedback' because half of the participants had earlier expressed that they wanted to improve on these 'two events' prior to the commencement of classroom observation. At the end of the program, these two 'events' have mean ratings about 5 suggesting that a larger number of participants have learned 'quite

much'. A closer examination of the data for the two 'events' revealed that five (62.5%) of the participants have indicated that they have learned 'quite much' to 'very much'.

Notably, 'Enhancing Retention and Transfer' has the largest standard deviation ( $\pm 1.46$ ) which three (37.5%) participants indicated that they have learned 'much' or 'very much' while four (50%) other participants indicated that they have learned 'moderately' and one without response. Such diverging responses are likely due to the different modules that the participants observed and timing of their observations. Those who indicated 'much' or 'very much' may have selected modules that demonstrated learning activities and tasks that contributed more to 'Enhancing Retention and Transfer' while those that indicated 'moderately' may have selected modules that have demonstrated less of the 'event' during the observation period. Moreover, not all events are practiced or are easily demonstrable or observable within classroom.

When the participants were asked which of the 'nine events of instruction', if taught, would benefit Myanmar lecturers the most, 'Assessing Performance' again received the most count (6), followed by 'Enhancing Retention and Transfer' (5 counts) while 'Eliciting' Performance' and 'Providing Feedback' received 4 counts each (Table 3). Notably, 'Gaining Attention of Students' did not receive any count. Overall, this may reflect a greater awareness among the participants on the importance of the later events of instruction in classroom practices as they do share similar trend to the earlier question on "Which of the 'nine events' do you want to improve?" that was asked before the classroom observation commenced. As such, perhaps some of these later but important instructional events can be taught directly to the participants in a workshop bolted onto the program. In addition, modules that feature these later instructional events more prominently can be recommended earlier to the participants for classroom observation.

**Table 3. Perception of learning the 'nine events of instruction' after classroom observations**

Nine Events of Instruction	Rate how much you have learned or benefitted from the classroom observations regarding the practice of the 'nine events' for your teaching (e.g. providing understanding and ideas that you may want to try in your class). Mean Rating ( $\pm$ S.D.) *	If the 'nine events' were taught, which do you think would benefit Myanmar lecturers the most? Frequency count (Percentage)#
Gaining Attention of Students	5.25 (0.71)	0
Informing the Students of the Objective/Outcome	5.88 (0.83)	2 (25%)
Stimulating Recall of the Prior Knowledge	5.50 (1.07)	1 (12.5)
Presenting Information/Content/Stimulus	5.50 (1.20)	2 (25%)
Providing Learning Guidance	4.63 (0.74)	2 (25%)
Eliciting Performance	4.75 (0.89)	4 (50%)
Providing Feedback	5.00 (1.31)	4 (50%)
Assessing Performance	5.13 (1.25)	6 (75%)
Enhance Retention & Transfer	5.14 (1.46)	5 (62.5%)

\* Rating is based on Likert scale: 1 = 'Very little or Not at all' and 7 = 'Very much'; S.D. = Standard Deviation.

# Percentage = Number of participants indicated the 'event' as benefitting Myanmar lecturers the most / Total number of participants (n = 8). Participants were allowed to choose more than one 'event'.

The written feedback from participants offered some qualitative insights into their learning from the classroom observation (Table 4). In general, the participants were positive in their response in acknowledging that they have learned from the classroom observation with respect to the 'nine events'. Of greater importance is that many of the participants expressed the possibility and their desire of applying what they have learned back into their classrooms. The program has also elicited the desire to change or reform one approach to teaching (response number 1) or the need to do so (response number 6). Such change in values and beliefs of the affective and conative domains are important indicators of successful continuing professional development program (Desimone, 2009; Putnam & Borko, 2000). It is also heartening that one response (number 8) has expressed the desire to share with her students and colleagues back in her university. Overall, the positive

feedback corroborated with the overall positive ratings of the participants' perception of learning from the classroom observations. This in turn agrees with previous studies that have shown that class observation was a useful tool for continuing professional development in higher education (Ali, 2012; Sullivan, Buckle, Nicky & Atkinson, 2012; Hammersley-Fletcher & Orsmond 2004).

**Table 4. Excerpts of written feedback regarding learning related to nine events of instruction**

Excerpts of written feedback from the eight participants *
I [have] gain[ed] so many benefits such as new techniques, strategies, ideas and resources. I can now design learning activities that will meet my instructional outcomes. I think the most important lesson that I [have] learned was the importance of feedback from nine events of instruction...this teaching attachment has made me [to] reflect on and reconsider my own planning processes [for teaching]. I have learned [that] using electronic equipment can help classroom teaching [to be] more effective and convenient to gain students' attention and provide immediate assessments. I think I can apply them back in my classroom teaching...I will also inform learning objectives, outcomes and summary [of] every lecture.
I do use [events] 6, 7, 8, [and] 9 teaching my students...I can apply [the] teaching method and practical assessment that I learned.
Nine events of instruction also help in my classroom teaching, especially [events] 7, 8 [and] 9...This has help[ed] me to improve my teaching method.
I think I can apply them back in our classroom teaching because [they will] improve our learning and help make sense of new information. I like the idea [of] providing immediate feedback of student's performance, to assess and facilitate learning.
I think we need to change our teaching style [and] system [in order] to apply [the] nine events of teaching effectively in our country.
I have learned a lot of teaching methods in this classroom observation. I can apply them back in my classroom especially 'Stimulating recall of the prior knowledge' and 'Eliciting performance'.
I learned new teaching methods from nine events of instruction. I would like to share our experience [with] our students as well as colleagues at our university.

\* Minor editing are made where needed [in parentheses] for clarity purpose.

## Discussion

The classroom observation employed for continuing professional development in this study can be likened to a short-term 'community of practice model' proposed by Kennedy (2005). The participants who are visiting lecturers from three Myanmar universities were themselves a community of educators learning from another (NUS) community of educators in the same practice (i.e. teaching biology in higher education). Although there exist socio-cultural differences between the two communities, the 'nine events of instruction' appeared to be a useful pedagogical framework that bridged the differences and thereby facilitated learning. The added value of learning in communities is the exposure to many individual practices and the sharing of knowledge that could help generate new ideas that encourage further experimentation and application in local contexts.

There are five critical components that an effective professional development program for educators should possess, i.e. *content focus*, *active learning*, *coherence*, *duration* and *collective participation* (Desimone, 2009; Peneul, Fishman, Yamaguchi & Gallagher, 2007). *Content focus* represents the activities that focus on the teaching and learning of a subject matter (Desimone, 2009), and in our program, the content focus is the classroom observation of the teaching and learning of biology that were of interest to the participants. 'Nine events of instruction' provided pedagogical guidance on what to observe for effective instructional design and it facilitated *active learning* during classroom observation so that participants do not passively listen to a lecture only, but actively 'look for' and 'note down' the classroom practices and reflect on their pedagogical principles based on the 'nine events'. In this aspect, the 'nine events of instruction' which was shown to resonate well with the participants had also helped to provide *coherence* between participants' pedagogic knowledge and beliefs with what they were observing and learning during classroom observation. This coherent alignment of the participants' pedagogic knowledge and beliefs with what they were learning is critical for transference and application of knowledge which otherwise may not be thought of as important or applicable in their classrooms (Peneul, Fishman, Yamaguchi & Gallagher, 2007). As for *duration*, the three week program provided sufficient time for exposure to various content knowledge and classroom practices along with reflections as longer duration is needed to engage pedagogical change and arouse investigative curiosity in science classroom teaching (Supovitz & Turner, 2000). The *collective participation* from the eight participants provided important interaction and discourse which is important to foster learning within their own community throughout the program (Bannilower & Shimkus, 2004). To further enhance active learning and collective participation, demonstration of micro-teaching session and feedback discussion can be introduced in future program.

While classroom observation provides a good model for continuing professional development of educators, it can be expensive and time consuming, as also noted by another study (Sullivan, Buckle, Nicky & Atkinson, 2012), which explains the small sample size of the present study. Although the cost was shared by the involved parties (DBS and the participants),

the number of participants that DBS can afford to host is limited by the cost. Moreover, a 3-week continuing professional development program involves substantial amount of time away from any ongoing professional commitments of participants in their home universities, hence, requires home institutions to adjust and/or relieve participants' commitments. As such, it is unlikely that the number of participants in this continuing professional development program will increase, and indeed it is not the intention of the program to grow the number of participants, but rather to steadily provide opportunities for different batches of participants to continue their professional development in this program annually over a longer term

Another limitation of this study is that it is based on self-perception of participants' ability and learning which is subjective. It lacks the instruments to measure the ability and the learning of the participants in a more objective manner. A better design would be to include some forms of evaluation exercises, e.g. either a short assessment on classroom practices or micro-teaching demonstration from each participants which will be evaluated based on the 'nine events of instruction' at the beginning and end of the program. A better evaluation of its impact could be done through a longer term follow up of the participants' teaching and their students' learning by their home universities. There are frameworks for evaluating continuing professional development in teaching where increased in knowledge and skills of participants can be assessed, while change in their attitudes and beliefs can be demonstrated and verified by change in instruction and improvement of their students' learning (Desimone, 2009; Borko 2004). As an example, Miner, Mallow, Theeke, & Barnes (2015) in believing the effectiveness of the 'nine events', they had incorporated it into a nursing curriculum hence changing the way they taught the course, and thereafter they reported the improvement in the grades of students in their final assessment. However, the evaluation of longer term impact would require increased commitments from the parties that are involved and may raise the question of cost-effectiveness. Even so, such evaluation study can be action research conducted by the participants themselves, and in turn, this would help them to develop scholarship of teaching and learning in their professional development. This is exemplary of how a transmission model such as classroom observation can develop into a transformative model of action research for continuing professional development as proposed by Kennedy (2005).

Given that such continuing professional development is expensive and time-consuming, it should therefore be reviewed over time and where possible to enhance its effectiveness. This study proposes the following recommendations for the future improvement of the program:

Provide participants with the module/course description that includes information on the rationale, learning outcomes, teaching mode, assessment, etc. This will help participants to make better informed choices in selecting the modules to observe.

Recommend certain modules that feature the later 'events of instruction' more prominently and those that are taught by teaching award winners in order to expose participants to the later 'events of instruction' and the diverse, high quality classroom teaching.

Organize a teaching workshop at the beginning and/or at the end of the program to provide some basic training in classroom observation (as use in conjunction with the 'nine events of instruction') and other aspects of teaching and learning, including technology-empowered pedagogy and follow up action research. This can also include an assessment of participants' knowledge and abilities through micro-teaching demonstration.

## Conclusion

The study demonstrates that Gagné's nine events of instruction is a useful pedagogical framework for guiding and evaluating perception of ability and learning in classroom instruction and observation for continuing professional development. It is particularly useful in a cross cultural context as the 'nine events' are common practices aim at learning outcomes that are desirable and relatable to educators in classroom teaching. The study found that the visiting Myanmar lecturers have positive views of their abilities, especially in practicing the early 'events of instruction'. Based on the perception of the Myanmar lecturers, the classroom observation has benefitted them with respect to the 'nine events of instruction'. They have expressed their desire to change some of their classroom practices by applying and sharing the lessons learnt when they return to their home universities. While the study indicate some measures of effectiveness of the present program, there are rooms for improvements to further enhance the continuing professional development program.

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## Running Head: when Physical and Social Distances Produce An Analogical Perceptual Bias in the Ebbinghaus Illusion

Kévin Moinier

Juliette Gasquet

Vincent Murday

Lionel Brunel

Laboratoire Epsilon (EA 4556) - Université Paul-Valéry - Montpellier 3 – France

### Abstract

Grounded theory argues that perceptual and memory processes share common sensorimotor properties, and that they influence each other during perceptual processing of the environment's features. When these principles are applied to social cognition, it was shown that to live, or represent, a situation related to a social distance concept (e.g., ostracism) leads to a similar bias on the perceptual judgements of the space's properties, illustrating that distance-physical cues are intrinsically linked to social concepts. In two experiments using an Ebbinghaus illusion based-paradigm, we investigated the symmetrical incidence produced by a perceptual physical (Experiment 1) and conceptual social distance (Experiment 2) on the perceptual judgements of size. The present findings have shown an analogical pattern of results, regardless of whether the perceived distance between the central and inducer disks was physically or conceptually manipulated. Experiment 1 indicated that when the physical distance between these latter disks was important, the size-contrast perceptual bias was weaker. Experiment 2 has shown a similar weakness of the Ebbinghaus illusion when the social distance was present between the central and inducer disks. A plausible explanation for both sets of findings is that insofar as social distance concepts are physically based, it appears that a perceptual dimension of physical distance can be reactivated by the presence of a conceptual social distance between stimuli. As a consequence, it is not surprising that an analogical size-contrast perceptual bias emerges when a perceptual physical distance and conceptual social distance are inserted in Ebbinghaus illusion figures.

**Keywords:** Grounded social cognition; physical and social distances; Ebbinghaus illusion paradigm; size-contrast perceptual bias.

### Introduction

Grounded theory argues that perceptual and conceptual processes share common sensorimotor properties and they influence each other, in such manner that memory can bias perceptual processing and perception can bias memory processing (Barsalou, 2008; Goldstone, de Leeuw, & Landy, 2015; van Dantzig, Pecher, Zeelenberg, & Barsalou, 2008). This reciprocal influence has notably been shown in the processing of perceptual components (Brunel et al., 2009, 2010; Riou, Rey, Vallet, Cuny, & Versace, 2015), as well as perceptual judgments of an object's size (Rey et al., 2014, 2015). Moreover, a grounded perspective assumes that situations in which these cognitive activities are involved are not independent of the emergent sensorimotor state, insofar as a given situation, lived or represented (i.e., simulated), is an integral part of these cognitive activities (Barsalou, 2008; Niedenthal, Barsalou, Winkielman, Krauth-Gruber, & Ric, 2005; Semin & Smith, 2013). Accordingly, when these principles are applied to the social cognition, it is not surprising to observe that to experiment or represent a social situation, such as ostracism (Zhong & Leonardelli, 2008) or feeling of social power (Yap, Mason, & Ames, 2013), leads to a similar perceptual bias of physical features of the environment or others.

The idea that concepts related to social situations can bias our perception of the physical space, as well as judgements of an object's properties, is known in social cognition literature (see e.g., Morgado, Muller, Gentaz, & Palluel-Germain, 2011; Lee & Schnall, 2014; Schnall, Harber, Stefanucci, & Proffitt, 2008). More particularly, it appears that physical-distance cues are intrinsically linked to social distance concepts (Knowles, Green, & Weidel, 2014; Williams & Bargh, 2008). For instance, an ostracized individual is both socially and physically kept away from the ostracizing group; this why an ostracized

individual tend to perceive the rejecting people as more distant than accepting ones (Knowles et al., 2014). In the same vein, it was shown that to live or represent an experiment of social power leads to perceive others as smaller (Yap et al., 2013), which is not surprising insofar as the social concept of power is embodied within a vertical spatial dimension (Robinson, Zabelina, Ode, & Moeller, 2008; Schubert, 2005). In this respect, it is reasonable to think that it could exist a symmetrical perceptual bias between a perceptual physical distance and conceptual social distance. The present study aims to examine this analogical influence on the judgements of an object's size by using an Ebbinghaus illusion based-paradigm, which has been shown as an useful tool to investigate the reciprocity of perceptual and memory processing (see Rey et al., 2014, 2015).

// Insert Figure 1 about here //

The Ebbinghaus illusion paradigm is known to highlight a perceptual bias when two identical central disks are simultaneously displayed, which are surrounded by either smaller or larger inducers (see Figure 1). Although central disks have the same size, participants usually report that they are not. The Ebbinghaus illusion is typically explained as resulting of a size-contrast perceptual bias induced by the inducers' size, in such a way that an underestimation of the central disk's size is observed when inducers are large, and an overestimation when they are smaller (Coren & Enns, 1993; Massaro & Anderson, 1971). Recently, it was shown that this perceptual bias is not only perceptually-based and that it may be reactivated in memory (Rey, Riou, & Versace, 2014). Rey et al. (2014) have adapted the Ebbinghaus illusion paradigm by creating a color-size association during a learning phase. For instance, large inducers disks were associated to the red colour and the small ones to the blue colour. In the test phase, the inducers disks were displayed in a physically identical size, but in different colours such as previously presented (i.e., red or blue). Their results indicated that the learned color-size associations have biased the perceptual judgements of size, in such way that the inducers' size has been influenced by the reactivated memory size (for similar results, see Rey, Vallet, Riou, Lesourd, & Versace, 2015).

In the same vein, other studies have stressed that the magnitude of the Ebbinghaus illusion is also modulated by the conceptual similarity between the Ebbinghaus figure's components (e.g., Coren & Enns, 1993). For instance, Ishii & Kitayama (2011) have used the out-group homogeneity effect (i.e., the tendency to perceive out-group members as more similar than in-group ones, see Boldry, Gaertner, & Quinn, 2007 for a review) in order to show that a phenomenon related to categorical similarity can affect the size-contrast perceptual bias. To this end, the authors have inserted pictures of American adults' faces in the central and inducers disks, and manipulated the group membership by associating a specific background colour to disks (red background was associated to the out-group members, and the blue background to the in-group ones). Similarly to classical results, the perceived size of the central-target face was overestimated when the surrounding inducers-faces was small. More interestingly, Ishii and Kitayama (2011) shown that the size-contrast perceptual bias was greater when the central-target face was enclosed by inducers-faces of out-group members (i.e., red background).

Along these lines, it appears that perceptual and conceptual dimensions of an object modulate the perceptual judgment of its size. However, could these latter dimensions lead to a symmetrical size-contrast perceptual bias? Distance-physical cues appear to be deeply linked to social concepts (Knowles et al., 2014; Robinson et al., 2008; Schubert, 2005; Williams & Bargh, 2008); if so, the distance between components of the Ebbinghaus illusion figure, whether it is perceptually or conceptually based, should leading to an analogical perceptual bias. To test this assumption, we used an Ebbinghaus illusion based-paradigm, in which the size-contrast perceptual bias was induced either by a perceptual physical distance (Experiment 1) or conceptual social distance (Experiment 2) between the central and inducers disks. We expected that a symmetrical influence should occur on the perceptual judgments of size. More precisely, the magnitude of the Ebbinghaus illusion should be weaker when the physical distance between central and inducers disks is important, in a similar way to when the social distance between these latter disks is present.

### **Experiment 1: Physical distance between central and inducer disks.**

#### **Method**

##### **Participants**

Sixteen undergraduate students from Paul Valery Montpellier 3 University, France, volunteered to take part in the experiment. All participants have freely given consent for their participation and reported to have a normal or corrected-to-normal vision.

## Stimuli & Apparatus

Stimuli were based on the traditional configuration of the Ebbinghaus illusion paradigm. Each stimulus consisted to the simultaneous presentation of two black central disks symmetrically positioned on each side of the screen, one enclosed by six large black equally spaced inducers and another by six small ones. Two different central (i.e., 1.91° and 2.865° for the small and large diameter respectively) and inducers sizes (i.e., 2.387° and 3.342° for the small and large diameter respectively), as well as three different physical distances separating these latter disks were investigated (i.e., 3.342°, 4.297°, and 4.966° for the short, medium, and grand distance respectively, which were measured from the centre of the target-central disk to the centre of the inducers). These manipulations lead to a total of twelve configurations (2 central disk sizes x 2 inducer disk sizes x 3 physical distances).

Participants were positioned to 60 cm in front of the 17-inch ASUS X75A laptop (ASUSTeK Computer Inc.) used to conduct both experiments. Opensesame 3.0.7 (Mathôt, Schreij, & Theeuwes, 2012) was used to set up the experiments and for data collection.

## Procedure

After completing and signing a written consent form, the participants were informed that they going to perform a perceptual discrimination task. Participants were asked to indicate whether the size of target-central disks was identical or different, by pressing an appropriate key on an AZERTY keyboard. The key “m” and “q” were attributed to the “identical” and “different” response, respectively. This configuration of keys was counterbalanced between participants.

Each trial began with the appearance of a fixation-cross that was presented for 1000 ms at the centre of the screen. Then, stimulus was displayed for 400 ms, immediately followed by a blank screen that was presented until participant’s response. The inter-trial interval was set at 1500 ms (see Figure 2a). The twelve Ebbinghaus illusion configurations were repeated twice in a block of 24 trials, insofar as the size of the inducers was counterbalanced on each side of the screen. The 24-trial block was repeated six times in a random order, for a total of 144 trials. The duration of an experimental session was approximately 15 minutes.

// Insert Figure 2 a,b about here //

## Statistical analyses

The mean percentages of hits (e.g., participant indicated “different” when target-central disks were presented with different sizes) and false alarms (FA, e.g., participant responded “different” when target-central disks were displayed with an identical size), as well as a signal detection quality index ( $d'$ ) were calculated per participant and per physical distance condition (see Table 1). The  $d'$  indicator corresponds to the signal’s strength relative to the noise, the more is higher and the better was the participant’s ability to discriminate the central disks’ size. The  $d'$  was calculated as  $d' \text{ index} = z\text{-value}_{\text{proportion of hits}} - z\text{-value}_{\text{proportion of false alarms}}$  (see Macmillan & Creelman, 2005).

**Table 1. Mean percentages of hits and FA, and the  $d'$  indicator for each physical distance condition.**

	Physical distance		
	Short	Medium	Grand
Hit	0.86 (0.16)	0.88 (0.16)	0.84 (0.19)
FA	0.21 (0.20)	0.15 (0.19)	0.15 (0.12)
$d'$	2.158	2.968	2.864

Note. Standard deviations are in parentheses.

For both experiments, statistical analyses were performed with R software (version 3.2.2; R Core Team, 2015). The residuals’ normality of our dependent variables has been verified by means of the *shapiro.test* function (*stats* R package), excepted the  $d'$  distribution for the “grand” physical distance ( $W = .97$  and  $p = .82$ ), all were  $W < .89$  and  $p < .08$ . As a

consequence, we opted for non-parametric alternative analyses by using the *friedman.test*<sup>1</sup> and *wilcox.test* functions (*stats* R package).

## Results and Discussion

To test the incidence of the physical distance on the magnitude of the Ebbinghaus illusion, a Friedman test was conducted to compare differences in the participants'  $d'$  scores across the three conditions of physical distances (i.e., short, medium, and large). As expected, the analysis provided evidence for a significant effect of the physical distance on the participants' discrimination quality,  $\chi^2(2) = 7.23, p = .027$ . Post hoc Wilcoxon signed-rank tests (paired method) showed that it was more difficult to discriminate the size of the central-target disks when the distance separating them from inducers disks was short compared to medium,  $V = 15.5, p = .012$ , and the large one,  $V = 29, p = .046$ . In contrast, no significant difference was found between medium and large distances,  $V = 50.5, p = .753$ .

Also, two separate Friedman tests were performed on the participants' hits and FA scores according to the three physical distance conditions. No significant effect was found for hits,  $\chi^2(2) = 3.71, p = .156$ , and FA,  $\chi^2(2) = 3.11, p = .211$ . However, it is important to stress that post hoc Wilcoxon signed-rank tests (paired method) showed that the participants committed more of FA when the physical distance between central and inducer disks was short compared to medium,  $V = 69.5, p = .018$ . No further effect was highlighted, all  $V > 18.5$ , and  $p > .09$ .

Similarly to prior Roberts et al.'s study (2005), Experiment 1 shown that the size-contrast perceptual bias is influenced by the physical distance between central and inducer disks. The participants' discrimination ability was weaker when the physical distance between these latter disks was short rather medium or large. In order to assess whether a conceptual social distance produces an analogical perceptual bias than this observed for the physical distance, Experiment 2 employed the same paradigm as Experiment 1 with two exceptions. First, pictures were inserted in the Ebbinghaus illusion figures. Second, the physical distance between central and inducer disks was fixed.

## Experiment 2: Conceptual social distance in the Ebbinghaus illusion figure.

### Method

#### Participants

Sixteen undergraduate students from Paul Valéry Montpellier 3 University, France, volunteered to take part in the experiment. All participants have freely given consent for their participation and reported to have a normal or corrected-to-normal vision.

#### Stimuli & Apparatus

The central and inducers disks were identical to those in Experiment 1 with the exception that we varied the conceptual social distance between these latter disks. To this end, we used two pairs of pictures representing either a "patient and doctor" or "jester and king" association. The size of the central (i.e.,  $1.91^\circ$  and  $2.865^\circ$  for the small and large diameter respectively) and inducer disks (i.e.,  $2.387^\circ$  and  $3.342^\circ$  for the small and large diameter respectively) was manipulated, as well as the presence of a social distance between them (i.e., present and absent), for a total of sixteen configurations (2 central disk sizes x 2 inducer disk sizes x 2 social distance situations x 2 pairs of pictures). The physical distance between central and inducers disks was constant (i.e.,  $4.297^\circ$ , "medium" distance in Experiment 1).

#### Procedure

The procedure was identical to Experiment 1. The sixteen Ebbinghaus illusion configurations were repeated twice in a block of 32 trials, which 32-trial block was repeated four times in a random order, for a total of 128 trials. The "patient-doctor" and "jester-king" picture associations were presented separately; no doctor or patient was surrounded by the jesters or kings pictures, and reciprocally (see Figure 2b). The duration of an experimental session was approximately 15 minutes.

## Results & Discussion

As in Experiment 1, the mean percentages of hits and FA, as well as the  $d'$  indicator were calculated per participant and per social distance condition (see Table 2). The residual's normality of our dependent variables was verified with the

<sup>1</sup> The Friedman test is employed as the non-parametric alternative of the one-way repeated-measures ANOVA design.

*shapiro.test* R function, all  $W < .94$ , and  $p < .06$ . In this respect, Wilcoxon signed-rank tests (paired method) were used as non-parametric alternative to the *t*-test.

**Table 2. Mean percentages of hits and FA, and the  $d'$  indicator for each social distance condition.**

	Social distance	
	Present	Absent
Hit	0.85 (0.16)	0.83 (0.20)
FA	0.21 (0.28)	0.23 (0.28)
$d'$	2.514	2.091

Note. Standard deviations are in parentheses.

As expected, the Wilcoxon signed-rank test performed on the participants'  $d'$  scores have shown that participants were better to discriminate the size of target-central disks when the social distance between central and inducer disks was present,  $V = 86$ ,  $p = .038$ . No evidence of this influence was found for the participants' hits,  $V = 53$ ,  $p = .282$ , and FA,  $V = 24.5$ ,  $p = .149$ .

### General discussion

The present study investigated the symmetrical incidence produced by a perceptual physical distance and conceptual social distance on the perceptual judgements of size. According to the grounded theory, memory and perceptual processes influence each other during the perceptual processing of the environment's properties. Previous works applied these principles to the social cognition and have shown that experimenting, or representing, a social situation (e.g., ostracism, social power) lead to a similar perceptual bias of the space and other's physical features. In this respect, we adapted the Ebbinghaus illusion paradigm in two experiments, in order to show that a symmetrical size-contrast perceptual bias can be obtained when a physical distance (Experiment 1) or social distance (Experiment 2) separates the central and inducer disks.

Our findings have shown that regardless of whether the distance between these latter disks was physically or conceptually manipulated, an analogical pattern of results have been observed on the participants' discrimination quality. In Experiment 1, the more the physical distance separating the central and inducer disks was important, the better and accurate were participants to discriminate the size of the target-central disks (for similar results, see Robert et al., 2005). Similarly, Experiment 2 showed that the size-contrast perceptual bias was weaker when a social distance was present between these latter disks. On this point, our findings diverge from those of Ishii and Kitayama (2011). The present results of Experiment 2 seem to indicate that when a social distance is present between the illustrations of the central and inducer disks, participants are less sensitive to perceptual bias induced by the Ebbinghaus illusion. While in their study, Ishii and Kitayama have shown that the amplitude of the Ebbinghaus illusion tends to increase when the target-central face is surrounded by inducer-faces of out-group members. The interpersonal similarity (e.g., social closeness, group membership) is known as a social distance dimension (Liviatan, Trope, & Liberman, 2008). Accordingly, participants should be more accurate to discriminate the size of the central disk when it is enclosed by outgroup members rather than ingroup ones, insofar as the perceived interpersonal similarity is minimal between these latter disks. Our results are in line with this logic; furthermore, prior studies have also highlighted such findings (Coren & Enns, 1993).

The present results are consistent with a grounded perspective arguing that perceptual and memory processes share common sensorimotor properties (for a review, see Barsalou, 2008). Following the grounded principles, physical-distance cues are intrinsically related to social distance concepts (Williams & Bargh, 2008). For instance, a social distance is typically identified by a vertical spatial dimension (e.g., social power; Schubert, 2005), and well often metaphorically expressed such as "the decisions are taken by people in above us", or "they are above average". In this sense, insofar as the social distance concepts are physically based, it is reasonable to think that a perceptual dimension of physical distance can be reactivated by the presence of a conceptual social distance between stimuli. Therefore, it is not surprising that a symmetrical size-contrast perceptual bias emerges when a perceptual physical distance and conceptual social distance is inserted are Ebbinghaus illusion figures.

## Authors' notes

Correspondence regarding this article should be addressed to Kevin Moinier - Laboratoire Epsilon (EA 4556) - Université Paul-Valéry Site St-Charles - Route de Mende - 34199 Montpellier – FRANCE

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### Figure Captions

Figure 1. Illustration of the classical Ebbinghaus illusion paradigm (target-central disks have the same size).

Figure 2 (a,b). (a) Example of an "identical" trial with the grand (left side) and small (right side) perceptual physical distances. (b) Example of an "identical" trial when the social distance is present between the king-jester pictures association.

Figure 1

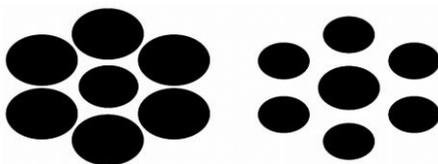
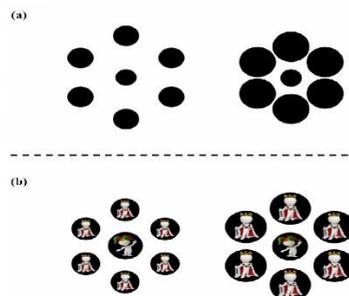


Figure 2 a,b



## An Empirical Analysis of Customer Experience in E-Business Supply Chain

**Dr M. Ramasubramaniam**

Associate Professor, Centre For Logistics & Supply Chain Management, LIBA, Chennai

**Dr N. Chandrasekaran**

Professor, Centre For Logistics & Supply Chain Management, LIBA, Chennai

### Abstract

From being a buzzword, E-business has become a norm in today's globalized economy. The advent of computers and mobile phones have acted as effective enablers in information sharing and improving efficiencies while allowing companies to cut costs. (Brown, 2004) defines e-business as "*the use of inter-organisational electronic networks to transact, process and collaborate in business markets – it incorporates e-commerce*". Today, success of an e-business fundamentally relies on effective e-commerce implementation (Chiu, 2014). While the strong growth of e-business is a welcome sign, this growth along with almost infinite propositions that are under offer for customers also brings along with it undue pressure on supporting logistics functions (Agatz, Fleischmann, & Van Nunen, 2008), (Auramo, 2002). This has led the e-business supply chains to shift their focus from cost efficiencies and to embrace responsiveness.

**Keywords:** empirical, analysis, customer, experience, e-business, supply, chain

### Introduction

Although in a conventional sense, responsiveness is a term which indicates the agility of an e-business to accommodate and successfully fulfil customer orders on-time, the ambit of definition today includes agility of multiple e-tail channels of fulfilment and related logistics support functions (Muffatto, 2004). For instance, Brand-fulfilled and Seller-fulfilled, Cash-on-Delivery, Order Cancellations, Tracking facilities, Convenient return policies have all been introduced by the e-businesses in the recent years as a response to the customer requirements. This agility calls for a responsive supply chain at the backbone of the e-business with all the information networks with real-time inventory status, demand schedules and shipment schedules in place that can both fulfil orders and replenish inventory in a seamless fashion (Agatz, Fleischmann, & Van Nunen, 2008).

Also, the dynamics of the e-business supply chain would be different for alternate channels. For example, Brand-fulfilled items like FMCG goods may be served from the warehouse of the e-business whereas the seller-fulfilled items like electronics would be directly served by the seller to the customer. But the needs of the customer and satisfaction of the customer could be different for these two channels. Therefore, it is important to look at the customer perceptions towards the physical, information and financial flows through these emerging multiple channels of fulfilment in e-businesses to throw light on the needs of different channels of distribution. This paper attempts to address this research question.

The paper is organized as follows: Section 2 covers related literature and impact of e-business on logistics support functions, Section 3 provides conceptual model, Section 4 descriptive analysis of the model, Section 5 research questions, Section 6 hypotheses and its testing, Section 7 predictors of satisfaction level, Section 8 Discussion and scope for further research.

### Impact of E-business on Logistics Support functions

Proliferation of internet technologies and advancement in telecommunications helped for business advancement and connected various processes across globe through virtual space. This gave quick adopters to develop new products and services that can widen opportunities of growth and reach out larger market. Furthermore, adoption in financial services and payment gateway enabled firms to transact in many ways like business to business and business to customers. Such advancement galloped new opportunities, improved valuations and enabled better business processes and models.

Customers became fulcrum for new e-business as they saw value creation and reduction in cost and improvement in service levels.

Globally, countries have embraced and adopted the concept of e-business in varying degrees of diffusion (Kshetri, 2007). Ability to seamlessly link processes for physical flow, information flow and financial flow helped for evolution of supply chain. Service providers and people capability reached new levels of growth in certain markets. While pioneers like US and China are early adopters, countries like India have been late entrants to the market. This is evident from the fact that the revenue from e-businesses account for about 20BN USD by India as compared to over 150 BN USD for both US and China (PWC). Previous research also points out to fact that e-commerce adoption in India is low ( (Sharma & Gupta, 2003).

The difference in the penetration rates of the e-businesses in the countries could be due to a multitude of factors: technology infrastructure, telecommunications infrastructure, efficiency (Lawrence, 2010) and Logistics infrastructure (Matopoulos, Vlachopoulou, & Manthou, 2007). Technology infrastructure was more to do with adoption of internet technologies and the financial platforms enabling e-business transactions. Service companies can build technology in operations of distribution centres and other support systems which also facilitates growth of e-business.

The next area which is discussed in literature as important aspect is that of telecommunications infrastructure. A communications network is a collection of transmitters, receivers, and communications channels that send messages to one another. Such an infrastructure describes availability of bandwidth, regulatory guidelines and service providers who help to connect devices through signals.

In a country like India which is still developing and heterogeneous in terms of multiple stakeholders, such infrastructure may follow a slow progression. Further, priorities like setting up telephone connections across the country becomes critical even before pushing public policy for adoption for e-business. One may also note Indian economy and social system faced an unprecedented challenges in spectrum allotment (Sukhtankar, 2015) and this possibly delayed advancement of the telecommunications industry and those derived based on its growth which include e-business.

Another factor which is discussed in literature is that of efficiency in e-business process maturity for enabling e-business operations. This factor is largely related to people capability in support functions like logistics and third party supply chain service providers, financial transaction gateway and user industry capability and efficiency in order processing, delivery and configuration of new products and services. For instance, one of the earlier works (Matopoulos, Vlachopoulou, & Manthou, 2007) argues that logistics processes is one of the most important areas to focus in order to understand impact of e-business and also is an area which is least understood. It may be useful here to note that e-business order management require handling of nodes namely distribution centres (DC), inventory, effective inbound transportation to DCs and outbound transportation to customers and efficient management of supply network design for optimizing cost of service for any desired service level. Thus, logistical features play a significant role.

With respect to the logistics infrastructure, India still remains at the weak end of the spectrum, with a major part of logistics infrastructure focusing on the metro cities while the rural areas which account for more than 90% of the population have poor infrastructure. However, this situation is starting to change. India's leading e-businesses have started to expand their base organically by setting up regional warehouses which can be used for brand fulfilment (PWC). They are also tying up with local third party sellers who directly serve the customers from their location. This trend is sustainable only if this organic growth is augmented by strong distribution channels in order to ensure proper service level.

The efficiency of the distribution channels can be gauged from understanding the customer perceptions towards each of the physical, information and financial flows happening in the e-business supply chain. This is mainly because ultimately customer perception of such logistical support is what determines success and growth of e-business. Hence, in this study, we focus on these aspects.

In order to understand the customer perceptions, we conducted a survey among 284 respondents who have transacted through e-business were selected. The sample size was determined by the fact the respondents must be large and widely spread. They should have done at least one routine purchase and one non-routine purchase. Routine purchases are those which are repetitive in nature and is more like a consumable product or service which is purely transactional in nature. This could be buying of grocery or buying of an insurance product for vehicle or health and so on. Consumer need not necessarily perceive high risk and must be familiar of repetitive nature of buying. He would not be dependent for a large during the sale or post sale support for the product or service. On the other hand, non-routine purchases can include buying of an asset or a durable whose use can spread across years like that of an LED television, refrigerator or an air-conditioner and so on. Consumer validates a number of parameters like user feedback, understanding of product specification, post-sale service

or a financial or credit support tie up and so on. When we examine the sample, effectively we have a representative group having a minimum of 284 multiplied by an average of more than four transactions. Thus, the sample brings out a large size experience and would be useful for inference.

First, the questionnaire was spread electronically and respondents were contacted and explained of the context of the study. Second, every response was checked for quality and replaced if required by a suitable sample representative. Third, respondents were from different groups by way of geographic location, employment, educational background and salary levels to have a comprehensive understanding of the problem.

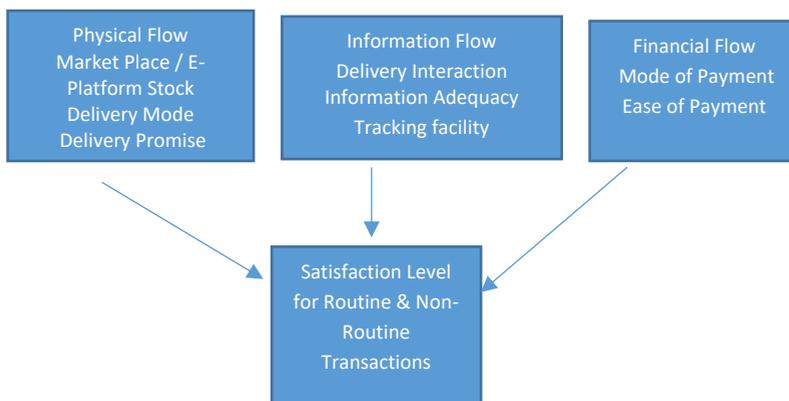
### Conceptual Model

Our conceptual model of the customer experience is based on the structural and other aspects of the e-business supply chain which may be manifested in different ways of interaction with the customer. As mentioned earlier, channels of fulfilment is a fundamental characteristic of the e-business supply chain. Drawing upon this idea, we include aspects of physical flow namely delivery mode and promise of delivery.

Information flow is a natural medium in e-business supply chain. Adequate information for customer, interaction of e-business with the customer, delivery tracking are all important aspects. In this study, we capture this.

Financial flow overarches the other flows at least in Indian context. The choice of mode of payment include such things as cash on delivery which is a contemporary phenomenon. Also, ease of payment methods is an equally responsible one. Our study includes this aspect as well (Fig. 1).

**Figure 1 Three supply network flows leading to customer satisfaction**



Further, the study also focuses on one of the key aspects in e-business where e-platform may provide its own stock or product as a private label or it can direct the brand owner to deliver and the platform merely facilitates the transaction. This is going have serious consequences on future of e-business as these platforms increasingly are taking inventory of brand owners and also introducing their own private label.

Possible physical flows are depicted in Fig 2 and 3. When customers become conscious about the same it may have repercussions in business.

**Fig 2 Brand Fulfillment Model**

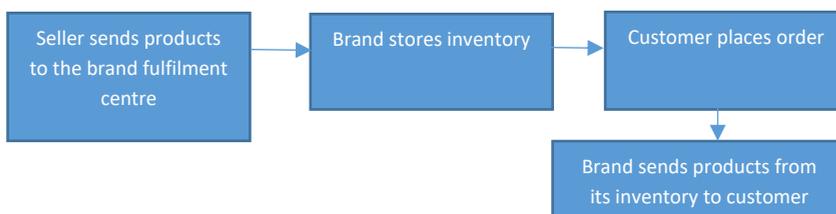


Fig 3 Seller Fulfillment Model



### Descriptive Analysis of the Survey

In this section, we give a descriptive analysis of the survey conducted. Broadly, this section covers the following analyses:

Respondent profile for purchases made in routine vs non-routine transactions

Delivery interaction summary

Information adequacy summary

Satisfaction level summary

### Summary of Purchases Routine Vs Non Routine

Respondent Profile

Table 1 presents a summary of Non-routine purchases made by the respondents. In this study, majority of the non-routine purchases were less than 4. Next, higher level of transactions that happened was between 4 and 6. This shows a good adoption rate of e-business for non-routine purchases.

Table 1: Number of non-routine purchases Count:

Row Labels	Count of Sno
1	48
Less than 4	133
Between 4 and 6	55
More than 6	45
(blank)	3
Grand Total	284

Since the study aims at comparing the perception of customers between routine and non-routine transactions, a summary data would provide an overview of the characteristics of the purchases. From Table 9 (Section 6A), we can see that 162 respondents have made 6 transactions on a routine basis. The next majority transactions happen to be less than 9 where 70 respondents have made these many number of routine transactions. It is also interesting to note that respondents tend to make more than 12 transactions if they have crossed 9 transactions in a year.

### Summary of Delivery Interaction

Supply chain functions efficiently only if the information flow augments the other flows effectively. Customer interaction during delivery is a key aspect of an e-business. Constant interaction with customer with necessary delivery related clarifications help build a loyal customer. Thus, in this study, we captured extent of delivery interaction by the e-business.

Table 2: Average Delivery Interaction Satisfaction for non-routine items

No. Non-routine Transactions	Average of Delivery interaction	No. Routine Transactions	Average of Delivery interaction
1	2.50	6	3.06
<4	2.75	12	3
4-6	3.34	<9	3.25
>6	3.20	>12	3.23
Grand Total	2.94	Grand Total	3.13

From Table 2, it is evident that there is not much difference in the perception of respondents with regards to delivery interaction. The overall average remains at 2.94 for non-routine transactions and 3.13 for routine transactions. This may indicate there is a scope for improvement with respect to regularity of information flow as we would expect it to be close to 5 as customer satisfaction level needs to be benchmarked to the highest level. This has to be the standard maintained by the e-business.

### Summary of Information Adequacy Routine items

Information flow can also be measured with regards to extent of delivery interaction. Majority of respondents who have made 6 routine transactions were incrementally satisfied with the delivery interaction. The Table 3 presents another important information in that the respondents who have rated e-business on sufficient quantum of interaction also feel that the extent of information provided is more.

Table 3: Summary (Average) of Information Adequacy of E-business on Routine and Non-routine transactions

No. of Routine Transactions	Information Adequacy	
	No	Yes
6	2.00	3.17
<9	3.85	3.12
>12	2.33	3.47
12		3.00
Grand Total	2.73	3.19

No. of Non-Routine Transactions	Information Adequacy	
	No	Yes
1	2.77	2.43
<4	2.80	2.75
4-6	3.64	3.31
>6	3.00	3.21
Grand Total	3.07	2.88

### Summary of Satisfaction Levels

#### Satisfaction level for non-routine items

Table 4 illustrates the satisfaction level of respondents for the transactions made for non-routine items. The respondents who purchase rarely tend to have a lower satisfaction level compared to customers who purchase frequently. This may be due to unsatisfactory products delivered by the e-business. This needs to be explored.

Table 4: Average Satisfaction levels of market place stock for non-routine items

Row Labels	Average Satisfaction level
1	2.75
<4	3.17
>6	3.53
4-6	3.87
Average	3.33

Summary of satisfaction level of respondents for routine items:

Since one of the objectives of the study was to compare market place fulfilment versus brand fulfilment, an overview of satisfaction level is desired. Table 5 highlights that with respect to routine transactions average satisfaction level is 3.14 overall. This seem to slightly lower compared to the 3.29 overall for non-routine items. This may indicate that there is a scope for improvement in any of the physical , information and financial flows of the e-business

### Summary of Payment Information

#### Summary of Ease of Payment Routine Items

Financial flow forms the key component of an e-business supply chain. Hence, in this study we also collected data on ease of payment. We found that majority of the customers were happy with the choice of payments offered (Table 5). This goes to show that one of the key aspects of indian e-businesses that they are responding the needs of the indian consumer effectively.

Table 5: Summary of Ease of payment for routine items

Count of Payment Row Labels	Column Labels	
	No	Yes
6	6	156
12		9
<9	3	67
>12		43
Grand Total	9	275

### Research Questions

Previous research has highlighted that customer trust is an important influencer for purchase decisions especially with respect to B2C e-commerce (Slyke et al.). Our research relates to this idea and studies the perception of customers towards different fulfilment channels of e-business. In accordance with this, we postulate the following research questions for the e-business supply chain:

Does the perception of customers differ with respect to different channels of fulfilment in an e-business supply chain?

If there is a difference in perception for these channels, what are the supply chain factors (physical, information and financial) which influence these perceptions?

### Hypotheses

To answer the first research question, we need to look at customer perceptions towards physical, information and financial flows and their satisfaction level in brand-fulfillment and market-fulfillment channels.

#### Customer Behaviour in Different Channels

To answer the first research question, we need to look at whether the customer perceptions towards purchasing routine items vs non-routine items are same. Thus, we postulate the following:

H1: Customers perceive that the transactions of routine and non-routine items equally.

In order to test this hypothesis, we use a chi-square test. The results of the chi-square tests are given in Table 6.

Table 6: Crosstabulation of Number of purchases in routine and non-routine items

		Number of purchases which are routine in the last 12 months (Count)				Total
		<9	>12	12	6	
Number of Non-routine transactions	<4	22	19	6	89	136
	>6	15	18	0	12	45
	1	12	3	0	33	48
	4-6	21	0	6	28	55
Total		70	43	12	162	284

Table 7: Results of Chi-Square Tests for number of purchases made

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	79.855 <sup>a</sup>	12	.000
Likelihood Ratio	77.929	12	.000
N of Valid Cases	284		

a. 8 cells (40.0%) have expected count less than 5. The minimum expected count is .10.

From Table 7, we see that the results of Chi-square tests are significant at 5% level. This indicates that the customer perception towards the number of purchases made in routine and non-routine items are not the same. These results indicate that the necessary supply chain factors need to be probed further. Our interaction with respondents chosen randomly indicate that customers expect better information adequacy for non-routine transactions.

### Customer Perception Towards Fulfillment Channels

As mentioned earlier, this study addresses the different fulfilment models. With regards to this, we postulate the following hypothesis:

H2: Customer perception towards the Physical flow (as characterised by Marketplace stock, Delivery Mode and Delivery when promised) for routine and non-routine items are the same.

### Transactions Made Through Seller-Fulfilled Stock

In order to address this question, the customers were asked about whether the items were served from the seller-fulfilled stock or brand fulfilled stock.

H2a: Customer perception towards the Physical flow (as characterised by Marketplace stock) for routine and non-routine items are the same.

Then we look at whether the fulfilment happened in the same way for both routine and non-routine items. This data is then analysed using Chi-square test. The results are presented in Table 8 and 9.

Table 8: Crosstabulation of Brand vs. Seller Fulfillment Stock

% of Total

		Was it a buy from market place stock (Routine)			Total
		No	Not aware	Yes	
Was it a buy from market place stock (Non-routine)	No	4.2%	1.1%	6.3%	11.6%
	Not aware	6.7%	29.9%	4.6%	41.2%
	Yes	3.2%	4.6%	39.4%	47.2%
Total		14.1%	35.6%	50.4%	100.0%

**Table 9: Chi-Square Test results of Fulfilment Channels**

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	159.416 <sup>a</sup>	4	.000
Likelihood Ratio	171.433	4	.000
N of Valid Cases	284		

a. 1 cells (11.1%) have expected count less than 5. The minimum expected count is 4.65.

The Table 9 highlights the fact that both the channels had a different way of fulfilment. Thus, it is worthwhile to explore further using the other physical flow variables. It can be observed that a large number of respondents were not aware whether the stock was fulfilled from stock of brand or the seller. This requires further probing because it can become a business challenge for the e-businesses in a longer term.

### Perception Towards Delivery Promise Time for Routine and Non-Routine

We expect that the perception of delivery promise time for routine items to be different from the delivery promise time for non-routine items. Thus, we conduct a chi-square test to see if there is a difference in perception towards the delivery time.

H2b: Customer perception towards the Physical flow (as characterised by Delivery Promise Time) for routine and non-routine items are the same.

Table 10: Crosstabulation of Delivery time perception

		Delivery when promised_routine				Total	
		Ahead of time	Delayed	Not aware	On time		
Delivery when promised (Non routine)	Ahead of time	Count	38	0	3	3	44
	Delayed	Count	0	19	0	3	22
	Not aware	Count	0	0	3	3	6
	On time	Count	14	3	0	195	212
Total		Count	52	22	6	204	284

Table 10 highlights that majority of the e-businesses have understood the importance of delivery time and promise deliveries on-time. In fact, for some respondents they were able to make promises ahead of time.

Table 11: Results of Chi-Square Tests for Delivery promise

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	445.988 <sup>a</sup>	9	.000
Likelihood Ratio	266.939	9	.000
N of Valid Cases	284		

a. 10 cells (62.5%) have expected count less than 5. The minimum expected count is .13.

Table 11 indicates that the perception towards different delivery promises are different for routine and non-routine items. Our probing again indicates that customer value information quality as critical for non-routine purchases.

### Customer Perception Towards Information Flow in E-Business Supply Chain

Information flow is another metric that forms a critical component of an e-business supply chain. In fact, the success or failure of an e-business can be solely judged by the ability of the e-business to handle information effectively and also act accordingly. Thus, we postulate the following hypothesis:

H3: Customer perception towards the information flow (as characterised by information adequacy, delivery interaction and tracking facility) for both routine and non-routine transactions are the same.

### Customer Perception Towards Information Adequacy

Adequate information on services provided for the customer can represent the extent of visibility of the entire supply chain. Thus, we postulate the following with respect to information adequacy:

H3a: Customer perception towards the information flow (as characterised by information adequacy) for both routine and non-routine transactions are the same.

Table 12: Crosstabulation of Information Adequacy  
% of Total

	Was Information given adequate_routine		Total
	No	Yes	
Was Information given adequate_nonroutine	10.9%	13.0%	23.9%
Yes	2.1%	73.9%	76.1%
Total	13.0%	87.0%	100.0%

The Table 12 results indicate that nearly 76% of non-routine transactions and 87% of the routine transactions have adequate information provided for. Although, this number is high, there is a scope for improvement for non-routine items.

Table 13: Results of Chi Square test for Information adequacy

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	83.653 <sup>a</sup>	1	.000
N of Valid Cases	284		

Table 13 indicates that the perception of customers towards information provided is not the same for routine and non-routine transactions. This supports the hypothesis H3a.

### Customer Perception Towards Delivery Tracking

Another dimension of information flow is delivery tracking. Ability of e-business to connect with logistics partners to provide timely tracking for the customer may improve the customer satisfaction. Thus, we propose the following hypothesis:

H3b: Customer perception towards Information flow(as characterised by delivery tracking) for routine and non-routine items are the same.

We test the hypothesis, using the crosstabulation.

Table 14: Crosstabulation of Delivery tracking  
% of Total

	(Routine) Did you receive SMS / Mail			Total
	No	Not aware	Yes	
Did you receive SMS / Mail (Non_routine)No	4.6%		1.1%	5.6%
Not aware		1.1%		1.1%
Yes	3.5%	2.1%	87.7%	93.3%
Total	8.1%	3.2%	88.7%	100.0%

As Table 14 provides, 93% of customers who purchased non-routine items were provided tracking facility and 89% of customers who transacted routine items were provided tracking facility. Thus, routine items need some attention by the e-business supply chain.

Table 15: Results of Chi-Square Tests

	Value	Df	Asymp. Sig. (2-sided)
Pearson Chi-Square	214.347 <sup>a</sup>	4	.000
Likelihood Ratio	80.547	4	.000
N of Valid Cases	284		

Results from Table 15 indicate that the customer perception towards tracking facility is not the same. This supports our hypothesis H3b. Customers expressed that they need more information pertaining to routine purchases.

### Customer Perception Towards Satisfaction Levels

Our expectation is that frequent buyers tend to have higher satisfaction levels. Hence, for a routine item we would expect satisfaction level to be more compared to a non-routine item. So we postulate the following:

H4: There will be significant difference in the variance of satisfaction levels of customers buying in the routine versus the non-routine transactions.

The satisfaction level of the customers is measured in a Likert scale of 1 to 5 with 5 being the highest satisfaction level. This hypothesis is tested using ANOVA method.

Table 16: Results of ANOVA for satisfaction level.  
If market place delivery, rate transaction satisfaction level

	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	207.791	4	51.948	105.828	.000
Within Groups	136.952	279	.491		
Total	344.743	283			

Table 17: Robust Tests of Equality of Means  
If market place delivery, rate transaction satisfaction level

	Statistic <sup>a</sup>	df1	df2	Sig.
Welch	103.373	4	95.653	.000

a. Asymptotically F distributed.

From Table 16 & Table 17, we can conclude that the variance of the satisfaction levels between routine and non-routine transactions are not the same. Thus, it supports our hypothesis H4.

### Predictors of Satisfaction Level

Our analysis from the previous sections point towards that all the variables considered were perceived to have different effect on the satisfaction. However, one of the limitation of the analyses from previous section is that it does not analyse the impact of multiple variables on the satisfaction levels. Hence, in this section we provide an analysis to overcome this limitation.

We had used number of variables to capture the perceptions:

Customer research on willing to buy an item

Delivery interaction

Delivery promise time

Mode of payment

Ease of payment

Satisfaction level

Mode of delivery

Delivery tracking

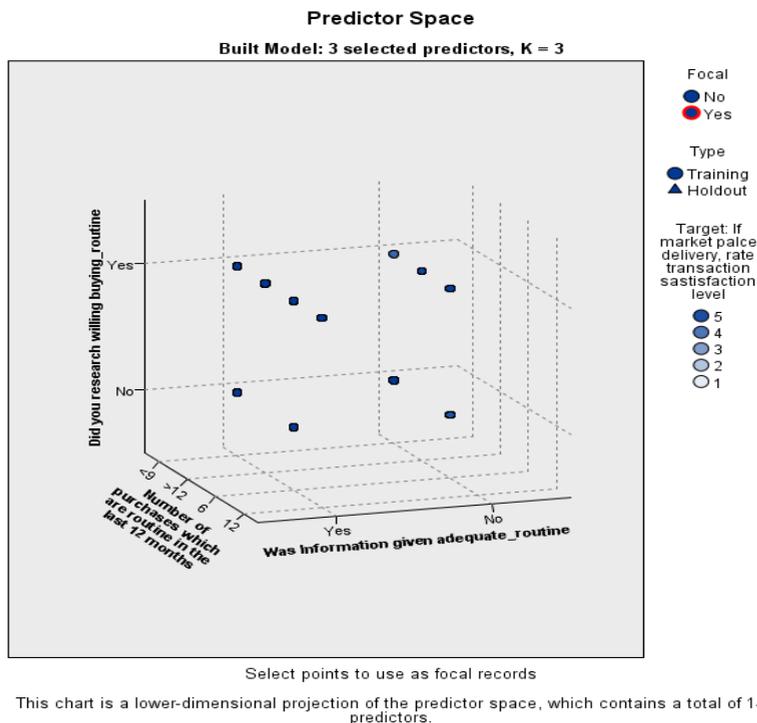
Brand fulfilled or Seller fulfilled

It should be noted here that apart from delivery interaction and satisfaction levels, all the other variables are categorical variables. Thus, using a tool like multiple linear regression may not yield desired results. Hence, it is decided to undertake a classification model with a forced target variable.

Since our objective is to analyse the impact of the variables on the dependent variable which is satisfaction level, we use this variable as a forced target variable in the classification model. The classification model used for this purpose is KNN (K Nearest Neighbors) algorithm. This method is robust enough to accommodate categorical variable at the same time providing inference on the influence of multiple variables.

We undertake this analysis in two parts with first one being for routine items and the second one for non-routine items. The results of the KNN model run with 9 predictors is presented in the Figure 4 for routine items.

Figure 4: Predicting Satisfaction Level of Routine Items Using Knn Model:



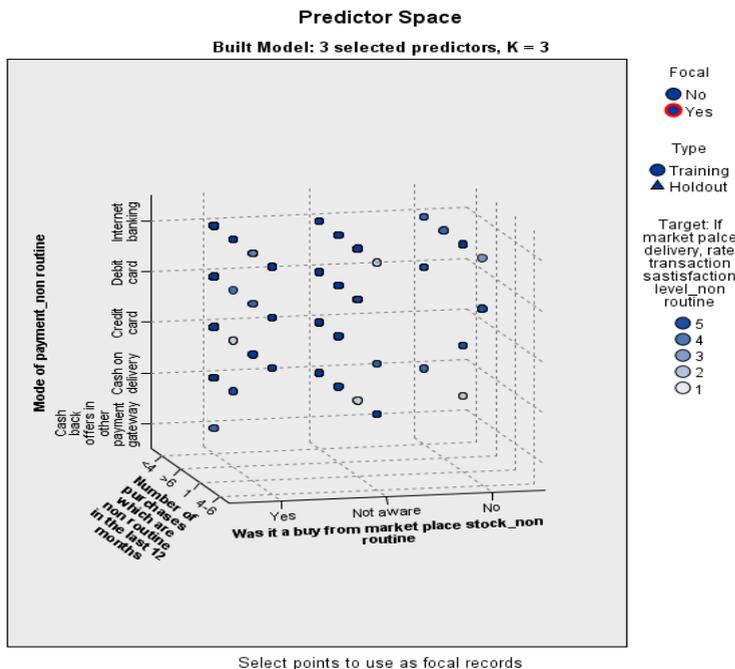
The Fig. 4 provides 3 predictors which were found to be significant with overall error being 104.6. Specifically, the analysis tells us that Customers willingness to research before buying, Number of purchases made in the last 12 months, Information adequacy can explain the satisfaction levels of customers for routine transactions. The model provides insights for the e-business. Number of purchases made along with willingness to research tends to give a higher satisfaction score. Similarly, If the information provided is not adequate, the satisfaction level tends to be low. Hence, it is important the e-business ensures timely information for the customer and also encourage customers to buy more of routine items by designing suitable loyalty programs and/or promotional offers.

A similar analysis was run with 9 predictors but this time for non-routine items. The results of the analysis is presented in Figure 5. The model had an overall error of 127.6.

The KNN model this time provides us with different insight. Apart from the number of purchases made in the last 12 months, mode of payment and channels of fulfilment awareness turn out to be significant. This model provides e-business different insights. For a customer who purchases non-routine items, mode of payment is a significant variable. Ability of an e-business to provide multiple payment modes is thus justified. Also, customers who bought fully understanding that they are buying from marketplace tend to have higher satisfaction levels compared to those customers who are buying brand fulfilled stocks.

This insight has a significant impact on e-business supply chain. This may indicate that the sellers who are fulfilling the customer orders are able to provide better customer service compared to brand fulfilment items. Although brands may have own warehouses, since they must deal with almost infinite number of items their service level may suffer. Whereas, since the seller serves limited stocks, he may be able to focus on the aspects of supply chain better. However, this observation may need further examination.

Figure 5: Predictors of Satisfaction Level for Non-Routine Items



This chart is a lower-dimensional projection of the predictor space, which contains a total of 5 predictors.

## Discussion

The most important finding from this study is customers' perception of routine and non-routine transactions in e-business supply chain differ. This has a significant implication in which the e-businesses may need to perform. While it may be natural to expect that customer experience in e-business is indeed important, our study highlights this from a supply chain perspective providing different insights. The backbone of e-business supply chain namely physical flow, information flow and financial flow need to align with the customer interests. Some of the implicative insights from this study are:

Repeat customer purchases may result in a higher customer satisfaction level

Channels of fulfilment and hence marketplace stock is an important driver of customer satisfaction level for non-routine items

Mode of payment is an important contributor for customer experience for the non-routine category.

The information provided for non-routine items are less compared to routine items. Hence, there is a need to look into more customer interaction through information flow.

From an e-business supply chain perspective, it is imperative to look at how to attract customers to come back for repeat purchases. From this angle, it may be worthwhile to look at customized loyalty programs for routine items and/or to engage in promotional offers for these customers. One of the limitations of the study could be that the sample may have sampling and respondent bias as authors have intervened with respondent's quality. To this extent, this may be treated as judgemental and convenience sampling which is important for this kind of problem.

This research can be further extended by suitably including the effect of mediation and/or any other suitable supply chain constructs.

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## Reading Through the Lens of Music: African-American Literature and Music

**Redona Boriçi**

Ph.D. candidate in Literature, University of Tirana

Part-time Lecturer at University of Shkoder "Luigj Gurakuqi"

Faculty of Foreign Languages

### Abstract

Harlem Renaissance is a significant time when African-American writers took pride in their artistic traditions. In order to create an authentic image for themselves, they created remarkable standards in their literature and art. A new tradition, which changed the well-established boundaries of literary creativity, was gaining full recognition among African-American writers. A new tradition, which changed the well-established boundaries of literary creativity, was gaining full recognition among African-American writers. These two genres had a huge impact in the times when the US was creating a cultural hybridity while the reconstruction of the mainstream meant an "open war" to classics. This paper will try to describe the extent to which Jazz and Blues aesthetics influenced into the African-American literature and how it was manifested in characters, structures, and themes that African-American writers promoted into their literary work.

**Keywords:** Jazz, Blues, African-American literature, Harlem Renaissance

### Introduction

#### I. Music vs literature

Music constitutes an important aspect of African-American culture and literature. Spirituals, Blues and Jazz offer a broad spectrum of genres. Each of them pertains to a history of its own, closely linked to African roots.

The history of African-American people in the US is linked to suffering, slavery, humiliation and denial of human rights leading to the fight against segregation and racial persecution.

Spirituals, Jazz and Blues, particularly describe their history, but they also provide the strings of hope and strength to overcome the burden during slavery. The slavery songs bear witness of the sufferings, sorrow and relief that this phase is as transitory as their journey in this world while Spirituals connect them to God by offering them faith.

An African-American identity was an aim to be sought and accomplished by many African-American artists and writers starting from the end of the 1980s to the beginning of the 1990s culmination with the Civil Rights Movement. A new breadth of literary movement was evolving aiming at reinventing an African-American image and introducing it to the world as the "personality of the colored people". The aim was more of a duty in the fight for their rights against segregation and cultural discrimination. It could be achieved by creating an authentic image while fighting for it and cherishing its value.

A new, authentic image meant new ideas impervious to time. The new generation's response to the changes of post-reconstruction was accompanied by new means of actions, including here the success of Blues and Jazz music. Blues represented a shelter to their sufferings.

Jazz, otherwise called as a continuity of Blues, is stronger. Jazz is an emotion. It is unpredictable in its structure as improvisation, polyrhythm, call-and-response techniques suggest. The aim of the African-American artists was not only to create something authentic but also be part of the American culture. According to Murray, Jazz was a continuity and improvement of Blues. In this way, Jazz became a new way of expressing freely the emotions in each performance. This freedom stemmed spontaneity and creativity.

In order to establish a status in the American society, African-American literature gave a tremendous contribution to American culture. The new image constructed a literary creativity that consisted of a special structure juxtaposing the

grammar rules, techniques and style long held as mainstream with classics. This image embraced another form of art – named as asymmetrical.

African-American writers were influenced by Blues and Jazz to write their poetry or novels. Blues literature had a fluid structure while Jazz also had a fluid structure, but yet more sophisticated and complex with strong images and complex syntax.

## II. Methodology

The qualitative methodology will be used in order to compare and analyze the structures, characters and techniques. Descriptive and analytical aspects will also contribute to determining this approach. A close analysis of Blues and Jazz techniques and characters will be analyzed and compared to Blues and Jazz literature techniques and characters, in order to find out if these two constituted a voice of their own or literature was a stretch of music. The analysis will try to put forward the idea whether the music helped African-American writers in embracing the creation of a new identity or simply provided a means of abandonment of the old and welcoming the new.

## III. The concept of the Harlem Renaissance

Harlem Renaissance is long considered the Mecca of African –American culture. Nevertheless, Harlem proved to be a strong concentration of diverse elements of people from many parts of the world, not only an African-American experience. By shifting the concept from “Old Negro” into the “New Negro”, many African-American intellectuals desired to alter the concept of “Old Negro”. The concept of being African-American had always been related to social discrimination and fear. African-Americans had been described more based on some stereotypes rather than for what they really were (Locke et al. ,1925, p.3) Consequently, the “Old Negro” was convinced to see oneself inside this prism and, as a result, there was little chance of acquiring a true understanding of one’s real self.

A misconception of the “Old Negro” required for a re-orientation toward something new and more real- something that described the most quintessential aspect of an African-American life. In this way, the New Negro became a new way of thinking; a way of discerning the position that an African-American constituted in the USA rather than what he was made to believe for years. This re-evaluation of the way a “New-Negro” thought was a kind of feeling that came from within; something that was free from any outside influence. (Locke, 1925, p.4)

The “New-Negro” had to find the way to channel the new self-expression and a worthy approach to achieve it was through music and literature. The bond that bounded African-Americans together with people from other parts of the world was a strong one. A bond that united them in a common problem, namely the race. It enabled them to reconstruct the problem. The race was a name rather than a fact for many African-Americans. Harlem was a place of group-expression focusing on feeling toward life, past and future. As aforementioned, the purpose of many Harlem Renaissance writers was not only to reexamine their true self but also to express their viewpoints on future. It otherwise became, as Lock pointed out, a *race capital*. It enabled them to think what was theirs and what was bogus. It helped them not only become a whole strong body of equally-minded people who were struggling not only to make the African-American literature worth of American literary canon but also empower the African-American literature to contribute and enrich the American literature and art.

The “New Negro”, while changing perspective, was in a constant inner race while moving toward the objectives that had been set. According W.E.B Du Bois, the New Negro was in a double–consciousness. In Du Bois' thought, it is the veil that grants Black Americans a double- consciousness (Du Bois, 2008). It is the feeling of non-belonging that mostly worried Du Bois. The feeling of not belonging, even to one’s home, and looking oneself through the eyes of another as “One ever feels his twoness,—an American, a Negro; two souls, two thoughts, two unreconciled strivings; two warring ideals in one dark body” (Du Bois, para 3). Nevertheless, this strive was not all lost. Du Bois pledged to obtain the self-consciousness and empower African-Americans to regain their true best representation of themselves by being African and American at the same time without being judged by the color of their skin. Consequently, America would also benefit from African-Americans since cooperation would finally implore for a better America. However, it is this double- consciousness that made many African-Americans not capable of fully excelling in some fields of life since they were torn between the ideals of an African-American and the ideals the white society had imposed to them (Gutenberg, 2008). Through these trials and errors, African-Americans managed to see behind the veil the true value of themselves- managed to revalue their self-respect and self-realization.

### **Only in this way America would be able to appreciate the true conformity to American ideals**

Work, culture, liberty,—all these we need, not singly but together, not successively but together, each growing and aiding each, and all striving toward that vaster ideal that swims before the Negro people, the ideal of human brotherhood, gained through the unifying ideal of Race; the ideal of fostering and developing the traits and talents of the Negro, not in opposition to or contempt for other races, but rather in large conformity to the greater ideals of the American Republic, in order that some day on American soil two world-races may give each to each those characteristics both so sadly lack. ( Du Bois, 2008,para. 12)

E. Bowen (1895) in his “An appeal to King” had the same idea about the cooperation among races in America. For Bowen, the veil was a king, an invisible one, who exerted power and control. Nonetheless, the revolution of morals had begun. The changes that the “New Negro” was undertaking were changes that would give positive changes in the society. Bowen also believed that the race problem was also of a wider range and one could not only focus on the race problem in America. He believed that the Negro should also encompass a wider definition—a human race problem (27). Bowen also acknowledged that the Negro was also seeking to define himself among other men in America. In this way, America could go toward a homogeneity in sentiment and this sentiment would enable any men develop one’s ability to do good in society (28). It was a plea for good education, for the betterment of living conditions and, consequently, for a better status in American society. In order to acquire a distinctive voice, many American writers had to find a distinctive form of expression to show their authentic voice in American literature.

### **IV. The sounds of African-American Literature**

According to Zora Hurston (1997), the characteristics of Negro expression included the use of simile and metaphors, the use of double-descriptive as well as the use of verbal nouns (57). Asymmetry was another important of African American literature and art. As music relied on improvisation and deepest feelings emerging in notes, each unit had a rhythm but as a whole, it was asymmetrical (60). Music, literature and art were a means to escape the chains of past, to free the soul and turn sentiments into golden words with almost sacred words for African-Americans. Spirituals were the utterance of pain and suffering, Blues chiseled true feelings while Jazz incorporated soul and body into a truly genuine voice.

Another important influence in the writing of many African-American writers was also the blues and jazz aesthetics. In order to obtain and solidify a unique voice of their own, many African-American writers were influenced by the techniques and styles of Blues and Jazz. Langston Hughes managed to include both Blues and Jazz in his writing in assembling the Blues notes and the Jazz improvisation into a single voice.

An important facet of Blues aesthetics was double-entendre. Oftentimes, Blues is related to sadness, pain and suffering. Nevertheless, double-entendres are most times associated with aspects of sexuality in Blues. African-American writers took double-entendres and gave them acceptable and respectable connotation for the society. Travel themes played an important part in many blues song. As in Ma Rainey “Walking Blues,” (1923) women had to walk, to survive and make it. There was no turning back. The woman had to go on with her life and sing the Blues. Bearing no more the longing for a beloved one, the independent living and discovering the world alone by travelling, the travelling of the older generations as slaves from other countries, the

search of freedom as a long “travel” toward equality were topics chosen and elaborated by African-American writers.

Another important element of African-American literature was repetition. As in “Cross Road Blues,” (1936) Robert Johnson intensifies his inner feelings by using the metaphor of crossroad “.....I went down to the crossroad, fell down on my knees”. Writers used repetition as to intensify an emotion, a feeling. In “Weary Blues” (1987) Hughes repeats, “Ain’t got nobody in all this world, Ain’t got nobody but ma self.” where he portrays his inner struggle to succeed in a society in which he is practically alone.

A Blues Couplet, used by many Blues singers, consists of twelve bar blues, mainly of 3 lines where the first line is repeated in the second while on the third the improvisation takes place. The rhyme usually consists of AAB as in “St. Louis Blues” (1914):

Oh, that St. Louis woman with her diamond rings  
She pulls my man around by her apron strings  
And if it wasn't for powder and her store-bought hair

A major technique of Jazz was improvisation. The singer was free to improvise, to give a new version of the same piece of art. The Jazz singers called for a different tune and received a response. The call-and-response technique became a very useful technique in many writings of African-American literature. It enabled many writers to call for some kind of action or revolt and asked for a response from the reader. The message was like a hidden code that only African-Americans could understand and support. Meanwhile, it became very difficult to decipher by others. The message was gaining the qualities of a music coda- an afterthought of what was left from the past and what had yet to come in the future.

In "Weary Blues," (1987) Langston Hughes requested the union between the author and the reader. The musician who was playing the weary blues was not a famous artist. Yet, he succeeded in mirroring the reality of that time. His notes on the keys create the feeling of anticipation and fair. It was fair but also determination to be free and authentic:

With his ebony hands on each ivory key

He made that poor piano moan with melody.

O Blues! (23)

Blues is the sound that moans. It is a revelation from the soul- the soul of an Afro-American seeking dignity. The Blues unites Afro-Americans together to this reality and unites them to sing to it. Blues also inspires them to sing to their past. The piano is a mirror of the pain that is "...coming from a black man's soul." (23) Blues is also talent and strength.

Blues is embellished with a transformative force, which is ongoing and enriches. Music symbolizes a form of freedom, a form of expression and a quest for appreciation. Consequently, Hughes believed that Blues was a mixture of past and present.

Blues represented a rather dimmer picture of the situation in "Tornado Blues," (Brown, 1901):

Destruction was a-drivin' it and close behind was Fear,

Desctruction was a-drivin'it and hand in hand with Fear,

Grinnin' Death and skinny Sorrow was a-bringing'up de rear. (68)

It displayed feelings of destruction, despair and fear. Following the common AAB rhyme as well as repetition, Brown's voice was immediate, looking for an urgent response from African-American community. A voice Bowen and Locke had also acknowledged among African- Americans.

In "Jazzonia," Hughes (1987)depicted Jazz as a new form of expression. He embraced new techniques in his writing such as repetition, rhetoric questions as well as improvisation as quintessential techniques of Jazz. "Jazzonia," represented a story at a cabaret in Harlem whereby six musicians play Jazz music and another Afro-American was sitting watching the show as well as the girl who was dancing to the music. Her beauty is indescribable. Hughes compared her to Cleopatra's beauty and boldness by posing rhetoric questions to the reader in the form of a call-and-response: "Were Eve's eyes .....Just a bit to bold?" and "Was Cleopatra gorgeous in a gown of gold?"(24). Hughes calls the reader to take pride in what is African-American by constructing in this way what is theirs. Jazz is offered as a bold expression, as bold as the dancer's eyes. It is not only her eyes that are bold. She lifts high the dress of silken gold (24). In this way, Jazz and literature are creating a form of free expression for African-American literature; a free form probably going counter some norms. In "Cabaret," Hughes intensifies the acceptance and identification of sexuality while in "Jazz Band in a Parisian Cabaret," Hughes offers a more inclusive approach compared to "Cabaret" and "Jazzonia". Jazz is for everyone rich and poor, lords and ladies. It is the music that touches the soul to everyone- the tune cries and laughs at the same time (106).

In "Harlem Dancer" by Mackay (1922) one remarks a difference. The dancer is as perfect as in "Jazzonia". Her beauty and her movements are beautiful but she has to put "her false smiling face" in order to please the audience. It is the veil of Du Bois or the mask of Dunbar that somehow makes the dancer stay in between two parts of the game. MacKay believed in the need to break free that wall in order to be appreciated and accepted. In this way, African-American literature would be supported and become an important part of American literature. It was a form of rebellion but also pride and recognition of one's values.

AsHughes (1926) reflected in "The Negro Artist and the Racial Mountain": ". . . the Negro artist offers his racial individuality, his heritage of rhythm and warmth, and his incongruous humor that so often, as in the blues, becomes ironic laughter mixed

with tears" (693). Jazz proved to be a new form of expression sometimes getting the form of rebellion or protest. Sometimes it became a single form of individual self-expression.

## V. Conclusion

Many African-American writers shared the common belief that African-Americans had to give their contribution to the American culture and literature. In order to achieve this aim, African-American writers had to choose a new aesthetics that was different from white writers. In this way, they would not only prove their value but also contribute to the enrichment of African-American culture in general and literature in particular. Jazz and Blues aesthetics proved to be very effective ways of providing the audience with new pieces of writing accompanied by a new style. This quintessential form of expression would enable African-American thought to constitute an important part of American literature but it would make them feel proud of their identity and talent.

Music is presented as a form of expression to a people. Blues and Jazz were forms of expression of feeling, suffering, but also amusement. Blues music represents the suffering, the past of African-American history. The blueprint also represents a linkage between Afro-Americans to remember the past but also to appreciate what the future could bring. On the other hand, Jazz presents us a more complicated way of amusement or escapism from life's suffering.

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## Woman and Peace-Building in a Post-Conflict State: Reading in the Iraqi Experience

**Dr. Inass Abdulsada Ali**

Assistant Professor of International Studies, College of Political Science/University of Baghdad

**Dr. Batool Hussain Alwan**

Assistant Professor of Political Science, College of Political Science/University of Baghdad

**Dr. Sana Kadhem Qati**

Assistant Professor of Political Thought, College of Political Science/University of Baghdad

### Abstract

Since the mid-1980s feminism has been penetrating politics through critical theory, development policies and peace studies that have flourished as a result of the excessive number of civil and internal conflicts and wars. Almost a decade later, there was a kind of progressive development that sought to consolidate a number of issues related to the empowerment of women, foremost among which was their participation in political decision-making. The feminist view believed that people in social subordination status, specifically women, develop different and more precise perceptions on how the world works and its rules, and calls for building knowledge based on the material conditions of women's experiences that give a complete picture of the world. Women's theory believes that women can find a better description of politics based on the distinct ways of female thinking that see national interest as multidimensional and related to contexts and that it can not be defined only by the logic of power, because cooperation plays a much broader role than conflict, and the national interest in the contemporary world requires cooperative solutions rather than zero solutions.

**Keywords:** woman, peace-building, post-conflict, state, reading, Iraqi, experience

### Introduction

As a result of the end of the cold war and the increased conflicts and internal wars that led to the emergence of so-called failed and weak states, there has been growing international attention to the status of women's participation in political life in countries emerging from conflict and war, and empower her to take the decision-making position. Many conferences were held, the most prominent of which was the 1995 Beijing Conference. The conference focused on a wide range of issues, including the issue of women in positions of power and decision-making. There have been many efforts to follow up the implementation of the recommendations of the Conference, as it has been preceded by many international efforts, especially from the General Assembly of the United Nations, which adapted the Convention on the Political Rights of Women in 1952, and the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) in 1979. Of course we can not ignore the Security Council Resolution (1325/2000) on Women, Peace, and Security, which urges the Member States to increase the representation of women at all levels of decision-making in national, regional and international institutions and mechanisms for conflict prevention, management, and resolution.

Women's quota has been one of the means of empowerment proposed by international resolutions and conventions, and many countries have applied it to empower women to participate in decision-making positions.

If we reversed this on the Iraqi experience after 2003, it can be said that woman was present in post-war settlements, peacemaking and state-building. Most saw her as a trump card in the electoral process through the quota system, which gave the political blocs represented in the parliament, guaranteed seats, even if the female candidate did not get the elections threshold.

It is noted that the benefit of the blocs and political parties doubled, because the positions of women parliamentarians and their votes are be in favor of the bloc, which was credited with the inclusion of the name of the deputy in the list of candidates for the elections, and thus missed their self-voice, which led to the absence of themselves and their status as citizens or as

owner of independent opinion and attitude. This reality does not absolve them of responsibility since most of them have fallen into a life of luxury and affluence without paying attention to the task entrusted to them by the electorate even if it is few.

The Iraqi political experience in state building and peacemaking in the post-war era, and through three electoral cycles, proved contradictory with the feminist theory regarding the demand for women's participation in this stage and its distinctive and distinguished role because of its own subjective experience based on the female knowledge that was ignored for decades.

In this regard, Iraq is considered one of the countries that have established a high percentage of women's quota in the Iraqi parliament. It has been recommended to give 25% of the seats of parliament to women, which is one of the highest rates when measuring the quota of women in the world, but when looking at this high ratio from the perspective of the effectiveness of representation, ie, the qualitative weight of women's action in Parliament, we see this weight less than the quantitative weight, and many studies have shown this result.

Apart from the quota, what is important here is whether the women's presence was active in post-war settlement and peace-building in the new state? In other words, is it possible to prove the feminist theories and draw them on the Iraqi reality and to gauge the contribution of the Iraqi women's experience in giving a better picture of the future of Iraq, especially that Iraqi women have a long and comprehensive experience in the management of family affairs and the state gained during the years of the Iraq - Iran war, which limited the role of men in the battlefields, and the years of sanctions that made it a different experiment to support her family, which men missed because of death or detention in war, to continue this harsh experience after 2003 and the outbreak of sectarian war that once again took the men away from home, family, and other sectors.

A closer look at the Iraqi experience in building the state and peace after 2003, and the role of women in it, shows to what extent this role was tiny. Woman's performance was not commensurate with her experience that provided her with great experience in management, and with ethics care, which is considered as a promising alternative to traditional moral theories, and believes that the values of justice, equality, and individual rights are not incompatible with values such as caring, trust, support each other and solidarity.

This raises questions, regardless of the experience of the three parliamentary sessions that are almost weak, can Iraqi woman achieve internal and community peace and begin the process of peacemaking, state-building, and stability if she had the opportunity to become the first decision-maker in Iraq, the prime minister? Can she invest the care ethics she has gained over long years of her experience? The answer to these questions requires an in-depth study that can capture a range of internal and external variables, subjective and objective influences, and measure all of this to explore women's role in peace-building in post-conflict countries.

The answer to these questions raises other questions. If the internal variables represented by the nature of Iraqi society with tribal and religious character, can such a society, which can be described as conservative to some extent, interact positively with a decision maker with a female entity, especially in times of crisis? If we take into consideration some of the incidents that have occurred here and there and proved that tribalism was present strongly in it. For example but not limited to, a citizen was prosecuted tribally because he had kissed a female candidate poster hanging in the city street on the walls and electricity poles, which is part of her election campaign. Another case, a prominent male figure in a well-known political bloc insulted a female MP and assaulted her verbally, then there was a tribal settlement between the clan of the female MP and the clan of this prominent figure. Externally, especially in the regional environment, which includes traditional tribalism autocratic regimes threatened by democratic wave and demands for equality between women and men, can they accept a neighboring state with institutionalized democracy governed by a woman?

The issue of subjective and objective influences, in turn, raises questions about the extent to which woman who undertake the politics job is able to prove her merit and success, which gives her the independency from the blocs and parties who take advantage of women's seats and votes in their favor. This, in turn, leads to addressing the objective effect of quota, is it a mechanism for participation that proved its effectiveness and usefulness or established the dependency status and made the women subject (follower) to men? Will abolishing this system give woman a margin of freedom and flexibility in demonstrating her ability to manage crises and governance in general?

All these questions need in-depth and thorough studies that give objective answers and conclusions that put everything in its proper place according to its right rational context. In a society like the Iraqi society, we need to create a collective

identity transcends the sub-identities and sub-state structures, this need to guarantee the citizenship right to all. Peace-building process does not work in fragmentation environment and abnormal conditions.

Beside that, quota system penetrates and hits one of the most important pillars of democracy and public freedoms that is the principle of equal opportunities. The quota give female candidate doubled opportunity and guaranteed her something that may not be well deserved at the expense of someone else who deserves it. Here we wonder how such a person can participate in making peace and giving everyone his right

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## **Analysis of Students' Factors Influencing the Integration of E-Learning in Higher Education. Case Study:University of Tetovo**

**Gazmend Xhaferi**

University of Tetovo, Macedonia

**Rovena Bahiti**

University of Tirana

**Arta Farizi**

SEE University, Tetovo, Macedonia

### **Abstract**

E-Learning is an Important tool for delivery, interaction, and facilitation of both teaching and learning processes in higher education. The purpose of this paper is the investigation of students' attitudes about the use of ICT and integration of e-learning at the University of Tetovo. This study also examines the factors contributing to students' attitudes towards E-Learning as well as identifying the important factors to its successful integration. The conceptual research framework of e-learning integration, which is used in the analysis, is based on the technology acceptance model (TAM). The research developed an extended TAM model (Technology Acceptance Model for E-learning) for predicting the intention to integrate E-Learning using the constructs of the TAM. Statistical analysis was conducted to assess student attitudes towards integration of e-learning, and to analyse the relationships between their attitudes and their demographic characteristics, Perception about ICT, ICT experience and ICT Competence that predict the integration of e-learning. Questionnaire was used to collect data from a sample of 314 undergraduate students from different program studies. Statistical techniques are used for the analyses of data. Factor analysis was used to validate the instrument, however; the partial least square method was used to test the model for the study, moreover; stepwise regression analysis were used to test the hypotheses of the study. The findings indicate that students have an important role in prediction of the integration of E-Learning in University of Tetovo. The reported findings might be of interest to institution, academics administrators, and decision-makers involved in planning, developing and implementation of e-learning in University of Tetovo and similar universities in developing countries.

**Keywords:** Attitude, TAM, ICT competence, ICT experience, ICT perception, Prediction

### **Introduction**

The role of information, communication and technologies (ICT) in learning and teaching process is becoming more and more important tool. One of the most significant developments in the use of information technology in universities in the last decade has been the integration and use of e-learning systems to support the processes of teaching and learning. E-Learning is a concept derived from the use of information and communication technologies (ICTs) to revise and transform traditional teaching and learning models and practices has evolved in the past decade(OECD, 2005). Numerous researchers have stated that the role of student in the process of integration technology in the teaching and learning process has been crucial (Chen, 2010; Park, 2009; Teo & van Schaik, 2009; Wong & Teo, 2009). Student characteristics are regarded as a critical success factor in e-learning in developing countries(Bhuasiri et al., 2012).These characteristics include computer self-efficacy, Internet self-efficacy, computer experience, Internet experience, computer anxiety, and attitudes toward e-learning. Students' attitudes towards E-Learning are dependent on access to ICT as well as the perception of the usefulness of E-Learning in the educational process (Kirkwood & Price, 2005). Students' attitudes are also influenced by their previous experience and skills with ICT and E-Learning. Student attitudes towards ICT and integration of e-learning at the University of Tetovo as one of public university in Macedonia where the teaching and learning language is Albanian language have not been investigated before. Also, this study investigates the factors that influencing students' attitudes about the integration of e-learning in learning and teaching process. Consequently, this paper aimed to

assess the perception of students' towards integrating e-learning into teaching and learning at University of Tetovo. In this study is used the Technology Acceptance Model (TAM), which is a model widely used in the studies about the acceptance of technology(Davis, 1993).This study proposes the use of an extended TAM model, which determines perception about technology, technology competence and technology experience are primary factors influencing students' attitude and the intention to adopt the technology.Furthermore, knowing the students' attitudes about ICT and integration of the e-learning,and understanding the factors that influence students' attitudes about integration of the e-learning can help academic administrators and managers to create mechanisms for attracting more students to adopt this learning environment.

### Research Model and Hypothesis

The objective of this research was to investigate the factors that influence the student's attitudes towards using ICT and integration of e-learning system at the University of Tetovo. However, for the purpose of model development for this research, the TAM model will be expanded including these external variables: Perception about ICT (**perceived** usefulness of technology, perceived ease of use of technology), ICT Experience (**technology usage and experience**), and ICT Competence (**level of knowledge and skills about technology**), which all have proven to be important factors that influence lecturers behavioral intentions toward adopting a new system. The research model is presented in Figure (2).

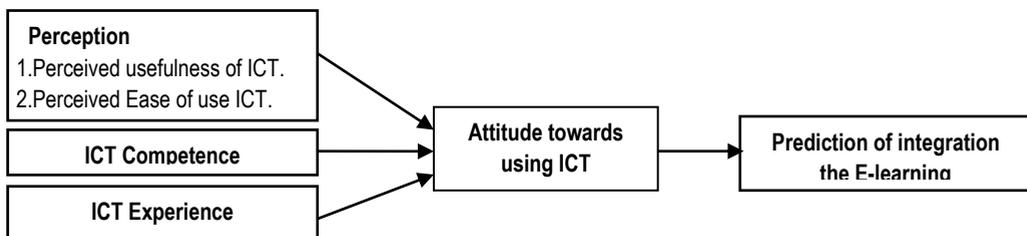


Figure 2: Research Model

The study is divided into two phases. The first stage involved taking the variable Attitude as the dependent variable and all other variables as the independent variables (Perception, Competence and Experience).

H1.Students Perceptions about ICT have a positive influence ahead Attitude towards using ICT .

H2.Students ICT Competence have a positive influence ahead Attitude towards using ICT.

H3.Students ICT Experience has a positive influence ahead Attitude towards using ICT .

The second stage involved taking the variable E-learning Prediction (shortened for Prediction of Adoption of E-learning) as the dependent variable and all other variables as the independent variables.

H4.The perception of students on the technology has a positive influence ahead the Prediction of e-learning.

H5. Students ICT Competence has a positive influence ahead the Prediction of integration e-learning.

H6. Students ICT Experience has a positive influence ahead the Prediction of integration e-learning.

H7.Students Attitudes towards ICT has a positive influence ahead the Prediction of integration e-learning.

### Research Methodology

For this study was used a questionnaire to obtained data across six sections consisting of: 1) demographic characteristics of students ; 2) Perception about technology (perceived usefulness and perceived ease of use)(14 questions) ;3) ICT Competence (level of knowledge and skills about technology) (7 questions)4) ICT Experience (Technology usage and experience)(6 questions); 5) Attitude towards ICT in teaching and learning process (6 questions); and 6) prediction of E-Learning(12 questions).Data was collected from 314 undergraduate students of different faculty at University of Tetovo. Data for this research was collected through a survey instrument and analysed using Statistical Package for the Social Sciences (SPSS). Descriptive statistics were used to summarize and describe the data collected from the respondents. Furthermore, factor analysis was also performed to identify key factors that are likely to influence integration.In addition, The reliability of the quantitative data in this study was determined by finding Cronbach's Alpha . The questionnaire was

designed using a 5-point Likert scale(ranging from strongly agree to strongly disagree). Finally, Pearson Product Moment correlations were used to examine the relationships between the variables that were measured on the interval scale.

#### DATA ANALYSIS AND RESULTS

Data was analysed using Statistical Package for Social Science (SPSS) software. Descriptive statistics such as median, frequency, and percentage are used for analysis. Demographic characteristics of students are given in Table 1.

Charachteristics	Category	Frequency & Percentage in the Study	
		N	%
Gender Study program Year of study	Male	126	40.1%
	Female	188	59.9%
	Informatics	72	23.9
	Mathematics	68	21.7
	Physics	14	4.5
	Chemistry	44	14.0
	Biology	18	5.73
	Marketing and Management	13	4.13
	Economy and Business	40	12.74
	Finance and accounting	45	14.3
	first	89	28.3
	second	81	25.8
	third	93	29.6
	forth	51	16.2
Use E-learning as Learning Tool	Yes	117	37.3
	No	197	62.7
Total No. of students		314	100

Table1.students' demographic characteristics

Also the descriptive statistics showed that the majority of participants indicate positive responses to the constructs that are measured in this study (See Table 2). All means were above midpoint and the standard deviations range from 3.58 and 8.25.

Factors	N. of Question	Min	Max	Mean	St.d dev.
PERCEPTION about ICT	14	24	70	53.0288	8.25
ICT COMPETENCE	5	4	25	16.6997	3.58
ICT EXPERIENCE	7	7	34	16.3671	5.75
ATTITUDE towards ICT	6	4	30	21.7604	4.94
PREDICTION of E-Learning	11	9	54	37.8814	7.00

Table 2: Descriptive Statistics of the constructs

The reliability analysis measured the internal validity and consistency of items used for each construct. Calculating Cronbach's alpha coefficient tested the factor reliability. Recommended that a Cronbach alpha value of 0.7 and greater is acceptable(Dunn-Ranking,2004). Cronbach's alpha values for all factors are above 0.70 (see Table 3) indicating that all measures employed in this study demonstrate a satisfactory internal consistency. Therefore, the survey is considered a reliable measurement instrument.

Construct	Cronbach Alpha	Number of Items
PERCEPTION about ICT	0.833	14
ICT COPETENCE	0.668	5
ICT EXPERIENCE	0.889	7
ATTITUDE towards ICT	0.829	6
PREDICTION of integration E-Learning	0.817	11

Table 3: CronbachAlpha Coefficients for Constructs with Multiple Items

In this study were used the Pearson correlation coefficients to measure the relationships between the variables. Correlation analysis answers the question if there exists association or correlation between the two (or more) variables and to what degree. The correlation coefficients were interpreted by descriptors, negligible = 0.00 to 0.09; low =0.10 to 0.29; moderate = 0.30 to 0.49; substantial =0.50 to 0.69; very strong = 0.70 to 1.00 ( Davis,1971). The correlation matrix is presented in Table 4.

	PERCEPTION about ICT	ICT COMPETENCE	ICT EXPERIENCE	ATTITUDE towards ICT	PREDICTION of integration E-L
PERCEPTION about ICT					
ICT COMPETENCE	.407				
ICT EXPERIENCE	.379	.314			
ATTITUDE towards ICT	.506	.410	.312		
PREDICTION of integration E-L	.379	.372	.223	.479	

Table 4. The correlation matrix of factors (\*\*. Correlation is significant at the 0.01 level (2-tailed)).

For testing hypothesis is used a linear regression analysis that was undertaken using the dependent variables for integration e-learning using the method enter. In the table 5 are summaries the results obtained from testing the research hypotheses. The results confirmed that there was a statistical correlation between the predicted directions of the research model. Overall, all of seven hypotheses were supported by the collected data. After the examination of each of the seven hypotheses was made.

Research Hypothesis	Path	Standardized Path Coefficient (Beta)	t-value	Significance	Results Significance (p)	R <sup>2</sup>
H1	P→A	.496	10.100	.000	Supported	.246
H2	E→A	.304	5.643	.000	Supported	.093
H3	C→A	.410	7.950	.000	Supported	.168
H4	P→PEL	.371	7.037	.000	Supported	.137
H5	E→PEL	.204	3.674	.000	Supported	.042
H6	C→PEL	.350	6.597	.000	Supported	.123
H7	A→PEL	.453	8.955	.000	Supported	.205

Table 5: Summary of the Hypothesis Testing

To determine a goodness-of-fit measure which determines how well the statistical model fits the set of observations is used the linear regression. The analysis of the model used in this study is examined the goodness of fit among the Students with the analysis indicating that the model accounted for approximately 25.1 % of the variation (R<sup>2</sup>= .251).

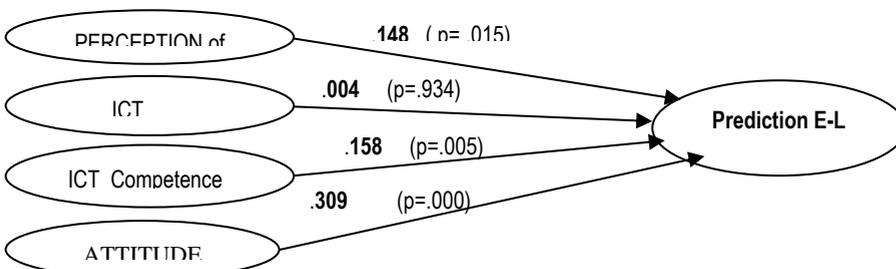


Figure 4: Results of Beta values and results for Students R<sup>2</sup>

The analysis of the model using SEM and the SPSS software for the linear regression indicated that the model explains approximately 25% of the variance in the prediction or intention to use E-Learning from the students (R<sup>2</sup> = 25.1%). The results of our model for the goodness-of-fit for the model are different to the findings of others researchers investigating, for instance, in (Park, 2009) the percentage for the goodness-of-fit was (R<sup>2</sup> = 66%), and in (Mazen et al, 2013) the percentage for the goodness-of-fit was (R<sup>2</sup> = 59%).

## Findings and Discussion

The purpose of this study was to analyze the attitudes of students towards technologies in the learning process and the factors that influence their decisions to adopt and integrate these technologies into teaching process. The aim of the analysis was to determine the degree to which these three variables and include the construct of Attitude, which is considered an intermediate variable influence the Prediction of the integration E-Learning. From the obtained results and based to analysis we can conclude that not all factors added to the expanded TAM model have significant effect on Prediction of the E-Learning. Results show that only the variables of Attitudes, Perception about ICT and ICT Competence had a statistically significant effect on the Prediction of E-L. The findings about factor ICT Experience, show that this factor is not statistically significant that is contrary of the findings of others previous researchers. The analysis as shown in Table 5 indicated that the variable of ICT Experience did not account for a significant amount of the variance in Prediction of integration e-learning based on goodness-of-fit (ICT Experience  $R^2 = .042$ ), while a weak correlation was found. Findings from the study demonstrate that there was a statistically significant moderate association between variables ICT Competence and Prediction of integration E-learning. Thus, it implies that students with knowledge and skills in ICT played a significant role in constructing positive attitudes towards integration of e-learning and means that students whose have skills in ICT and greater level of knowledge about ICT, have more positive intention towards integration of e-learning in the teaching process. Also, results obtained that there was a statistically significant moderate association between variables Perception about ICT (the variable is composed of perceived usefulness of ICT and perceived ease of use of ICT) and Prediction of integration E-learning. On the other hand, there was a low association between variables ICT Experience and Prediction of the integration of e-learning in teaching and learning process.

Another findings from the analysis is that, the individual factors have a moderate relationship with Attitude, but the three taken together have a substantial association. Attitude itself is moderately associated with E-learning Prediction. The finding of a moderate relationship between positive Attitude towards ICT and prediction of E-Learning is differently to the findings of researchers in other nations examining the relationship between attitude and adoption of E-Learning where the relationship is strong. Therefore, from the analysis and results reported here are consistent with outcomes of similar studies, noting that attitude was a key factor in determining technology adoption (Teo, Lee & Chai, 2008, Teo, 2012). The findings also conform to the proposition of the model, that attitude is the most significant predictor for the intention to adopt a technology (Shin & Kim, 2008).

## Conclusion

This study demonstrated the importance of students' Perception about ICT, ICT Experience and ICT Competence for attitudes towards integration E-Learning in teaching process. Greater part of students in this study believed and has positive attitude that using ICT in learning would significantly contribute to the efficacy and effectiveness of their teaching. Findings from this study suggest that students' positive attitude towards ICT and e-learning is essential if University of Tetovo need to successfully transform its education systems from the current classroom face-to-face methods to e-learning. In conclusion can say that students are one of the key stakeholders of education and their attitudes towards using ICT and also their skills, experience and perception about ICT has a significant impact on prediction of integration of e-learning in learning and teaching process. Identification of attitudes and factors influence integration of e-learning would provide useful knowledge for education stakeholders and higher institution which can help in planning and increasing effectiveness of the adoption of e-learning in higher education. The research model and the findings of the study can serve as a model for developing framework and which stockholders and factors to take into consideration for integrating e-learning into the teaching process as a learning method for the students of the University of Tetovo as well and other universities in the developing countries.

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## Is the Marginal Effect of Education on Income Diminishing?

Tal Shahor

The Academic College of Emek Yezreel, Israel

### Abstract

This study seeks to determine the effect of education on income for wage workers in Israel, for the years 2005 – 2015. The hypothesis of this study is that the marginal effect of the number of years of education on income will be declining, such that at a certain point, it will be zero or even negative. The results of the study show that until 2012, the marginal effect of the number of years of education on income is linear. However, beginning in 2013, the marginal effect of the number of years of education on income is declining.

**Keywords:** Education; Income; Wage; Israel; Age

**JEL:** j3

### 1. Introduction

Regarding the size of the effect of education on income, there are practical effects that occur both on a personal and national level. On a personal level, acquiring an education is a process which is expensive, both because of tuition costs and the opportunity cost of not working, or working less. Therefore, it is important to know what the return on this investment is. This is true, even on a national level. Education in general, and academic education in particular, require large expenditures. Similarly, to lose the labor force of the students while they are studying has an impact at the national level. Over the years, in most countries, an academic degree is considered to be of higher quality than professional certification, and that the holder of an academic degree is considered in society as being of higher quality, relative to a person who holds only professional certification.

According to Maclean and Wilson (2009), many colleges have been established in the last few years. This has led to a dramatic rise in the number of academic degree holders. As such, the integration of academic degree holders into the work force has become more challenging. In order to distinguish among all of the candidates, the quality of an academic degree is judged not only according to field of study and type of degree, but also by the quality of the institution where the degree was earned. Bosch

and Charest (2009) posited that due to technological, societal, and economic changes, an academic degree is no guarantee of a job. There has been a recent increase in the demand for specifically tailored vocational training and not necessarily a protracted liberal arts education, which is available at many academic institutions. Today, firms (and even governments) encourage young people to focus on professional certification. The student receives a partial academic education, yet benefits from an improved and refined professional proficiency by working at companies as part of the learning process. Moreover, many companies even commit to hiring these students after they finish their certification while they are still in school. Therefore, it seems that in today's world, professional certification has become an important element that aids in joining the labor force.

### 1.2. review of the literature

While professional certification may be an important way for many people to enter the labor force, Ben-David (2010) shows that people with academic degrees enjoy higher incomes and earn promotions at a higher rate than people with professional or vocational certifications. Iannelli and Raffe (2007) show that despite significant changes in the labor market, with the market flooded with educated people during a time where there is a specific demand for those with professional training, society still places the academic degree at the top of the occupational pyramid, especially if that degree was earned at a top institution. Therefore, it is expected that degree holders will be considered higher quality employees and will benefit from more promotions and higher salaries. People in society maintain a perception which is no longer valid regarding the demands of the labor market. An academic degree may be a reasonable proxy for personal characteristics like diligence, work ethic and broad knowledge of a subject. However, all these traits come with a low level of expertise. Therefore, the

individual must also undergo professional certification for more efficient assimilation into the labor force. It may be that, to a certain extent, an academic degree and a professional certificate are complementary goods and not necessarily substitutes. Clarke and Winch (2007) suggest that in order for integration into the labor force to be more efficient, academic institutions must institute reforms in order to meld academic degree programs with professional training. Change in the socio-economic perception of society is required in order for those with professional certification to earn promotions and better work conditions. Certain countries have begun applying these reforms (for example, the US, Germany, and Australia). However, some have questioned whether the slow process and amount of oversight are having a negative impact on the education people are receiving from these programs.

When examining the topic of education, we must look to the academic literature regarding human capital. Human capital is a composite mixture of an individual's traits and skills which raises or lowers the individual's value in the eyes of society. Human capital includes age, sex, level of health, professional experience, education level, and other qualitative factors. Despite this, most of the professional literature links human capital to education and proficiency, in a way that is statistically significant. In practice, education is considered the main and most important factor when weighing human capital. However, according to Becker (2009), changes in education that were begun decades ago have led to changes in the way that human capital is measured in a number of countries (though mainly in the US). If in the past the value of human capital was measured primarily by way of the number of years of education, today this value is also measured by the educational institution, such that an increase in the importance of attending college in the United States has led to a sharp increase in the number of academic degrees (which has turned the American public into one that is, allegedly, better educated). As a result of the excess of academically qualified citizens, companies and organizations began to look at the type of educational institution attended as it pertains to measuring human capital.

Iannelli and Raffe (2007) claim that the increase in the supply of education has led to a more accurate re-examination among people and companies that want to measure human capital. Take for example the idea that an academic education is considered better than professional training, and a university is considered of higher quality relative to private colleges. The reasons for this are rooted primarily in social views and less in factual basis. For instance, there is a social stigma that graduates of professional training courses, and not academic institutions, are people with a low level of individual ability, poor motivation and poor discipline when compared to academic graduates. According to Modood (2004), the increase in academic proficiency and the greater accessibility to academic institutions led to significant social changes such that today, women as well as other minority groups are taking part in institutions of higher education. The ability of groups who are targets of prejudice, to integrate into the academic world, has led to cultural changes. Minority groups continually increase their human capital by enrolling in academic institutions with the motivation to complete their studies because they want to make up for other forms of discrimination such as racism or social status. Similarly, many women also join institutions of higher education because they want to change their social status.

Within the concept that an individual can get either certification or a degree, and that a person who chooses certification is somehow "less worthy," there is no discussion of the areas of interest of the individual, economic resources available, and other demographic aspects which must affect the decision to pursue (and earn) professional certification instead of an academic degree. If so, we can see that the differences in education are not necessarily proof of the degree of human capital, since academic graduates do not necessarily possess the experience and skill to exploit the knowledge they have acquired. Therefore, Raffe (2003) raises the idea that the merging of academic education and professional training constitutes the ultimate solution which should significantly increase the human capital of society. This process can be tailored by looking at three components. The first component is based on building a new study program that combines professional training with a suitable field of academic study. In this way the individual benefits from a broad academic education and the development of practical skills. The second component encourages organizations to get rid of the distinction (and flawed notion) that exists between a person with an academic degree and one with professional certification. Most of an individual's practical training happens in the work place as a part of one's job and not necessarily outside of the place of employment (such as in the lecture halls). The third component seeks to reduce the amount of time required to study. In most cases, academic programs last for three or four years and sometimes there is a focus on subjects that are not relevant to any job one is likely to do once one enters the workplace. Or, there are changes in society or technology that no longer match the curriculum.

In contrast to pursuing an academic degree, professional training is considered shortened and focused, in order certify the individual for specific expertise within a short period of time and to integrate that individual quickly into the workforce. Oketch (2007) claims that the influence of education is not limited to the career area of a single individual. The general level of education in a country has a greater influence over the whole society, including scientific and social development. The

discussion of education is usually related to how developed the country is and the character of the society that makes up the country. At the end of the day, higher education and professional certification greatly develop every aspect of society. For example, the concentration on academic or practical education decreases the crime level simply by reducing the number of young people on the streets. Education allows for the development of technology and the development of social perspectives, while professional training increases the chances of the individual to join the labor market, even if one doesn't have the resources to acquire an academic degree.

Another claim raised by Baum and Lake (2003) postulates that education makes possible the shaping of a society with liberal and democratic perspectives. The choice to pursue professional training or an academic degree allows for the expression of differing views and opinions. The existence of differing viewpoints is likely to create dilemmas when searching for solutions to various social issues where a moral solution is required. In a similar vein, Halliday (2000) claims that the significant difference between an academic education and practical training difference is mainly in the realm of critical analysis (which is more prevalent in an academic education). Despite this difference, both types of education help to develop a more friendly, fertile, and progressive society. Both types of education encourage teamwork, self and organizational management, interpersonal communication, problem identification and management, and personal development. Education influences society in ways that are not only economic, but also in the development of friendly relationships, communication, ethics, and general social outlook. Studies by Toolsema (2004) and Bosch and Charest (2012) show that, in the last four decades, the demand for academic expertise portrayed above remained the same while the demand for professional expertise changed significantly. Therefore we can understand why, recently, there is a reduced demand for general academic elements and a greater demand for concentrated technical knowledge, which professional training emphasizes. This change forms the basis of the discussion of the question "what is the proper education for the economy and the business world?"

Diverse societies specifically demand to employ people with professional certification. Academic education is no guarantee of finding a job because the supply of students with academic degrees is, in many instances, outpacing the supply of jobs in the graduates' professions. Viewing the world as if higher education guarantees a quality job creates a situation such that the market for graduates with academic degrees is saturated. These graduates' ability to integrate into the labor force is uncertain.

According to Ben-David (2010), in Israel in the 1980's a person with 16 years of education or more could expect to find a job with 95% certainty. By 2010 the level of certainty fell to 85% and the number of university graduates is significantly higher. In addition, during the 1980's the number of students attending university was 54,000, but only a decade later this number had doubled. By 2012 the number of students was estimated to be about 250,000. However, a person with only 12 years of education or less has a significantly reduced ability find a job in today's world relative to a person with an academic degree. Therefore, we can argue that education and cognitive skills in general guarantee personal and economic development across all countries, whether developed or developing (Hanushek and Wobmann, 2007).

According to Harris, Handel, and Mishel (2004) one of the more difficult problems regarding education is the need to identify future challenges. The educational standard of society must be maintained at a suitable level so as to address challenges that are, supposedly, to be expected. Acquiring education which is not suitable for the realities of the real world may very well lead to difficulties adapting to different challenges. Therefore, acquiring education in a given field which is supposedly seen as "prestigious," could very well be inefficient (if not irrelevant) regarding social, economic, and political realities that the individual and society must face in present times. In spite of the understanding that one must match one's educational field with the demands of the marketplace, there still exists the viewpoint that an academic degree from a prestigious university will help the individual enter the labor force, irrespective of the field in which the degree was earned or the employment prospects upon graduation. Similarly, according to Brown (2003), prestigious universities pull in students from all over the world. Acceptance and completion of a degree program from a prestigious university is a way of bearing witness as to the quality of the person, regardless of what degree was obtained. Similarly, the level of the degree, and not necessarily the field of study or even the grades achieved, is considered important, and in many cases, advanced degrees are a requirement for entry level work in certain fields. In Brown's study of 100 students in the United States, 99 said they would prefer to have a Master's degree with average grades, and only one student would prefer to have a Bachelor's degree with perfect grades. Students seem to be of the opinion that a Master's degree constitutes a significant advantage relative to other certifications in the pursuit of a career.

While it may be that society places a value on the level of a degree earned, Leitch (2006) suggests that in terms of the economy, there is no import to level of certification, only to level of expertise. In his report on careers and education published in Britain in 2006, Leitch maintains that universities, colleges and schools are required to bring changes and

reforms to their educational programs such that the programs will concentrate more on developing expertise among the students, and less on the amount of education, which at times is not effective for the economy in general, or the individual in particular. The report notes that people other than university heads need to recognize technological and economic changes and to adopt them. This requires individuals to change traditional social attitudes that they may harbor whereby professional certification is viewed as having lesser value than an academic degree. In an era where expertise is important and not necessarily the type of degree, an outdated view such as this must change. Professional training, at the end of the day, matters just as much as an academic degree for the economy as well as employment. In light of the above, various countries have begun enacting reforms whose goals are to integrate broad academic education with practical training that directly meets the demands of industry. Take for example Maclean

and Wilson (2009) who show that students in the US and Germany enjoy broad educations, but there is a strong emphasis on professional training and these students take an active part in the workplace during their studies. Integrating work with school can certainly benefit the students later in their career path when they are looking for work, when asked to demonstrate tangible skills. This is an accepted practice in Germany that has proven itself over time. This method has been received with much criticism in the United States. With this method, courses of study in Germany allow for professional study in the classroom and in the workplace, such that companies will often adopt and support students and, in many cases, reserve a job for them upon graduation. On the one hand students who undergo professional certification benefit from academics in the classroom, but on the other hand they spend most of their time in the workplace where they acquire expertise suitable for the industry in which they work. This process guarantees that the students who choose this course learn less academically and don't receive a degree, but they receive critical professional training and the promise of a job when they finish their programs.

One of the problems raised by the integration of work training and studies is the need to establish regular study which doesn't suffer from pressures related to work. According to Maclean and Wilson (2009) in countries such as Germany, Australia, and England there is strict supervision by the government regarding the certification and field of study. The length of study is estimated to be between a few months to two years and the students must meet a certain standard in order to obtain certification. A similar level of study to an academic curriculum in terms of content, but not in terms of scope, and therefore most countries rate the certificates by level instead of degrees. That is, first, second, or third level certification is not the same as a Bachelor's, Master's, or Ph. D. At the end of the day, students who choose to learn a high level of certification, for instance level three, benefit from being able to integrate into the job force more quickly and with higher wages, such that many times their integration into the work force and their career advancement is higher than those with academic degrees. In Australia and Germany, this method has been shown to be highly successful such that with each year, students are demanding more professional certification and most of them already work in jobs in their given professions before having finished their studies. Take for example the state of Victoria in Australia where the number of students enrolled in professional certification programs was estimated to be around 5,000 in 2003. By 2006 the number was estimated at 12,000, whereby most of the students were already working before they finished their course of study.

### **The relationship between education and wage level**

The social viewpoint in existence today in Western countries is that in places where the work is technologically intensive, the workers are required to hold advanced academic degrees in fields like engineering, or other degrees whose terms of study are three years or more. Despite this, Maclean and Wilson (2009) suggest that in the United States, most of the technology companies employ workers who are professionally certified and only slightly less than a quarter of the employees are degree holders. The reality is that there has been a prolonged shortage of qualified professionally certified workers. At the end of the day the shortage of qualified workers increases the demand and increases the level of wages significantly for suitable employees. Companies do not have difficulty recruiting university graduates and engineers, whose numbers have increased consistently and accordingly with the market demands. However, companies have great difficulty recruiting professionally certified workers. Therefore, companies offer their professionally certified employees incentives like higher wage packages, comfortable job conditions and other such benefits. However, Neuman and Ziderman (2003) claim that at the end of the day, a person who acquired an academic degree has a greater overall ability than a person who acquired professionally certified training. The period of study and investment in an academic degree is prolonged and broader in scope, and this is expressed in most cases by the higher wage levels of holders of academic degrees as opposed to those with only professional certification.

A study by Ben-David (2010) in Israel shows a consistent trend, over a span of years, of a significant gap in wages between educated workers (including skilled workers) and uneducated workers. This study maintains that jobs which require high levels of expertise command higher wages. In addition, most workers with higher education enjoy faster promotions and

an increase in wage levels, relative to workers with lower education levels. Other findings from the Israeli report show that there is a direct connection between the quality of the degree and wage levels. That is, the level of certification is measured by the certificate (professional training or academic degree) and also by which institution (university or college). In general, it seems that college graduates earn up to 30% less than their colleagues from universities in professions like economics, accounting, law, computer science and engineering. Similarly, professions which require expertise and higher levels of intellectual skills like mathematics or sciences raise the wage level of these graduates even higher. However, when looking at the wage levels according to level of education, it seems that holders of Master's degrees earn more than holders of Bachelor's degrees, as well as holders of a Ph. D (Navon, 2004). A possible explanation is that a person holding a Master's degree has more expertise and experience than a Ph. D (because the pursuit of the Ph. D "wasted" more time learning), and therefore commands a higher wage. Studies done in other countries yielded similar results, such as Dominguez and Gutierrez (2013), who found that holding a Ph. D doesn't bring with it better working conditions or benefits relative to holders of lower ranked degrees. One of the reasons for this is that, frequently, holders of Ph. D's work for government institutions and in the public sector. Also, there is a lot of temporary work relative to the private sector, which is also true of workers who have a Ph. D.

## 1.2. Gender Wage Gaps

When looking at gender differences we see that women earn less than men, even when both are equally qualified. This is nothing new and only strengthens the idea and old truth that women face prejudice in the workplace, even when they have the same expertise and skills as men. For example, a woman with a Master's degree in the private sector may very well earn up to 50% less than a man who does the same job and has the same expertise. In practice, in most countries in the world, women earn less than men. For example, Navon (2004) found that in Israel women earn 17% less than men when both hold the same academic degree and work in the same profession.

## Materials and Methods

From reviewing the available literature we see that higher education allows for quicker integration into the job market. Similarly, an academic degree is still considered to be more prestigious (especially in the eyes of the employers), makes possible a wider range of promotions, and commands a higher salary. Therefore, we expect that an increase in the number of years of education will translate into an increase in income. On the other hand, we see that in the last few years, the issue of professional expertise has become important. As is known, professional certification (which requires fewer years of study) delivers more professional expertise than an academic education (which requires more years of study). Therefore, the professional certification process is expected to reduce the amount of time that the increased education requires in order to be reflected by income. The hypothesis of the study which comes out of these two questions is that the marginal influence of the number of years of education on income is a decreasing function, such that at a certain point the effect will be negligible or negative.

## Description of the Data

The research was based on surveys regarding household income, from the Central Bureau of Statistics. Until 2011, the relevant survey was "The Combined Income Survey." Beginning in 2012, the Bureau of Statistics combined the income survey with an expenditures survey called "The Household Expenditure Survey" (which includes income as well). The research was done for the period spanning 2005 – 2015. The goal of the research was to determine whether or not there was a change in the structure of household income, over that period. The database for the empirical study includes only employees who worked full time, over the period. The self employed, those who did not work at all, and those who worked part time have been eliminated from the sample population. The following have also been eliminated from the sample: those who have had fewer than 8 years of schooling (no high school) or more than 22 (number of years to receive a PhD); those over 66 (retirement age) or under 25 (in Israel, the overwhelming majority of people under 25 have yet to fully integrate into the workforce); those whose last year of education was in a Yeshiva (religious Jewish school). A Yeshiva education is generally irrelevant to the work force, and therefore the number of years of education is not expected to have any influence on income. Also, a portion of the Yeshiva students have many, many years of education (sometimes more than 40), and this is an extreme case.

## Separating the sample into Jews and Arabs

The population in Israel is divided into two main ethnic groups: Jews and Arabs. Jews make up the majority and Arabs constitute the minority. There are enough differences between the two groups such that the Arabs have a more difficult time integrating into the workforce, and it is reflected in income disparity (see Table1) and work force participation.

Table 1: Wage by ethnicity and gender

Year	Arabs		Jews	
	Women	Men	Women	Men
2005	5,578	7,715	7,500	12,579
2006	5,351	7,076	7,747	12,847
2008	5,193	7,304	7,968	13,318
2009	5,193	7,274	7,992	12,779
2010	5,569	6,783	7,943	12,731
2011	5,469	6,814	7,879	12,711
2012	5,793	7,392	8,659	13,946
2013	5,745	7,297	8,541	13,940
2014	5,773	7,979	8,808	14,082
2015	5,938	8,269	9,270	14,881

This is shown by the following two variables: "income disparity" and "work force participation." Income disparity can be gleaned from Table 1. In 2016 68.1% of Jews participated in the work force, as opposed to 45.3% for Arabs.

In addition, the education levels in the workforce, for Arabs, is very different than in the workforce for Jews. The data for education, by ethnicity, is listed in Table 2.

Table 2: the distribution of workers by years of education, according to ethnicity

Years of education	8		12		15		22	
	Arabs	Jews	Arabs	Jews	Arabs	Jews	Arabs	Jews
2005	0.10	0.02	0.53	0.37	0.17	0.29	0.20	0.32
2006	0.11	0.02	0.53	0.35	0.17	0.29	0.19	0.33
2008	0.12	0.02	0.55	0.36	0.15	0.29	0.19	0.33
2009	0.09	0.02	0.52	0.36	0.12	0.28	0.27	0.33
2010	0.09	0.02	0.54	0.35	0.13	0.30	0.24	0.33
2011	0.09	0.02	0.52	0.35	0.14	0.29	0.25	0.34
2012	0.08	0.01	0.50	0.35	0.14	0.27	0.28	0.36
2013	0.06	0.01	0.53	0.34	0.11	0.29	0.30	0.36
2014	0.06	0.01	0.53	0.33	0.14	0.29	0.27	0.37
2015	0.06	0.01	0.54	0.33	0.15	0.27	0.25	0.39

According to the data in the table, the level of education among Arabs is much lower than that among Jews. Because of these differences, this study will deal with each of the above groups separately. This separation allows for comparison between groups.

### Description of the Model

The dependent variable in the model is the real income of employees, designated "Income."

The independent variables are:

Number of years of education, designated “school.” As previously stated, the goal of the study is to determine the hypothesis which states that as the number of years of education increases, income does as well, but at a decreasing rate. Therefore, it may be that at a given level of education, additional schooling will not further increase income, and may even reduce it. Therefore this variable appears twice in the model: once linearly, and once squared.

The age of the employee is denoted as “age.” The accepted hypothesis regarding this variable is that as one gets older, income increases, but the rate of increase decreases over time. It may be that at advanced ages, further aging will lead to a decrease in income. Therefore, this variable also appears twice: once linearly and once squared.

A dummy variable for men (which takes a value of 1 for men and 0 for women), denoted as “man.” Also, in order to determine the effect of number of years of education for men as opposed to women, this variable appears a second time in the model as “man\*school,” denoting the product of “man” and “school.”

A dummy variable for single individuals takes a value of 1 for single, 0 for married. This variable is denoted as “single.”

Accordingly, the model is as follows:

$$\text{Income} = \beta_0 + \beta_1 \text{school} + \beta_2 \text{school}^2 + \beta_3 \text{age} + \beta_4 \text{age}^2 + \beta_5 \text{man} + \beta_6 \text{man} * \text{school} + \beta_7 \text{single}$$

### Results and Discussions

The results of the regression for Jews appear in the table 3 :

Table 3: Results for Jews

Variable	Year										
	2005	2006	2008	2009	2010	2011	2012	2013	2014	2015	
Constant	-18,449	-16,937	-21265	-23,505	-24,256	-24,259	-32,075	-31,529	-40,643	-32,308	
School	836	805	813	931	904	860	1,780	1,701	1,891	1,596	
school <sup>2</sup>	***	***	***	***	***	***	-27	-27	-32	-21	
Age	627	564	772	798	835	876	880	909	5,922	4,444	
age <sup>2</sup>	-6.5	-5.5	-7.8	-8.1	-8.4	-9.0	-8.6	-8.9	-283	-197	
Man	***	-2,038	-3,120	***	***	***	***	-3,093	***	-2,723	
Man*school	387	528	619	368	367	359	396	608	393	600	
Single	-1,670	-1,494	-1,418	-1,440	-747	-1,471	-1,621	-1,555	-1,761	-1,925	
Radjusted	0.24	0.25	0.24	0.24	0.23	0.25	0.22	0.21	0.23	0.26	

\*\*\* The coefficients for these variables were not statistically significant and were removed from the regression

The data from Table 3 shows that for the years from 2005 until 2011, the coefficient for the number of years of education is positive, while the coefficient for the number of years squared is not statistically significant. For these years, the number of years of education and income have a linear relationship.<sup>1</sup> However, beginning in 2012, the picture changes since the coefficient for the number of years of education squared becomes negative and statistically significant. The implication is that the marginal impact of the number of years of education on income decreases as the number of years of education increases. Until 2015, there is still no relevant region over which the increase in the number of years of education reduces the income, since the absolute value of the coefficient is relatively small. As a result, the number of years of education where income begins to decline (that is, the point at which the product of  $\beta_1 * \text{school} + \beta_2 * \text{school}^2$  begins to decrease) is above 30, which is not in the relevant region. The conclusion is that for Jews, for years after 2011, an increase in education increases income. However, the rate of increase is decreasing as education increases.

<sup>1</sup> This was also the result when the regression was run using the transformation of the natural log instead of the squared regression.

Another interesting result is that the coefficient for the variable “age” is positive, while that of “age squared” is negative. The implication here is that as one gets older, income increases. However, it increases at a decreasing rate, until at a certain point an increase in age causes a decrease in income. These two variables, together, show that for Jews, the maximum income is reached at age 49 (as of 2005) to 52 (as of 2015).

Another result that comes out of the regression demonstrates the wage gap between men and women. The coefficient for “man\*school” is positive for all the years. This means that among Jews, the gap between income for men and women grows as the number of years of education increases.

In some of the years, the coefficient for “man” was statistically significant and negative. It would appear that this result implies that men earn less than women. However, this conclusion is faulty. In the model, the effect of gender on income is composed of “man” as well as “man\*school.” If we look at both of these effects together, it seems that for both variables, in all of the years, for eight years of schooling or more (the minimum education level in the study), the gender effect is positive. If we look at the year 2006, for example, the coefficient for man is -2,038 and the coefficient for man\*school is 528. For a man with 8 years of education, the combined effect is:  
 $-2,038 + 528 \times 8 = 2,186$ , which is of course positive.

One possible reason for this is the difference in career choices between men and women. Table 4 contains data for the percentage of workers in various academic professions in 2011<sup>1</sup> according to gender, for Jews. Column 2 displays the percentage of men, column 3 displays the percentage of women, column 4 displays the difference between them, and column 5 shows the average wage (of both men and women together) for the given professional field.

Table 4: The percentage of Jewish workers, by gender, in academic professional fields in 2011

Occupation	Men	Women	Difference between men and women	Average Wage
1	2	3	4	5
Chemists, physicists, and mathematicians	2.0%	1.0%	1.0%	19,873
Engineers and architects	7.3%	1.8%	5.4%	18,144
Doctors, veterinarians, and pharmacists	1.0%	1.8%	-0.8%	14,626
Judges and lawyers	0.9%	1.2%	-0.3%	14,661
Biologists and pharmacologists	0.3%	0.4%	-0.1%	13,220
Economists, accountants, and psychologists	2.5%	3.4%	-0.9%	13,127
Social scientists	0.3%	0.4%	-0.1%	9,157
Academics working in academic institutions	0.8%	0.7%	0.1%	13,476
Teachers	1.8%	4.5%	-2.7%	9,901
CEOs	2.6%	0.7%	2.0%	23,918
Executives	6.9%	3.8%	3.1%	17,031
Total	26.4%	19.7%	6.8%	15,832

Column 4 shows that the percentage of men employed in the exact sciences, engineering, and management is larger than for women. Column 5 shows the incomes of the various professions. Men are more highly represented in the professions that pay higher wages. This may be a reason why men have a higher return on education.

### Regression results for the model for the Arab population

In the following table are the results of the regression for the Arab population

<sup>1</sup>For the years after 2011 there is no specific data on occupations, so only the distribution for 2011 was calculated.

Table 5: regression results for the Arab population

Variable	Year									
	2005	2006	2008	2009	2010	2011	2012	2013	2014	2015
Constant	***	***	***	***	***	***	-2,896	***	***	***
School	-612	***	-337	-957	-356	-332	***	***	***	-480
school <sup>2</sup>	48	13	35	58	36	37	23	23	23	45
Age	121	80	87	288	86	73	97	***	***	438
age <sup>2</sup>	***	***	***	-3	***	***	***	1	17	***
Man	3,145	***	2,948	2,950	2,198	2,351	2,672	4,357	3,033	3,283
Man*school	***	188	***	***	***	***	***	-143	***	***
Single	***	-903	-755	-962	***	-641	***	-1,096	-1,141	-977

\*\*\* The coefficients for these variables were not statistically significant and were removed from the regression.

In all of the years the coefficient of **school**<sup>2</sup> is positive, signaling that the marginal effect of education is not decreasing, but rather increasing. In some of the years, the coefficient for **school** is negative (in other years it was not statistically significant), but in most of the years (except for 2005 and 2009) the breakeven point is fewer than 12 years of education. That means that in most of the years, the twelfth year of schooling already increases one's income. It appears as if the difference between the effect of education on Arabs and the effect on Jews is derived from the number of years of education, for each group. Looking at the data from Table 2, there are fewer Arab employees with many years of education. Therefore, the phenomenon of having "extra" years of education simply doesn't come into play.

An interesting finding from the data shows that, among Arabs, an increase in age always increases income. Unlike among the Jews, the Arabs seem to have no specific age whereby income begins to decline. One possible explanation for this is the way in which employment is structured among each population. There is a hypothesis (which was not checked as part of this study) which states that the decline in income after age 50 is mainly in the fields of technology, exact sciences, and management. Table 7 shows the percentage of Arabs and Jews that work in these fields.

Table 6: percent of Arabs and Jews that work in the fields of technology, the exact sciences, and management for 2011<sup>1</sup>

Professional field	Percentage of Arab workers in the given field, out of the entire Arab population	Percentage of Jewish workers in the given field, out of the entire Jewish population
Total	4.62%	11.00%
Executive management	0.85%	3.24%
CEO	0.00%	1.23%
Doctors, pharmacists, and veterinarians	1.08%	0.48%
Engineers and architects	1.23%	3.40%
Chemists, physicists, and mathematicians	0.08%	0.96%
Biology and pharmacology	0.00%	0.12%

The table shows that the occupation rate in these fields for Arabs is smaller than that for Jews, except for one. This may explain why, among Arabs, there is no decrease in income as age rises.

<sup>1</sup> There is no detailed data for professions after the year 2011, so only the distribution for the year 2011 was calculated.

There is also a difference between Arabs and Jews regarding men and women. The data showed that, among Jews, the difference in income between men and women favored men, and increased with the number of years of education. Among Arabs, the income difference between men and women is steady and uninfluenced by education.

## Conclusion

The goal of this study was to determine the connection between education level (expressed as years of education) and income, for employees in Israel between the years 2005 – 2015. The study distinguished between Jews and Arabs because each group integrates into the labor market in markedly different ways, as Jews represent the majority and Arabs the minority. From the literature arose the claim that in the last few years, the influence of an academic education has declined somewhat, as the market has shown a preference for professional training. Therefore, the hypothesis of the study states that the marginal influence of the number of years of education will decrease, such that at a certain point it will be very close to zero, and might even be negative. The study used a squared regression that examined the influence of the number of years of education on income for wage workers.

The results of the study show that there are large differences between the Jewish and Arab populations. Over the time period of the study, there was a change in the character of the influence of education on income, among Jews. From 2005 – 2011, the effect was linear. However, beginning in 2012, the situation changed. During this latter period, the marginal effect of the number of years of education decreased, even though over the relevant region of up to 22 years of education, the effect is still positive. It is reasonable to conclude that for Jews, the hypothesis of the study is partially correct in that the effect of education on income (through 2015), though decreasing, it still positive.

Another important result regarding the Jewish population is that the effect of education on income for Jewish men is higher than for Jewish women. This result demonstrates that the wage gap between Jewish men and Jewish women comes about because women are over represented in occupations that simply don't pay as much as the occupations in which men are over represented. Therefore, as a group, women simply earn less than men, despite having the same amount of education. Among the Arab population, wage gaps between men and women still favor men, but don't depend on education.

Additionally, the way in which age affects income is different for Arabs and Jews. Regarding Jews, income reaches a maximum around age 50, and then begins to decline. Regarding Arabs, the effect of age on income is positive up through the retirement age of 66. Differences between Jews and Arabs seem to stem from differences in education levels, as well as occupational differences between the two groups.

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## **Occupational Burnout as a Consequence of Workaholism – An Outline of the Problem Based on Studies of Polish Women Running Their Own Business Activity**

**Małgorzata Dobrowolska**

Silesian University of Technology

**Mariola Paruzel-Czachura**

University of Silesia

**Agata Chudzicka-Czupała**

SWPS University of Social Studies and Humanities

**Marta Stasiła-Sieradzka**

University of Silesia

**Janusz Siwiorek**

University of Silesia

### **Abstract**

The paper presents selected studies using structured in-depth psychological interviews conducted in 2017 among n=72 women undergoing therapy for managers, who complained about ailments related to workaholism and simultaneous occupational burnout. The sample was selected by quota sampling, and running one's own business was the criterion. The characteristic problem areas declared by the patients were divided into twelve categories, in accordance with the literature presented and with results of research conducted so far into workaholism and occupational burnout. The authors believe that occupational burnout is the principal consequence of workaholism, and the most serious one affecting occupational activity

**Keywords:** occupational burnout, workaholism, women, female entrepreneurs, qualitative research

### **Introduction**

It needs to be emphasised that, just like in the case of any addiction, workaholism is also characterised by the possibility of finding fulfilment in only one area of life, with prejudice to all the other areas (Mieścicka, 2002). The following aspects distinguish workaholics: a low degree of interest in their own family, breaking off ties unrelated to work, lack of a sense of control over the time spent on work-related activities, feeling discomfort outside the workplace, taking work home, staying after hours, inability to rest, to enjoy one's free time or to relax, not feeling the need for any changes, permanent fatigue, excessive work engagement, the need to bring work to completion, being passionate about work, feeling the compulsion to do it, identifying time with self-fulfilment, the sense of wasting one's free time, rationalising the time dedicated to work, increased vulnerability to other addictions, and simultaneous involvement in multiple tasks (Bortkowski et al., 2001; Scott et al., 1997; Bańka 2002; Kalinowski et al., 2005; McClelland, 1985; Fassel, Schaefer, 1989; as cited in: Szpitalak, 2012, p. 41)

The four symptoms of workaholism according to Wojdyło (2004) are the following: excess expenditure of energy on work, permanent repetitiveness of actions and activities, setting increasingly high operational standards, compulsion to engage in work and inability to cease the relevant activities.

Obviously, one could quote at this point many authors describing diverse symptoms that are key and that accompany workaholism. The core symptom of workaholic behaviour, however, which nobody challenges, is the compulsion to work. The fundamental compulsion to work based on fear accompanies the pleasure derived from the completion of the goals one sets oneself (Golińska 2008). Compulsion is understood as inner pressure. External compulsion described by Wojdyło (2003) does exist, but as a result of the difference between the two, workaholism can only be described in terms of the

situational compulsion to work, unlike pathological workaholism, based on an inner compulsion to work. Compulsion, in her opinion, is the constant involvement in work or in another activity without the possibility of controlling or ceasing such activities. Workaholism, on the other hand, is diagnosed in the case of work overload consisting in the specific manner of doing work under an uncontrollable compulsion, without the possibility of ending the activity (p. 33).

### **Workaholism as the basis for occupational burnout – an outline of the problem**

Many researchers believe the compulsion to work to be the necessary, but at the same time also a sufficient condition to be met in order to diagnose workaholism (Taris, Schaufeli, Verhoeven, 2005), because it makes even low engagement in work lead to excessive strain on the organism (Wojdyto, 2010a). Research has also demonstrated the relationship between the development period and the experienced compulsion to work, correlated positively with younger subjects experiencing the compulsion more strongly (Johnstone, Johnston, 2005).

Oates (1968) describes three stages of developing an addiction to work, since workaholism is a dynamic phenomenon, extended over time. In the initial, prodromal phase, the individual starts to increase the amount of working time, focusing more strongly on work-related activities, increasing the amount of work, which most often leads to typical symptoms accompanying fatigue, to exhaustion, impaired concentration, anxiety, fear, depressed mood, and somatic pains. The second stage, referred to as the critical one, involves an intensification of the addiction symptoms and of the compulsion to work, which affects social relationships, causing interpersonal problems. The third stage may lead to extreme emaciation, or even death, and is the stage of extreme, chronic dependence. Everything in the individual's life is centred around occupational activity, while all the other areas cease to have any importance.

The compulsive mechanism of regulating emotions provides another way of describing the dynamics of workaholism. In the first stage, positive and pleasant emotions are experienced, with a reduction of aversive states. The individual starts to be permanently busy as a consequence (Mellibruda, 2003; Fassel, 1990). This association of pleasant sensations experienced during work intensifies engagement in professional activity which regulates emotional states. The second stage involves abandoning all other forms of activity in favour of a single one, namely occupational activity, and consequently social relations deteriorate. The ability to cope with stress starts to be compromised, and the only way of coping with difficulties is by devoting oneself to occupational activities. The last stage consists in alternating cycles of compulsive occupational behaviours with a total loss of control over one's behaviour; the compulsion to work develops that is typical of the actual process of developing an addiction, and the psychophysical and emotional symptoms of addiction also become more pronounced.

Exceptions include individuals with what is referred to as situational workaholism caused by external compulsion, i.e. at the initial stage, excessive engagement in work is caused by new duties, economic reasons, delegation of duties by the superior, etc. The key thing, however, is that during the subsequent stage, the individual continues such excessive activity without the external factors that motivate them to act, until the typical third stage, when they lose control over their behaviour (Kalinowski et al., 2005).

Consequently, their workaholism causes a number of negative consequences for the individual in relation to the symptoms experienced. Workaholism affects nevertheless all spheres of life: the somatic sphere (e.g. Burke, 2000; Shimazu, Schaufeli, 2009), the mental sphere (e.g. Hormowska, Paluchowski, 2007; Robinson, Flowers, Ng, 2006; Spence & Robbins, 1992), the occupational sphere (e.g. Retowski, 2003), and the social sphere (e.g. Bakker et al., 2009; Brady et al., 2008) (as cited in: Szpitalak, 2012, p. 45)

Workaholism has a destructive impact on social relations, including in particular the disruption of family life, through negligence (Robinson, 1998), and on other relations outside work, with friends and one's nearest and dearest, by abandoning the relationship altogether (Schaufeli, Taris, Van Rhenen, 2008). The feeling of alienation as a result of excessive occupational activity increases (Kalinowski et al., 2005).

Research into the negative social consequences of workaholism analysed relationships between partners (McMilan et al., 2004; Robinson, 1989, 2000; etc.),

in which the inability to solve problems was demonstrated, as well as ineffective communication in workaholic families, poorly defined social roles, and a poor degree of emotional involvement in the family (Robinson, Post, 1995).

Codependency and addiction to psychoactive substances may develop as a result of living with a workaholic partner (Kalinowski et al., 2005). The typical emotional experiences of workaholics' partners include being ignored, disregarded and underrated, the sense of being manipulated, the sense of inferiority, the feeling of guilt, and doubting one's own psychological condition. Additionally, workaholics tend to transfer behavioural patterns from work-related situations to

family situations, which leads to the development of high aspirations concerning their children, to perfectionism, and to constant controlling and criticising of their spouses (Robinson, 1998).

Workaholics' children experience many negative emotions: the sense of being left alone, of being unloved and isolated, and the experience of emotional and physical abandonment (Robinson, 1998). This may lead to psychopathological consequences consisting in feeling the inadequacy of one's achievements, self-criticism, excessive responsibility, reluctance to delegate duties, as well as other symptoms similar to those presented by alcoholics' children. Recognising this similarity, the term "Adult Children of Workaholics" is used (Golińska, 2006). Oates (1971) names four disadaptation symptoms of workaholics' relations with their children: preoccupation, haste, irritability, and depression. Parents showed impatience towards their children, they seemed to be absorbed by other, so-called "more serious" matters, and lacked a sense of humour.

The relationship was also demonstrated between the gender of the workaholic parent, the child's gender and its specific way of functioning. Sons of authoritarian workaholic fathers find it difficult to identify with the social role of men, while daughters deny their femininity in favour of traits desired by the father, related to resourcefulness. Another model, that of lenient, "eternal boy" workaholic fathers, leads to their daughters feeling lost, lacking self-confidence, and being frigid towards their partners, while sons demonstrate obsessive-compulsive disorders, depression, strong anxiety, and learned helplessness. The third workaholic father type includes those who neglect their families and isolate themselves from family life. Such fathers' children most often demonstrate rebellious behaviour, they seek to attract attention by demonstrative, self-destructive or overly ambitious behaviour to earn love and attention (Killinger, 2007).

Workaholism also leads to disrupted relations in the workplace, including in particular negative influence exerted on the employee group, by imposing haste, setting high requirements, failing to respect other people's needs, poor empathy, treating others with contempt, and failing to understand the lack of engagement in work. Characteristic traits of workaholics are rigidity in thinking, reluctance to delegate tasks to other workers, the feeling that one will complete tasks best on one's own and focusing on insignificant details, permanent dissatisfaction with the result of one's activities, the work of one's subordinates and that of the whole team, rivalry and suspicion, lack of trust in others, reluctance to collaborate, and fear of judgment (Kalinowski et al., 2005).

According to Schaufeli et al. (2006), workaholics work hard, but they do not work smartly. As a result of low self-esteem, workaholics focus on confirming their worth, and on their own aspirations which are more important than the group's success, consequently performing worse, with the focus on work being surpassed by the concern about the result (Porter, 1996).

As far as the emotional functioning of the workaholic is concerned, this is accompanied by: weakness, depressive states, anxiety disorders, overactive intellectual processes (Kalinowski et al., 2005), the inability to relax, hyperactivity, impatience, nervousness, becoming quickly bored by the task (Robinson, 2007) (as cited in: Szpitalak, 2012, p. 56)

Killinger (2007) describes the fears characteristic of a workaholic: fear of failure, fear of boredom, fear of laziness, fear of discovery, fear of self-discovery, and paranoia. There are also three emotion regulation mechanisms: denial, control (over one's own life; work provides a sense of security and control over the situation), and power. Denial consists in not confronting problems, while acquiring power entails the workaholic's striving to be the best, in terms of status and prestige within the group.

As far as the cognitive sphere is concerned, memory problems, disruption of thought processes, attention concentration difficulties, and reduction of mental activity are typical of the workaholic (Kalinowski et al., 2005). Workaholics think in binary terms, they are characterised by telescopic thinking based on overrating, pessimistic thinking, helpless perception of oneself as a victim, wishful thinking, blurring boundaries, and experiencing constant struggle (Frąszczak, 2002).

Robinson (1998) names the typical dysfunctional beliefs workaholics have: that only hard work ensures happiness, hard work is what society expects, one needs to do one's duties perfectly, because only then can one be a satisfied and fine human being, one must not be average, being the best is what counts, free time is a waste of time, one can only feel good with other people's approval. All this makes workaholics become stuck in a loop of their own beliefs, which makes it easier to gradually develop the addiction.

### **Workaholism versus occupational burnout. Qualitative research presentation**

The study was carried out using structured in-depth psychological interviews conducted in 2017 among n=72 women undergoing therapy for managers, who complained about ailments related to workaholism and occupational burnout at the

same time. 100% of the women in the sample had completed higher education, all of them lived in big cities, and all were running their own business activity in the area of service provision or trade.

The characteristic problem areas declared by the patients were divided into the twelve categories indicated below, in accordance with the literature presented in the previous section and with results of research conducted so far into workaholism and occupational burnout:

Experiencing the compulsion to work making even low work engagement lead to excessive strain on the organism.

Examples of responses obtained in the in-depth interviews: *"I am permanently tired and exhausted, even if I don't do much, I get up in the morning and I'm already knackered, is this depression or something?"; "after several minutes at work I feel as if I've been toiling away for several days"; "I can't skip work, I'm unable to detach myself, I'm tied by some ropes"; "I can't remember the last time I've rested"; "I'm so tired that I feel as if I were going to die"; "I have to keep doing it, I don't know why, but I have to, if I'm not working, I'm not there, I'm not alive"; "I don't see people, but prospective customers, I don't even know who they are, I don't remember them, they've been objects for me for some time now".*

The presence of the three stages of developing the work addiction by increasing the amount of working time, focusing on work-related activities, increasing the amount of work, the presence of typical symptoms accompanying fatigue, exhaustion, concentration disorders, anxiety, fear, depressed mood, somatic pains; intensification of addiction symptoms and of the compulsion to work, which affects social relations causing interpersonal problems; extreme emaciation, or even death, chronic dependence.

Examples of responses obtained in the in-depth interviews: *"Everything in life is centred around my occupational activity, these symptoms, the family ceases to have any importance"; "initially, there was more work, I used to work longer hours, it was even nice, a bit of fatigue and that's all... later, it was a shambles... everything hurt, even my bones, fingernails and hair... (laughter)"; "I didn't feel like doing anything, the point came when I was at work from 8 a.m. to 8 p.m."; "it would take me an hour to get to the places where I worked. I was absent from home for the whole day, I didn't see my family, I didn't see myself, I was extremely emaciated and I still am... I'm unable to rest..."; "I can't skip work, I'm addicted to that damned cake shop like a drunkard is to wine"; "I sometimes think I'm going to die... but I'm unable to put an end to it, I don't know how to change it – but I have to, do you understand... I have to...".*

The compulsive emotion regulation mechanism of workaholic dynamics, from experiencing positive emotions, through being permanently busy, to compulsive work-related behaviours with a total loss of control over one's behaviour, the compulsion to work typical of the actual process of developing an addiction, and the presence of psychophysical and emotional symptoms of dependence.

Examples of responses obtained in the in-depth interviews: *"when I wake up, I think about work"; "I'm totally unstable, when I'm not at work, I can't focus, I don't know how to replace the obsessive thinking with something else"; "I am and I have to be busy all the time"; "I'm afraid that what I've got inside is what I've got at work".*

Situational workaholism caused by external compulsion, excessive engagement in work is caused by new duties, economic reasons, and delegation of duties by the superior.

Examples of responses obtained in the in-depth interviews: *"initially, I simply had more duties, more things to do, nothing strange about that"; "I didn't see anything wrong in that – more work meant more cash"; "I liked to look busy, swag, the job, the cash, the recognition"; "I had the vision of new points of sale, new customers, a new cash injection, what's wrong with that, I thought, the kids have grown up, they are teenagers, I thought the whole fatigue thing wasn't a threat for me, everything was going well"; "I had to stay there longer, I opened another place, it was rational, how to do it, who's going to replace me in business, who's going to run my company?".*

The consequences of workaholism affect all spheres of life: the somatic, mental, occupational, and social spheres.

Examples of responses obtained in the in-depth interviews: *"I went too far... after a year I knew I wouldn't be able to go on like that – I started to have sleep problems, I was losing weight, I had the impression that my mind was ceasing to function as a result of the number of duties"; "the family... my children ceased to count for me, literally, I know it's impossible, but I would think only about work after getting up in the morning, the rest was simply unimportant for me".*

Workaholism has a destructive impact on social relations, family life is disrupted through negligence.

Examples of responses obtained in the in-depth interviews: *"no, it's not true that only some relations, in my case no relations outside work, with friends or family, existed"; "I don't have anyone, just work"; "I neglected my home, my family, my children, I have a guilty conscience, but I don't know how to change it..."; "I haven't gone on holiday for 8 years, I don't know how to do it, my husband does it..."; "I used to see the children one hour a day, sometimes only during weekends, and more precisely on Sundays, it was convenient for me that they spent the whole week with their grandparents"; "sometimes, I would prefer not to have had a daughter, I wouldn't have had pricks of conscience, and she wouldn't have suffered".*

Workaholics' children experience many negative emotions: the sense of being left alone, of being unloved and isolated, and the experience of emotional and physical abandonment.

Examples of responses obtained in the in-depth interviews: *"my son keeps telling me that he hates me, that my work ruined his life, that I'm a workaholic, that I shouldn't have had children"; "my children may bear a grudge against me, oh yes, I would have felt unloved too"; "I wasn't there with my daughter, whether mentally or physically".*

Workaholism leads to disrupted relations in the workplace, including negative influence exerted on the employee group, by imposing haste, setting high requirements, failing to respect other people's needs, poor empathy, treating others with contempt, and failing to understand the lack of engagement in work. Characteristic traits of workaholics are rigidity in thinking, reluctance to delegate tasks to other workers, the feeling that one will complete tasks best on one's own, perfectionism.

Examples of responses obtained in the in-depth interviews: *"the staff at work criticise me that I impose haste, that I require superhuman efforts from them and from myself"; "I sometimes feel sorry for all those who work with me, I don't have empathy at all, I don't tolerate lack of commitment"; "I remember when I shouted at the secretary who asked for leave before Christmas, to prepare for the holiday"; "I prefer to do things myself, but if I assign them to someone, I check performance all the time"; "oh yes, I'm totally a perfectionist".*

Workaholics work hard, but they do not work smartly. As a result of low self-esteem, workaholics focus on confirming their worth, and on their own aspirations.

Examples of responses obtained in the in-depth interviews: *"I simply need to slog away, sometimes I go to fetch the goods several times which doesn't make sense, I don't plan"; "I'm constantly dissatisfied with myself"; "my ambition is to have about a dozen outlets in town, I need to have them, it's not a goal, it's a compulsion"; "I sometimes catch myself doing the same things several times, which takes up my times and makes me stay at work even longer"; "I don't know, I sometimes think that it's all because I have to constantly prove something to myself".*

Presence of the fears characteristic of a workaholic: fear of failure, fear of boredom, fear of laziness, fear of discovery, fear of self-discovery, and paranoia, presence of mechanisms of denial, control (over one's own life, work provides a sense of security and of controlling the situation).

Examples of responses obtained in the in-depth interviews: *"denial, that's right, this is what we call the mechanism with the therapist, not confronting problems"; "striving to be the best, it's about status, prestige"; "I know it's silly, I'm paranoid"; "I'm afraid that I'll be nobody without work, I'll have nothing"; "I'm afraid I won't succeed"; "what if I'll bore myself to death?"; "I know it's stupid, but I'm afraid things will get out of hand".*

In the cognitive sphere: memory problems, disruption of thought processes, attention concentration difficulties, reduction of mental activity.

Examples of responses obtained in the in-depth interviews: *"my memory is getting worse, I thought it was old age, but to deteriorate so much in several months..."; "I have a slight problem with focusing my attention, as if I were constantly in a dream"; "there's something wrong with my mind, my thinking capacity is deteriorating, I'm exhausted, I fail to remember simple tasks".*

Work overload leading to exhaustion, one of the components of occupational burnout, emotional and psychophysical exhaustion, depersonalisation and reduced satisfaction with occupational achievements.

Examples of responses obtained in the in-depth interviews: *"there's this mix I've got... I'm extremely exhausted, my self-judgment is getting worse, everything seems to be going well, but I'm constantly dissatisfied with myself, and the customers I loved... I don't know, it's as if I... as if they weren't there, although they are, but worthless for me".*

## Conclusion

### Occupational burnout as a consequence of workaholism

The relationship between the two variables included in the title is presented in the conclusion. In fact, untreated workaholism may lead to the occupational burnout syndrome (Fassel, 1990; Mieścicka, 2002). Work overload may entail in each case exceeding adaptation capabilities, and thus lead to exhaustion, which is one of the components of occupational burnout (Bańka, 2005). Apart from emotional and psychophysical exhaustion, this syndrome also includes depersonalisation and reduced satisfaction with occupational achievements (Maslach, 1986).

Difficulties in interpersonal relations, avoiding people, lowered self-esteem, permanent stress and fatigue, and decreased work-related satisfaction may be experienced (Sęk, 2000; Retowski, 2003).

The essential difference between workaholics and individuals suffering from occupational burnout consists in the case of the latter, their jobs involve contact with other people and helping, while workaholics' jobs do not involve such activities. The most important difference, however, consists in the reduced activity in the case of experiencing psychophysical exhaustion by the individual suffering from occupational burnout, and in the increased activity in the case of the workaholic, whose engagement in occupational activities intensifies (Schultz, Schultz, 2002).

At this point, another aspect should also be recalled, namely the Type A behaviour pattern, diagnosed when one strives to achieve and keep control over the external environment (Glass, 1977, Wrześniewski, 1993). A significant stressful situation occurs whenever the individual is unable to gain such control; in the initial phase, is it characterised by increased vigilance and excitability, and in the subsequent stage by more intense aggression, followed by a sense of helplessness.

Another approach assumes that this disorder is related to three erroneous beliefs the individual has: that they need to prove themselves constantly to confirm their social position; that no moral principle exists within which punishment and reward are received by the people who deserve them; and that in order to achieve self-fulfilment, one must strive to achieve ambitious goals. This is the achievement-oriented workaholic model (Price, 1982). Despite the numerous similarities, the etiology of the two disorders differs: the Type A behaviour pattern is to a certain extent genetically determined or results from environmental impacts, while addiction is a consequence of educational methods and socialisation (Robinson, 1996); additionally, the obsessive-compulsive nature of the symptoms makes addicts differ from individuals with the Type A behaviour pattern (Wojdyło, 2003).

As far as workaholism goes, in terms of habit and impulse control disorders, according to the DSM-IV-TR classification, it can be classified as an "impulse-control disorder not otherwise classified" (code 312.30), while in the ICD-10 classification, it falls in the category of "habit and impulse disorders". This category makes it possible to diagnose persistently repeated maladaptive behaviours that are not secondary to a recognised psychiatric syndrome, and ones in which the patient may cease the behaviour, with a prodromal period of tension and a feeling of release at the time of the act (Szpitalak, 2012, p. 29).

Workaholism and one of its potential consequences, i.e. occupational burnout, are work-related problems faced by individuals on contemporary labour markets which set tasks before workers that exceed their capacities, often causing them to make superhuman efforts, promoting excessive occupational activity, requiring perfect task performance, and leading to exhaustion, or even loss of health.

## Genocide Denial: A Form of Evil or a Type of Epistemic Injustice?

Imge Oranli

Ph.D. Koc University, Philosophy Department

### Abstract

In this paper, I bring together the philosophical scholarship on evil and the literature on “epistemic injustice” in order to assess effective vocabulary to understand the phenomenon of genocide denial. I use the term “denial” to denote the discursive political tactic that makes the evil of genocide invisible. Adi Ophir’s discussion of “two orders of evil” allows us to consider genocide denial as a form of evil. For what Ophir identifies as a second-order evil, another stream of scholarship suggests the term “epistemic injustice.” This latter literature can also be deployed effectively in treating the question of genocide denial, insofar as it provides an interdisciplinary approach rather than a strictly philosophical one. Epistemic injustice scholars focus on different types of unfair treatment in the realm of knowledge-production, and they agree that exclusion, silencing, invisibility and distorted representation are major forms of epistemic injustice. I argue that both scholarships are crucial to draw out conceptual frameworks for understanding the specific case of genocide denial. Furthermore, I think that interdisciplinary approaches informed by the social sciences are essential to map out the real life implications of the injustices that are implemented through denial.

**Keywords:** Denial, Genocide Denial, Form of Evil, Theory of Evil, Epistemic Injustice.

### Introduction

From a psychoanalytic perspective, denial is “a defense that originates in the child’s efforts to rid himself or herself of unpleasant perceptions of the outside world.” (Moses, 1989, p. 288). In the case of genocide denial, the perpetrator group and its ideological supporters wish to eliminate the culpability of the genocidal act. Although, the psychoanalytical definition underscores an important aspect of the phenomenon of genocide denial, namely, the desire to eliminate responsibility, another kind of vocabulary is needed to capture the systematic and political nature of genocide denial. To highlight this systematic and institutional aspect of denial and to distinguish it from the psychoanalytic employment of the term, I consider genocide denial as an *ideologically supported political lie* (as distinguished from pragmatic and occasional political lies). Such an attempt views genocide denial as a discursive political tactic (or strategy) with a goal to make invisible a massive scale wrongdoing (i.e., the atrocities that constitute the genocide) through the implementation of systematic lies.<sup>1</sup>

This paper is interested in understanding the phenomenon of genocide denial through different scholarly approaches that bring forth the ethical implications of this systematically produced political act. It is my contention that the philosophical scholarship on evil and the interdisciplinary literature on epistemic injustice provide effective vocabulary for understanding this phenomenon. The paper discusses why these two areas of scholarship are resourceful and how they can contribute to the conceptual framework in understanding this phenomenon. First, I clarify what genocide denial is and how it is produced and distributed by focusing on a current example: The Turkish denial of the Armenian Genocide. Secondly, I briefly consider two philosophical approaches, Adi Ophir’s and Claudia Card’s, which are useful for situating genocide denial as a form of evil. These treatments discuss the question of evil as a social phenomenon and not as a problem of the individual—which has been the common tendency in the Western philosophical tradition. This is why, I find their theories accommodating for addressing this peculiar form of social evil. And finally, I examine the literature on epistemic injustice. Epistemic injustice scholars focus on different types of injustices in the realm of knowledge-production. They claim that exclusion, silencing,

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<sup>1</sup> This definition suggests that we are not within the psychoanalytical domain but in the political domain where denial is understood through its political function as used by the perpetrator group. There are also cases in which the survivor group engages in collective denial. See “Some Observations on denial and Avoidance in Jewish Holocaust and Post-Holocaust Experience” (Klein and Kogan, 1989). Correlations drawn between the everyday psychic denial of the neurotic person and the denial of Holocaust survivors have shown that in both cases denial can be considered as a defense mechanism; therefore, it has a positive function for survival. For a further discussion of the relation between psychic and social denial, see *The Politics of Denial* (Milburn and Conrad, 1996).

invisibility and distorted representation are major forms of epistemic injustice. I argue that actively implanted collective ignorance is a type of epistemic injustice that is suitable for understanding the phenomenon of genocide denial. In discussing how the collective denial of genocide can be viewed as an actively implanted ignorance, I use Linda Martin Alcoff's essay "Epistemologies of Ignorance" (Alcoff, 2007) together with Gaile Pohlhaus' taxonomy of three types of epistemic injustice (Pohlhaus, 2017). According to my view, genocide denial can be considered as a form of epistemic injustice because the existence of collective denial requires a social and political environment where systematic distribution of ignorance takes place.

## I. What is Genocide Denial?

The concept of denial suggests that there are at least two different ways to understand what has happened: we can either accept the ethical implications of the event in question or we can cast a doubt to the existence of the event, and thereby, attempt to silence its ethical implications. Michael A. Milburn and Sheree D. Conrad suggest that, "understanding the history and process of denial as a psychological mechanism is essential to a comprehensive understanding of current public opinion, political leaders, and events" (Milburn and Conrad, 1996, p. 13). From their perspective, denial should be viewed as a psychic phenomenon that has political implications. Although I am in agreement with their approach, in this essay, I examine denial as a political phenomenon because of its particular political and ideological goal: rejecting the existence of a willfully administered atrocity.

In the case of genocide denial, denial operates on the assumption that we may not know the whole truth about a past historical event. Production, distribution and circulation of conflicting narratives is one of the most favored techniques of genocide denial. Therefore, casting doubt about how the event has occurred is one of the most effective ways to implement genocide denial. Genocide denial is different from other forms of denial (e.g. in interpersonal relations), because, here, denial is not merely a negation of a fact, but also a discursive act that continues to systematically harm the survivors. Systematically silencing the existence of an intended wrongful act is the continuation of the genocidal act because it aggravates the harm. Denial not only refers to the act of replacing "truth," but also the will to create another regime of truth. To focus on this point, Hannah Arendt's essay "Lying in Politics" is useful; here she considers lying not as a defect in politics but as a way to begin something new. She states that lying is a political act in and of itself. She writes,

[...] let us remember that the lie did not creep into politics by some accident of human sinfulness. Moral outrage, for this reason alone, is not likely to make it disappear. The deliberate falsehood deals with *contingent* facts; that is, with matters that carry no inherent truth within themselves [...]. Facts need testimony to be remembered and trustworthy witnesses to be established [...]. From this, it follows that no factual statement can ever be beyond doubt [...]. It is this fragility that makes deception so easy *up to a point*, and so tempting." (Arendt, 1972, p. 6)

According to Arendt's above assessment, what makes political lie such a powerful political tool is the fragility of historical facts. These facts are open to interpretation, because they carry no truth within themselves. Following from this, a certain atrocious historical event or series of events can be categorized as genocide only on the condition that it meets international consensus. It is often this lack of international consensus that helps governments in their attempts to distort the meaning of historical events.

## II. Recent examples: Various tactics of Genocide Denial

One of the long-standing, if not the longest, example of genocide denial is the Turkish denial of the Armenian Genocide. It is still being officially denied by the Turkish government, and many journalists and other public and political figures in Turkey have long been facing criminal charges for speaking about the Armenian Genocide. Most recently, in 2007, the Armenian journalist Hrant Dink was assassinated due to openly and publicly speaking about the Armenian Genocide.<sup>1</sup> Although his assassination backlashed and increased knowledge and awareness within the Turkish public, there is still a large population which continues to deny the existence of an intended and systematic atrocity against the Ottoman Armenians.<sup>2</sup> The common opinion in Turkey is that during the WWI, Armenians were forcefully deported from the Ottoman land, because they were considered a security threat. This narrative does not uphold any government official to be responsible for the

<sup>1</sup> For a further discussion, see "Coming to terms with a difficult past: the trauma of the assassination of Hrant Dink and its repercussions on Turkish national identity" (Türkmen-Derivoğlu, 2013).

<sup>2</sup> On that day, two hundred fifty Armenian men, including intellectuals, community leaders and members of the parliament were arrested in Constantinople (Istanbul) by the ruling Ottoman government, composed of members of the Committee of Union and Progress. Many of those who were arrested were killed. In the following months of 1915, the leading members of the Committee of Union and Progress issued an order regarding the deportations of Armenians living in West and East Anatolia to Der Zor, a deserted area in Syria.

atrocities committed during the time of deportations. Nor does it recognize the massive number of Armenian deaths, abduction of women and children, and confiscation of Armenian property. In some versions of this false narrative, even the legislation for deportation is denied, and the story is inverted by claiming that it was the Armenians who killed the Turks.

Since the foundation of the Turkish Republic in 1923, many different versions of these false narratives have been distributed by the Turkish state to account for the events of 1915. According to Raymond Kévorkian's detailed analysis, which depicts the situation of Armenians in the Eastern provinces of Ottoman Turkey during 1915, the fabrication of false narratives was the number one strategy to mobilize the Muslim population against the Armenians (Kévorkian, 2011). These narratives mobilized locals, who destroyed Armenian property, abducted women and children, and massacred men (Kévorkian, 2011, p. 239). Kévorkian's study suggests that the implementation of political lies was already taking place before and during the genocidal act and were not only put into effect after the event.

For the newly born Turkish Republic denial had created a world founded upon a political lie. This point brings us back to the question of the function of political lies, as stressed by Arendt. Cathy Caruth (2010) agrees with Arendt in the productive function of lying. She writes, "the lie does not appear in the political realm only as the denial of the historical acts of the past [...]" through the very act of denial a new beginning is assumed (Caruth, 2010, p. 82). In the case of the Turkish Republic, the official narrative depicting the events of 1915 presents an extreme and unique example of lying. According to Roger W. Smith, "in no other instance has a government gone to such extreme lengths to deny that a massive genocide took place" (Smith, 2006, p. i). As a result, the Armenian Genocide became the 'forgotten genocide' according to Hovanissian (Hovanissian, 1994). To make this possible, there have been various attempts and maneuvers by the Turkish government. In what follows, I briefly provide a few examples.

Marc Mamigonian draws attention to the most powerful tactic of denial used by the American tobacco industry during the 1950's, which was also used in Turkey's denialist campaign, namely, manufacturing doubt about scientific evidence (Mamigonian, 2013). When the tobacco industry was faced with the scientific evidence that smoking was a number one cause of lung cancer, it established the Council for Tobacco Research that was designed with the specific intent of manufacturing doubt. Mamigonian underscores that it was the same Hill & Knowlton PR Company that worked for Turkey in its denial campaign. Hill & Knowlton devised a new method for denying the genocide: manufacturing doubt about historical evidence. Mamigonian writes that, "a key element of Turkey's long-range plan was to expand upon the small group of American scholars [...], to cultivate academics who could produce [...] genocide-denying scholarship" (Mamigonian 2013). To this end, in 1983 Turkey established the Institute of Turkish Studies in Washington D.C. with a grant of three million dollars from the Turkish state. Another example is provided by Ronald Grigor Suny and Fatma Müge Göçek (2011), who stress that "[i]n the fall of 2000, when the U.S. House of International Relations Committee voted on a resolution recognizing mass killing of Armenians in the Ottoman Empire as genocide, Turkish money financed lobbyists in Washington to work against [it]" (p. 4). They also note that the Turkish state intensified "its campaign of denial of the genocide" when a series of workshops were organized between Armenian and Turkish scholars on the question of the Armenian Genocide.

Most interesting example, however, can be read through the article drafted by scholars, Roger W. Smith, Eric Markusen and Robert Jay Lifton. This article entitled, "Professional Ethics and the Denial of Armenian Genocide," portrays an awkward case of genocide denial. The article opens with the following lines:

[...] suppose that one receives a letter from the Turkish ambassador to the United States rebuking one's scholarship because one has written about what the ambassador refers to as "the so-called Armenian genocide, allegedly perpetrated by the Ottoman Turks during the First World War." Suppose that, inadvertently, the envelope also contains an internal memorandum written by the executive director of what claims to be a non-political, scholarly institute and that memorandum reveals much about the mentality of those who engage in denial of the Armenian Genocide. What then? (Smith et al., 1999, p.271)

The above remarks belong to Smith, Markusen and Lifton, each of whom received (in different occasions) a letter from the Turkish Ambassador questioning their academic credibility, because they have written about the Armenian Genocide. The above-quoted article was published in Spring 1995 in the *Holocaust and Genocide Studies* journal by these three scholars after Lifton received a letter from the Turkish Ambassador.

In his 1986 book, *The Nazi Doctors*, Lifton had discussed the important role played by the Turkish doctors in the Armenian Genocide. According to Lifton, Dr. Mehmed Reshid, Dr. Bahaeddin Shakir and Dr. Nazim, were active participants and influential members of the Committee of the Union and Progress—the organization responsible for the Armenian Genocide. One of the doctors had described Armenians as "a cancer, a malignance which looks like a small pimple from the outside, which, if not removed by a skillful surgeon's scalpel, will kill the patient" (Lifton, 1986, p. 489). After the book was published

in 1986, four years later, in 1990, Lifton received a letter from the Turkish Ambassador in Washington, Nuzhet Kandemir. In the letter, the Turkish Ambassador had claimed that the events of 1915 do not constitute genocide and that Lifton's scholarly references are weak and cannot support his claim (Smith et al., 1999). Hence, the Turkish Ambassador was questioning the academic credibility of Lifton's claims about the Armenian Genocide by stressing that the subject matter in question is open to interpretation. The most interesting thing about this letter, we are informed, is that it was accompanied by a memorandum, drafted by the Ottoman Historian Dr. Heath Lowry, who was at the time the director of the Turkish Studies in Washington D.C. (Smith et al., 1999). As Mamigonian's above-mentioned article stated, one of the most powerful tactics of denial, implemented by the Turkish government, was to cast doubt through "scholarly" work. The Turkish Ambassador's letter addressing Lifton was drafted by an academic (Dr. Lowry), whose job was to produce scholarly doubt regarding the existence of the Armenian genocide.

This particular letter suggests that the evilness of an event (e.g., the Armenian Genocide) has to be persistently claimed against future denialist attempts. Such cases show us that ontology of evil is precarious in the face of denialist efforts. Hence, the phenomenon of genocide denial reveals an important aspect of the ontology of evil, because it suggests a gap between evil's existence and its public appearance as evil. In other words, the possibility of denying the existence of an evil event testifies to the fact that *not all evils that exist appear as evil to the public eye*. Arendt's above-mentioned claim, namely, "facts need testimony to be remembered and trustworthy witnesses to be established" (Arendt, 1972, p. 6), warns us against this possibility (of not appearing as evil). As in the case of the Turkish denial of the Armenian genocide, a dominant political group can claim that the event in question does not match the international criteria for what constitutes a genocide.<sup>1</sup> Through such a denialist discourse, the evil that took place is eradicated from public and cultural memory. Hence, genocide denial is a discursive political tool making possible the political and social disappearance of an evil event. As genocide scholar Roger W. Smith indicates, "denial, unchecked, turns politically-imposed death into a 'non-event': in place of words of recognition, indignation, and compassion, there is, with time, only silence" (Smith, 2006, p. ii.).

If we consider the phenomenon of genocide and its denial as different forms of evil, as I am suggesting here, we would be assuming a moral framework. There are various moral conceptualizations that can be considered in assessing the evilness of genocide denial, hence it is important to discriminate vocabularies and frameworks that are most effective when one is dealing with the phenomenon of genocide denial. In what follows, I focus on two key scholarships that speak to this concern.

### III. Why is Genocide Denial a Form of Evil?

I already suggested that genocides need continuous remembrance and claim for recognition. It is my view that two prominent scholarly fields are relevant for understanding the ethical implications of genocide denial. In this section, I focus on one of these fields: philosophical studies on evil.

As one of the prominent scholars of philosophical studies on evil, Adi Ophir suggests that social evils have been understood as a disease in modernity, which can be cured through certain corrective and educational institutions (2005, p. 335-6). According to this Enlightenment view, the common belief maintains that evil is the result of ignorance. The problem with this type of account, according to Ophir, is that those who diagnose these evils do not recognize their own participation in the system of production of evils. Hence, the society at large is assumed to be exempt from participation in systematic

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<sup>1</sup> The criteria laid out by the Convention on the Prevention and Punishment of the Crime of Genocide are as follows: 1) Killing members of the group 2) Causing serious bodily or mental harm to members of the group; 3) Deliberately inflicting on the group conditions of life calculated to bring about its physical destruction in whole or in part; 4) Imposing measures intended to prevent births within group; 5) Forcibly transferring children of the group to another group. See "United Nations Office on Genocide Prevention and the Responsibility to Protect." *United Nations*, [www.un.org/en/genocideprevention/genocide.html](http://www.un.org/en/genocideprevention/genocide.html).

wrongdoing. Rather, certain groups and individuals are criminalized and marginalized as the sources of evils within the society. This type of marginalization often targets groups that are minorities (whether sexual, racial, ethnic, religious etc.). The consequence of this kind of approach for understanding social evils is that the source of evil is always misrepresented. To avoid such a misplacement of the origin of social evils, Ophir's account offers two conceptual directions.

First, he coins the term "superfluous evil" in order to establish a domain of wrongdoing that cannot be justified as a means to a further end. He writes, "to justify is to turn evil into something useful for someone, something that takes place in order to achieve or avoid something" (Ophir, 2005 p. 340). The term "superfluous evil" is helpful for understanding the evil of genocide, since genocide, by definition, cannot be considered as a means to an end, as it directly targets the livelihood of a racial or ethnic group. Furthermore, Ophir defines two orders of evil. He writes that, "a first-order evil" is "one that did not find expression," and "a second-order evil" is "one tied to the prevention of expression" (Ophir, 2005, p. 341). Although Ophir himself does not examine genocide denial as a second-order evil, according to his taxonomy, genocide denial can be viewed as a second-order evil, since it is a form of evil that is the result of "prevention of expression." It is important to notice that these two orders of evil depend on and enable each other. The second order evil aims to perpetuate the first order evil by making sure that the harm of genocide continues to find no expression.

Another philosopher of evil, Claudia Card (2005), points out one of the key questions that scholars face: "What can make evils difficult to recognize?" (p. 3) As I have suggested above, the political tactic of denial is one of the ways through which an evil event loses recognition. According to Card's theory, one of the reasons promoting the act of denial is that "perpetrators commonly do not understand their deeds as atrocities" (Card, 2005, p. 9). In reference to a psychological experiment conducted by Roy F. Baumeister, Card states that perpetrators often distort the results to make it seem not as bad as it actually is. This situation is referred to as the "magnitude gap," where the victims' perception of the suffering is always greater than the perpetrators'. She concludes that this results in a distorted understanding of the suffering that is experienced by the victims because many evils do not appear as atrocious to the public (Card, 2005, p.10). Card's response to this paradox (i.e., magnitude gap) is to suggest that we begin our inquiry from the perspective of the suffering group or individual. If we apply this suggestion to the Turkish-Armenian case, we can infer that sharing the narratives of the survivors and listening to the stories of their descendants can be a productive way to make the Turkish public recognize the suffering that was endured by the victims (at least up to a point). The problem with this suggestion however is that when a national culture is steeped in collective denial, the narratives of the survivors will appear as lies, which is unfortunately the dominant opinion in Turkey today.

#### **IV. Epistemic Injustice and Genocide Denial**

Another theoretical approach that I find useful for addressing the question of genocide denial is the new emerging scholarship on epistemic injustice. *Routledge Handbook of Epistemic Injustice* defines epistemic injustice by referring "to those forms of unfair treatment that relate to issues of knowledge, understanding, and participation in communicative practices" (Kidd et al., 2017, p. 1). This scholarship brings together a variety of disciplines within and outside of philosophy in connection with major social and intellectual movements. This is a fairly new literature, which emerged out of the scholarship known as "epistemologies of ignorance." The goal of this latter is to examine how ignorance is actively produced in the service of oppression and discrimination. Although "ignorance is often thought as a gap in knowledge," this scholarship directs us to the ways in which ignorance becomes a means for oppression (Sullivan & Tuana, 2007, p. 1). If the goal of genocide denial is to create a social environment in which the perpetrators and their ideological followers do not become culpable, we can conclude that genocide denial can be considered as a form of actively distributed ignorance with a specific political agenda of making invisible the harm that was done. In light of this, we know that educational curricula that silence or distort historical evidence as well as criminalization of public opinions that recognize the genocide become the most frequently used political tools. To consider genocide denial as a form of epistemic justice (and/or as portraying an epistemology of ignorance) let us review the following question: How does genocide denial figure within the vocabulary of epistemic injustice? What is epistemologically unjust about genocide denial?

According to Linda M. Alcoff (2007) there are different ways to understand how ignorance operates. One view is that ignorance "should be understood as contextual" (Alcoff, 2007, p. 43). The claim is that ignorance should always be understood in terms of the individual's relation with the topic in question. For example, I may be very knowledgeable about other topics in Ottoman history, but I could still deny the existence of the Armenian genocide due to my lack of expertise with regard to that specific issue. According to this view, ignorance is not about the total lack of information but rather is contextual. The ignorance about specific topics result from the context in which the individual belongs. And since contexts are politically and socially formed, we can understand collective ignorance (as in the case of Armenian genocide) not necessarily as a fault of the individual but rather as a systematically and actively invested false-knowledge. Collective

ignorance about the Armenian genocide is a form of epistemic injustice because it creates a social environment where the relationship between past violence and current violence cannot be understood. In other words, collective ignorance and denial prevents us from the ability to understand current state of affairs. We can address this issue further through Gaile Pohlhaus' study. Pohlhaus differentiates three types of epistemic injustice: 1) discrediting knowers and silencing a particular kind of knowledge; 2) distortion of understanding a phenomenon; and 3) using epistemic practices and institutions to produce the first two forms of injustice. (Pohlhaus, 2017, p.13). According to this taxonomy, the case of genocide denial applies to all three types of injustice. First of all, genocide deniers claim that survivors and their kin do not speak the truth; hence, they discredit the testimonies of the victims of genocide and accuse them of lying about the event. In some cases (as in the case of the Armenian Genocide), this silencing and prevention of public acknowledgement of the genocide extends to the failure of accountability, where perpetrators remain unknown and therefore not culpable. In these situations, if the survivors continue to reside in the country of origin where the genocide took place, they may face further violence and be victims of racist slurs and physical violence. The prevention of knowledge about a historical event such as a genocide, which shapes the racial and religious outlook of a country, has major ethical and political consequences, one of which is not being able to understand the suffering of one's fellow citizens. This corresponds to the second type of epistemic injustice that Pohlhaus detects. Furthermore, by using educational institutions and school curricula to spread false information about historical events, governments attempt to secure the inaccessibility of truth, and hence, enable a social environment where emotions of hatred towards the survivor group become widespread. Although effects of denial immediately and most specifically concern the targeted group, they also have a large impact on other minority communities and citizens.

## V. Conclusion

Is genocide denial a form of evil or a type of epistemic injustice? In this paper, I demonstrated that two distinct scholarly attempts provide effective vocabulary for understanding the phenomenon of genocide denial. Perpetrators are often indifferent to the magnitude of the injury that they have caused. Hence following Card's theory of evil, I suggested that we must focus on the suffering of the victims because of the "magnitude gap" in the perception of the harm that was done. Furthermore, I concluded along with Ophir that genocides should be considered as "superfluous evils." That is to say, deniers' attempts to justify genocidal acts by resorting to the language of "national security threat" should be guarded against. In connection, I have also addressed the literature on epistemic injustice, which, I argued, can provide an effective lens through which we can assess the phenomenon of genocide denial. This literature provides various frameworks to assess the effects of genocide denial as forms of injustices that take place at the everyday level.

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## People Exchange: a British Council's Post-Colonial Distinguished Cultural Investment

Pr. Dr. Malika SAHEL

The High College for Teachers (E.N.S.B) /Algiers-Algeria

Department of English

### Abstract

Since the beginning of the post-colonial era, preserving already acquired links and pioneered cultural ties cultivated during the colonial era with overseas people, has remained a priority for the British Council. The latter did not mince efforts to protect British interests, particularly when strong competition from more powerful countries could threaten British position on the international scene. Thus, the Council's People Exchange activity was considered as one of the most important cultural investment on which the British Council could rely to back Britain in times of turbulences.

**Keywords :** Post-Colonial, British Council, Cultural Investment, People Exchange

### Introduction

The work of the British Council during the post-colonial era has become diverse and multifaceted. The Council ran libraries and information centres which were used by thousands of people in different countries in the world. It also managed development and aid projects and was the most active technical assistance agency in Europe.<sup>(1)</sup> It organised cultural events such as music tours and visual art exhibitions overseas, showing to the world British talents in an influential way. At the centre of its main activities, the teaching of English remained the most important and requested service. This task was partly done through a network of language centres, mainly operating, in countries where people could afford to pay their tuition and partly by training teachers of English in foreign countries by signing contracts with their governments. This educational enterprise allowed the British Council to expand other crucial activities like education and training, libraries and books, arts work and people exchange. The latter has remained one of its post-colonial priorities, particularly during the 1980s when Britain had to face turbulences both at the domestic and foreign levels.

The present paper attempts to consider the Council's important devotion to make of this cultural activity, namely "People Exchange", a fruitful investment to maintain influence, preserve and further British interests in different parts of the world. To what extent could the British Council make of the development of this cultural activity, namely People Exchange, its most lucrative operation?

### I- The Cultural Dimension of People Exchange

The fact of focusing among other things on 'people exchange' in particular is practiced by cultural agencies world-wide. This activity is considered as the most fruitful in the field of cultural relations since it brings together – in one way or another – people from different cultures into contact. Therefore, the British Council, like other international cultural agencies, spent a significant portion of its budget on teachers, lecturers, experts and advisers who were sent overseas to offer their expertise in more than eighty countries, and on bringing foreign people to Britain for professional visits, training and studies. The Council pointed out: "We invest two thirds of our budgets in [the movement of people between Britain and other countries]". For instance," during 1985/1986, the British Council brought 24,000 overseas people to Britain and sent 5,000 British people abroad".<sup>(2)</sup>

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<sup>(1)</sup> L. Martin and J. Garnett, *British Foreign Policy, Challenges and Choices for the 21st century*, Great Britain, The Royal Institute of International Affairs, 1997, p. 48.

<sup>(2)</sup> The British Council, "The British Council Annual Report 1985/86", London, the British Council, 1986, p. 24.

(The Overseas people were brought to Britain for professional and educational reasons, The British people were sent on a teaching consultancy basis).

The importance given to such an activity by the British Council resulted from a conviction about the long-term gains this operation would provide Britain with as Sir David Orr McLLD, the 1988/1989 British Council Chairman, revealed in his Introduction to the British Council Annual Report :

*The flow of these [overseas] young people to Britain is of considerable long-term importance to us. From them will come new leaders, driving the administration, the policies, and the economy, the creative and academic life of their countries.<sup>(3)</sup>*

## II- The British Council and People Exchange: A Source of Political and Economic Advantages

The British Council devoted remarkable energy to the promotion of British education in general, university and higher education in particular. It concentrated more on 'people exchange', even more importantly on overseas students because the latter could rise to positions of power and influence within their own countries, a fact that would benefit Britain in the long-term. In fact, the British Council wished to secure for Britain the contribution of a maximum number of overseas young talented people who might otherwise go elsewhere – in order to ensure and reinforce British influence in world affairs. This approach, during the 1980s, was linked with the considerable change which affected Britain then. The latter's relationship within and beyond Europe changed as old barriers started disappearing; normal Anglo-Chinese diplomatic relations knew perplexing development; political ramifications in South Africa slowly began to resolve. Indeed, it was in such a situation, i.e ; one of turbulences, that the significant dynamism of the British Council invested in the cultivation of long-standing human links could be seen to strengthen Britain's influence in world affairs on the international scene. The pattern of people exchange during the 1979-1989 decade – British specialists sent on advisory visits abroad and foreigners brought to Britain, both with Council help, was as follows :

Year	People in Britain	People Overseas
1979-80	32,000	19,000
1980-81	28,700	15,700
1981-82	30,900	17,500
1982-83	28,200	15,200
1983-84	22,200	4,300
1984-85	23,391	4,952
1985-86	24,000	5,000
1986-87	26,310	5,000
1987-88	28,050	3,127
1988-89	35,000	3,500

**Table One<sup>(4)</sup>**

Thanks to long-term awards schemes such as the Technical Co-operation Training Programme (TCTP) – funded by ODA, which stood as the Council's biggest programme,<sup>(5)</sup> overseas students were attracted to Britain. During the 1980s, thousands of people were increasingly brought to Britain under this Scheme as the table below illustrates :

<sup>(3)</sup> The British Council, "The British Council Annual Report and Accounts 1988/89", London, the British Council, 1989, p. 3.

<sup>(4)</sup> Compiled from the British Council Annual Reports : 1979/1980, 1980/1981, 1981/1982, 1982/1983, 1983/1984, 1984/1985, 1985/1986,

1986/1987, 1987/1988, 1988/1989 Data.

<sup>(5)</sup> In its annual report for 1985/86, the British Council pointed out : "The Council manages several different schemes under which people

come to Britain. The two biggest are both funded by the ODA : the Technical Co-operation Training (TCT) Programme costing £54

million, and the Commonwealth Scholars and Fellows Programme costing £9 million". The British Council, 1986, p. 28.

<sup>(6)</sup> Compiled from the British Council Annual Reports : 1981/1982, 1982/1983, 1983/1984, 1984/1985, 1985/1986, 1986/1987, 1987/1988,

1988/1989 Data.

Year	Number of people in Britain under TCTP
1981-82	7,968
1982-83	8,356
1983-84	8,869
1984-85	9,773
1985-86	9,965
1986-87	10,605
1987-88	11,465
1988-89	12,500

**Table Two**<sup>(6)</sup>

In fact, the British Council was like other cultural agencies, aware of the benefits such work could provide. Once in Britain, overseas people were acquainted with new facts and distance themselves from familiar experiences. They rather found themselves faced with systems, machines about which they ignored all the new technology or of which they had merely heard. So, when they returned to their countries and were in influential positions, wanting to serve their home economies, most of them looked to Britain for supplies, and therefore indirectly benefited British economy. For instance,

*Some years ago, Indian mining engineers studied British mining technology at Bates and Wearmouth Collieries in the North East. This [had] been followed by the introduction of Long Wall mining equipment into India, a training package for up to 46 trainees and contracts worth about £100 million for further equipment.*<sup>(7)</sup>

Indeed, as the British Council Board stated in an article about the importance of Higher Education in British Foreign Policy: "Every overseas student studying in Britain represents an investment [political, economic and cultural] – whether sent by the student's family, an overseas government or a British government programme. The Council works to secure this investment..."<sup>(8)</sup> The importance given to the bringing of overseas people to Britain was primarily motivated by economic consideration, as a leading objective behind British Foreign Cultural Policy was to increase sales.

Thus, the increase in the number of overseas people brought to Britain by the British Council through – for instance Technical Co-operation Training Programme (see Table Two) indicates the Council's considerable contribution to Britain's effort to attract overseas students who constitute a bridge between Britain and foreign countries and whom the British Council wants to protect from competing international influences that might not coincide with British interests. From Malaysia, for example, a plantation executive pointed out :

*The enormous good will which the U.K enjoys (in Malaysia) derives from the fact that the great majority of the ruling class has received some form of education in the U.K or in local schools run on U.K lines.*<sup>(9)</sup>

Such a positive attitude developed towards Britain becomes beneficial once the former overseas student becomes directly involved in the economic life of his country as, for instance, a businessman or as a decision-maker in government, because these two particular types of trainees play an essential role in the shaping of their nation's way of thinking. For example, even though the Chinese and the Muslim cultures are still very important in Malaysia, the British culture still holds. In the same context, the head of an industrial company with wide interests in the Far East stated :

*Many of my acquaintances at the highest level of Government and business told me that they [...] want British-educated people to maintain the old links, to maintain the British attitude to work and play and not something else. Many of the Malaysian hierarchy and Senior*

<sup>(7)</sup> J. Mitchell, *International Cultural Relations*, London, Allen & Unwin, 1986, p. 20.

<sup>(8)</sup> The British Council, op. cit, p. 25.

<sup>(9)</sup> P. Williams, *The Overseas Student Question*, London, Heinemann, 1981, p. 100.

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*businessmen are U.K educated: they send their children to the U.K and arrange for private tutoring in the East on a U.K syllabus.<sup>(10)</sup>*

By wanting to preserve old links, these highly – ranked overseas people (who were educated in Britain) are likely to maintain British political and economic advantages; and by wanting to keep the British attitude to work and play, they are preserving British culture and providing the cultural ties with overseas ruling-classes on which Britain could base its foreign policy.

### **III- The British Council and Britain Shaken Educational Prestige**

For British political, economic, and cultural reasons, it was essential that more overseas students should come to the U.K for studies.<sup>(11)</sup> However, a decrease in the number of foreign students in Britain was noticed during the 1980s as a consequence of the “full-cost fees” policy introduced by the conservative government at the end of the 1970s. For instance, the number dropped from nearly 87,000 to 56,000 in 1987.<sup>(12)</sup> In 1989, the number of overseas students Britain received was only half that of ten years earlier.<sup>(13)</sup> Thus, Britain prestige in education and training was strongly shaken. In such a situation, the British Council was expected to come forward so as to help Britain face these turbulences. Indeed, the Council was given the opportunity to show its efficiency in backing the current British interests. As stated by its Board during the 1980s :

*For political, financial and cultural reasons it is important for Britain that more overseas students should study in Britain. In the face of strong Western and Eastern competition and the increased costs of British higher education, an intensive marketing operation is essential. The British Council is pioneering this....<sup>(14)</sup>*

Being, indeed, aware and concerned with the political, financial and cultural interests Britain could draw from having overseas people studying in British universities or polytechnics, the British Council – whose work as a cultural body was expected to be restricted to the cultural field as its organisational structure suggested – started marketing British education. Indeed, it dispatched services which advertised and marketed British education abroad.<sup>(15)</sup> Moreover, to attract bright overseas scholars, the Council administrated several schemes such as the Technical Co-operation and Training Programme, The Foreign and Commonwealth Office Scholarships and Awards Scheme, Commonwealth Scholarship and Fellowship Plan, British Council Fellowships Programmes, and Country/ Territory Support Schemes.<sup>(16)</sup> These schemes balanced out the negative effects of fee increase. Yet, as regards countries which were not politically and economically as important as Commonwealth and Western European countries, for example, they were no longer taken in charge by Britain. In fact, what the British Council did was to help Britain overcome the difficulty and to support and allow Thatcher’s policy of economic recession to flourish at the international as well as at the domestic level.

In addition, the Council multiplied its efforts and improved its services abroad – by introducing computers and additional audio and video materials in its centres – and promoted British books in order to cultivate a lasting contact between Britain and those who studied there in general, those from Commonwealth countries in particular. This contact which the British Council tried to establish positively remained of significant political, economic and cultural benefits for Britain. British awareness of this fact was neatly expressed by Sir Patrick Wright, KCMG, and Permanent under Secretary of State, in 1986 :

*We are very conscious of the importance of cultivating the future leaders of other countries. That is only part of the promotion and protection of British interests in the longer term. This is why the Foreign and Commonwealth Office and Heads of mission overseas*

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<sup>(10)</sup> Ibid, p. 101.

<sup>(11)</sup> The British Council, op. cit, 1986, p. 11.

<sup>(12)</sup> House of Commons Foreign Affairs Committee, Fourth Report, Cultural Diplomacy, London, HMSO, 1987, p. 73.

<sup>(13)</sup> The British Council, op. cit, 1989, p.23.

<sup>(14)</sup> The British Council, op. cit, 1986, p. 11.

<sup>(15)</sup> The British Council, “The British Council Annual Report 1984/85”, London, The British Council, 1985. p. 55.

<sup>(16)</sup> House of Commons, Foreign Affairs Committee, op. cit, 1987, pp. 151-152.

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*take a particularly strong interest in Government awards for overseas students.<sup>(17)</sup>*

It is therefore obvious that the British Council was not alone on the British cultural scene to promote and protect British interests abroad, political bodies were also involved as suggested here.

Indeed, if Britain succeeded in imposing her educational programme – and perhaps to some extent her ideology – during the colonial and early post-colonial period on overseas countries, during the 1980s, she lost this advantage. First, because of the “Full-cost fees”. Second, because the programmes she applied during the colonial and early post-colonial period could no longer meet the requirements of the 1980’s new generation. The latter could have political, economic and cultural relations with other more developed powerful or “generous” countries than Britain; a fact which led overseas governments and individuals to consider Britain like any other developed country providing education and training against payment. Thus, guided by perceptions of value for money, they were attracted by countries whose fees policy was more generous than the British one.

France and Federal Germany, for example, had to face more expenses than Britain from the dramatic rise the world had known in the number of overseas people studying abroad during the 1980’s. For example, in 1985, the total number of overseas students in Higher or Further education, in Germany was 125,000<sup>(18)</sup>; France received 128,000<sup>(19)</sup>; comparable figures for Britain, in 1985-86, were 56,120<sup>(20)</sup> and 15,780.<sup>(21)</sup> As far as Germany is concerned, 48,000<sup>(22)</sup> students had obtained an indirect financial assistance from German public funds even though no tuition fees were charged in that country. Moreover, during the same year, 1985, Federal Länder funds provided direct financial assistance for 27,000 foreign students and trainees.<sup>(23)</sup> The most important difference in Europe as regards overseas student’s policy is that between France and Britain. The French government indirectly assisted 106,000 students in 1985.<sup>(24)</sup> The latter mainly benefited from the subsidized level of academic fees – the “bourses indirectes” of the French Ministry of National Education, whereas Britain limited this kind of subsidy to students from the European Community. Indeed, while £293 million was the sum the French government in 1985/86 allocated to the support of overseas students, Britain spent only £96 million.<sup>(25)</sup> The British figures raised by £2.5 million in 1987 as a result of new agreements for undergraduates from European Community countries.<sup>(26)</sup>

## Conclusion

In fact, Britain has been aware that knowing about the cultural and social life of a foreign country is a very helpful matter if one wants to undertake consciously and successfully different affairs – political or commercial and other – with foreign countries. In this, the British Council has always been present where Britain has to do business and activated where British political and commercial interests were to flourish, for where cultural links are developed, political and other strategic relations could follow. Thus, much of the Council’s work during the 1980s was concerned with bringing people to Britain to study and learn, and sending British people overseas to advise and teach. Some of this exchange of people was designed to stimulate an appreciation of Britain among future generations of leaders and decision makers. A large proportion of British Council activities arose out of Britain’s bilateral and multilateral aid programmes, to which the Overseas Development Administration (ODA) contributed Britain’s share, and was directly intended to create trained manpower requisite to national progress and economic development in the Third World. Such technical cooperation was supported by the development of local teaching and by the British Council’s programmes for the cultivation of ties between British universities, polytechnics and technical Colleges, and those in overseas countries.

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<sup>(17)</sup> Ibid, p. 62 : “Although the FCO’s own scholarships and award scheme represent only a small proportion of the total Government efforts

in this context, FCO ministers and officials take a close interest in all matters affecting policy on overseas students”.

<sup>(18)</sup> Ibid, p. 12.

<sup>(19)</sup> Idem.

<sup>(20)</sup> Idem.

<sup>(21)</sup> Idem.

<sup>(22)</sup> Idem.

<sup>(23)</sup> Idem.

<sup>(24)</sup> Ibid, p. 10.

<sup>(25)</sup> Idem.

<sup>(26)</sup> Idem.

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## Evidence-Based Social Sciences: A New Emerging Field

**Nazila Zarghi**

PhD Candidate in Medical Education, School of Medicine, Tehran University of Medical Sciences, Tehran, Iran.

Faculty member of Mashhad University of Medical Sciences

**Soheil Dastmalchian Khorasani**

BSc Student of sociology, Department of sociology, Bicocca, University of Milan, Italy

### Abstract

Evidence based social sciences, is one of the state-of- the-art area in this field. It is making decisions on the basis of conscientious, explicit and judicious use of the best available evidence from multiple sources. It also could be conducive to evidence based social work, i.e a kind of evidence based practice in some extent. In this new emerging field, the research findings help social workers in different levels of social sciences such as policy making, management, academic area, education, and social settings, etc. When using research in real setting, it is necessary to do critical appraisal, not only for trusting on internal validity or rigor methodology of the paper, but also for knowing in what extent research findings could be applied in real setting. Undoubtedly, the latter it is a kind of subjective judgment. As social sciences findings are highly context bound, it is necessary to pay more attention to this area. The present paper tries to introduce firstly evidence based social sciences and its importance and then propose criteria for critical appraisal of research findings for application in society.

**Keywords:** Social Sciences, evidence, field

### Introduction

Undoubtedly, it is necessary to move from opinion-based to evidence-based sciences. Evidence based sciences is a process of evidence application in which individuals working in different level of policy making, education and social working, etc. implement the available evidence in their real practice. They should involve their professional judgment through which they could find way for evidence application or research finding in real practice named "evidence-based practice" (1).

"Evidence-based practice is about making decisions through the conscientious, explicit and judicious use of the best available evidence from multiple sources by:

1. Asking: translating a practical issue or problem into an answerable question
2. Acquiring: systematically searching for and retrieving the evidence
3. Appraising: critically judging the trustworthiness and relevance of the evidence
4. Aggregating: weighing and pulling together the evidence
5. Applying: incorporating the evidence in the decision-making process
6. Assessing: evaluating the outcome of the decision taken

to increase the likelihood of a favorable outcome"(2).

As other professionals, the evidence-based practice movement and evidence application in real setting could be challenging in different areas (3). Campbell collaboration has highlighted the need for evidence-based social sciences. In order to launch this new emerging field, it is necessary to clarify this field and then learn how the evidence-based social sciences could be implemented. (4). Therefore, this study aimed to introduce Evidence-based social sciences, and propose criteria which could be taken into account by involved people in process of applying evidence in real practice.

## **What is Evidence-based social Sciences?**

Evidence-based practice in social sciences is a new paradigm that promotes more effective social interventions by encouraging the conscientious, judicious, and explicit use of the best available scientific evidence in professional decision making. Social work practice literature has also increasingly grown in recent years. On the other hand, the widespread availability of scientific resources, as well as increased acceptance of systematic reviews and evidence-based practice guidelines, have made research findings more accessible for involved people in this field. (5)

Like other fields of evidence based sciences, Evidence-based social sciences, also has been considered as the conscientious, explicit and judicious use of the most up-to-date and best available evidence to help make decisions on the fields in which the individual expertise have been integrated with the best available external evidence. It needs systematic retrieving of the most current literature; the best decision has been made based on these evidence in order to answer the questions rooted deeply in the real setting. (6)

The next step is to find the best evidence or studies with which we could answer the questions. Studies has been classified based on the applied methodologies in various levels. The higher level of evidence are considered more reliable. In recent decades, systematic reviews, meta analyses, synopses and meta syntheses studies have modified the pyramid of evidence. Obviously, they are more efficient than single studies. Moreover, systematic review followed by meta-analysis, has higher quality of evidence. The last step is integrating and applying the appraised evidence to individual's expertise. The appraisal process includes answering questions in order to assess the quality of the published papers and determine if its findings can be applied to actual practice. These questions assess the applied methodologies and related issues such as sampling method, analysis process, and so on. Although there are many standard appraisal tools and reporting guidelines, they are not only too complicated to apply in real settings, but also they are too objective. On the other hand, they appraise studies in detail and could not cover the evidence based elements and the feasible indexes for real practice that are necessary for everyday situations. (7)

### **Need for introducing new criteria for Evidence-based social sciences:**

It is crystal clear that applying the findings of research in social sciences moves on a highly polarized spectrum, with the choice presented as 'evidence based' or 'opinion-based'. Certainly a significant body of evidence is available, in some topics, however, in other areas, the evidence is less. In evidence-based social sciences, firstly individuals are encouraged to question their own practice, in order to look for the available evidence, then make a relation between the evidence and their own situation and finally apply their professional judgments for this process. (8)

A number of publications in the social work field reported problematic preoccupation with evidence-based practice due to either restricted or inappropriate understanding of the fundamentals of research in the social sciences. As a result, social works are at risk of knowledge deficiency to inform practice. It is occurred frequently not only for quantitative but also for qualitative research in social sciences fields (9).

Although researchers have begun to define and build frameworks for the process of evidence-based social work (EBSW), few practitioners appear to employ evidence-based approaches and relatively little is known about how to facilitate this form of knowledge transfer. (10)

On the other side, there is a growing body of evidence illustrating effective and efficient interventions, but no significant body of work has been conducted for using research findings in the field. Some scholars have focused on the process further than individual, they introduce some criteria and approaches and proposed more developed frameworks in order to delivery of research evidence into practice. Although a number of emerging social work implementation strategies has been emerged, no single best method has been identified yet. (11)

The suggested criteria in this paper has concentrated on this fact that implementation of evidence based social sciences does not necessitate the involved people to be a researcher, but they should be able to do critical appraisal and made their decision based on their judgments. Indeed it is an attitude creating a culture or ethos to think critically about what they are doing, look at the available evidence and on make decisions about their practice based on their professional judgment. On the other hand, the proposed criteria have emphasized on the context dependent nature of social sciences (12), because the evaluation of an approach in a particular context is highly dependent on the people experience of that context. The EFEPAC criteria highlight a number of dimensions regarding evidence in social sciences: quality vs. relevance; quality vs. validity; and utility vs. the setting or context (8). The different dimensions could reflect the nature of research and innovation

in social sciences fields. It can highly motivate people to construct a culture or attitude in which decision making takes place in related context.

### What is EFEPAC?

As to the literature the majority of current practice is highly based upon either personal experience, or experience of others who have faced to the same problem as well as people anecdotes instead of the systematic appraisal of the evidence. It seems this process requires a rethinking and revision. There is an urgent need for mechanisms that review available information and make recommendations to practitioners. (13)

Thus far no comprehensive endeavor has been made to formulate a systematic implementation framework for evidence-based practice in social work where social and cultural, the professional and practice-based, and the educational and training contexts have been underlined. (14)

We try to suggest a format or framework for providing a context bound appraisal for better practice and decision making in this field. It offers a model which helps people to make decisions about practice in different fields of social sciences, taking into account a relevant factors of their own context for practice. The approach described also has provides them with a powerful tool to move forward the evidence based social sciences agenda. The EFEPAC criteria is an acronym of Evidence grading, the Feasibility and need for related modifications, the Extent of evidence, the Power of evidence, the Aim of study and its measurement (Validity) and the Context or participants characteristics.

### EFEPAC criteria:

The available evidence can be graded on each of the six dimensions of EFEPAC. In the ideal situation the evidence could be high on all, but in reality this rarely occurs. The evidence may be good in some of them, but poor in others. People has to balance the different dimensions and come to a decision on a course of action based on his or her professional judgment. The overall result determine whether it is good, moderate or poor for the context where the evidence must be applied.

Criteria/ Grade	Good	Moderate	Poor
E			
F			
E			
P			
A			
C			
RESULT			

Each dimension of EFEPAC criteria has been clarified and explained as follows:

#### The Evidence Grading (8)

##### No evidence

- 1 Evidence-based on professional judgement
- 2 Evidence based on educational and social principles
- 3 Evidence based on experience and case studies
- 4 Evidence based on consensus views built on experience
- 5 Evidence based on studies in a comparable but not identical area
- 6 Evidence based on well-designed non-experimental studies
- 7 Evidence based on well-designed quasi-experimental studies
- 8 Evidence based on well-designed controlled studies

##### The Feasibility and need for related modifications

##### The Extent of evidence

Primary research (single studies of non-experimental, experimental designs)

Secondary research (different designs of reviews, meta analyses and meta syntheses)

Tertiary research ( review on reviews and review on meta analyses)

##### The Power of evidence

Statistical (statistical significance)

Social (significance of applied social method or technique)

Impact (social impact)

The Aim of study and its measurement (Validity or methodology rigor)

The Context of participants characteristics (relevancy between evidence and our own context)

#### Conclusion:

Evidence-based social sciences rooted in evidence based sciences in which the research findings help people involved in their professional practice to make more clear-cut decisions. These decisions not only fortify the systems but also help to generate a scientific culture in practice and provide a tool for tracking and finding the errors and flaws. On the other hand, it helps people to fill knowledge gaps and answer the questions for bridge the gap using evidence. In order to switch evidence-based social sciences, not only objective appraisal by reporting guidelines and appraisal tools are necessary, but also professional judgement is crucial. Due to the context bound nature of social sciences integration of objective and subjective appraisal is necessary. The recommended criteria of EFEPAC helps to implement evidence in real practice, social work more efficiently. It could be applied for social workers in different fields of social sciences.

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## Investigating the Impact of Organizational Policy Towards Quality of Work Life on Employee Engagement in Manufacturing Company Nigeria

Kingsley Chiedu Chiemeké

Hapriza BT Ashari

Syaharizatul Noorizwan BT Muktar

Faculty of Management / Social Sciences, University Teknologi Malaysia, Skudai  
Johor Bahru, Malaysia

### Abstract

This paper is devoted to study of organizational policy towards the impact of quality of work life on employee engagement. It is important to investigate the factors of organizational policy that have impart to influence quality of work life on employee engagement antecedent variables directly and indirect through organizational policy role. The practice in the past by organizations was for the management level staff to formulate policy for the smooth running of the organizations. While this approach is working in its own way, it is equally important to consider a novel idea of involving all employee staff in policy formulation or in the reviewing of the existing policy. Against this backdrop, this study presents findings of the three variables: organizational policy, quality of work life and employee engagement This study tends to investigate how organizational policy (OP) can have influence on employee Quality Work Life (QWL) on Employee Engagement (EE). Linkage between these three factors will be established and various levels of each of the factors will also be identified. In the paper, four major stages of organizational policy are identified namely: the policy formulation, adoption, implementation and evaluation. Policy formulation is normally embedded in the minds of individuals and it is difficult to capture or communicate to others. On the other hand, adoption, implementation and evaluation policy is formal, typically documented and easily communicated and shared with others. The study assume that the focus of organizational policy and quality of work life should be placed on the employee engagement, thus the importance of organizational policy and employee quality of work life on employee engagement should be given greater attention

**Keywords:** Organizational policy, Quality of work life, Employee engagement, Management level, Literature review, Conceptual framework

### Introduction

organization is considered as a system having integrated parts that must be coordinated for efficiency and effectiveness when developing policy. The integrated parts of organizational policy control the ways policy are formulating, implementing, adopting and evaluating, however, it is important for management to involve the employee contribution when formulating this integrated parts of the organization policy to avoid conflicts that may arise between management and employee. However, employee want to be effectively involved and committed to the organization when they are considered when making or reviewing existing Organizational policy. However, researchers have overviewed that employee participation improve their attitudes towards work function. Consequently, attitudes have been identifying as a systems or norms embeds into employee that direct employee on how to function. Employee contributes more to organization when their attitudes is right with Organizational policy impact into their quality of work life. Employee display their performance base on the reservoir of the articulate attitude they have, practically, employee attitudes contribute more than prior traditional factors such as land and capital. However, conflicts or resistance of organizational policy spring up in organizational when the management assume employee understand and cleared about the organization policy and norms. Furthermore, proper orientation of Organizational policy norms such as: Role Clarity, Organizational Culture, Organizational Learning, and Organizational Support. However, several researchers have postulated that organization that have their employee engage are most likely to gain substantial competitive advantage than those with less engage. However, when employee enjoys

participation in organization this will improve their quality of work life, in fact it is plausible to assume that the more employee enjoys organizational participation improve their quality of work life the more employee engagement to the organization.

This paper presents the findings of review on how organizational policy will have impact to quality of work life on employee engagement.

One of the ways to heighten employee engagement is through effective quality of work life, researchers Gillet, Fouquereau, Bonnaud-Antignac, Mokoukolo, and Colombat (2013) have earlier claimed that quality of work life positively related to their work engagement. However, researcher like Celik and Oz (2011); (Chiedu, Long, & Ashar, 2017a) agree that quality of work life perceptions affected turnover intentions and absenteeism directly. Furthermore, employee attitude is a perception embedded waiting for the day of explosion, with positive impacts of organizational policy to employee quality of work life on employee engagement, employees are expected to show high commitment and positive attitudes to organizational policy. Thus, every employee needs a policy program that will postulate their employee quality of work life. Teryima, Faajir, and John (2016) suggested that Quality of work life (QWL) can be equated with a set of objectives, organizational conditions, practices and also with employees' perceptions that they are safe. Organizational policy that considered employee participation will satisfy and able to grow and develop as human capital. Policy that accept employee participation will give employee the opportunity to grow and enjoys their wellbeing, improve employee will have derived quality work life and their engagement to work. Dickson, Howe, Deal, and McCarthy (2012) the studied advocate the need to include some aspects of their employee beliefs and culture into policy interventions. Furthermore, Dickson et al. (2012) stress that management need to be aware of employee concern about the organizational policy process that may involve a strong relationship with certain problems or conditions that has effect to employee work condition. Fapohunda (2013) suggested that for Nigeria manufacturing company to gain competitive advantage, organizations must be concerned about the policy that encourage employee quality of work life which is the most important assets that take consistent and steadfast measures use to improve employ high-quality of work-life experiences. It has become pertinent to organizational to acknowledge the important of employee contribution to organizational policy because it has been proved to straighten relationship between management and organization, positively effect on employee quality of work life and achieve employee engagement. Chib (2012) stated that QWL is a wide term covering an immense variety of programmes, techniques, theories and management styles through which organizations and jobs are designed to grant employees more autonomy, responsibility and authority than is usually done.

However, with the perpetual changes in global economy where by inflation rises, organization need employee participation to reviewed the existing policy in other to address such financial problem and to streamline their potential solutions. S. Ahmad (2015) suggested that To implement any corporate environmental program several units of an organization HR, Marketing, IT, Finance, and so on, work together to put forward a positive joint effort and among them. No doubt, the corporate world is a major stakeholder in the discussion about employee team effort, joint goal setting and problem solving technics through direct participation, performance based reward, transparency in communication, prompt grievance redress. Lasrado, Arif, Rizvi, and Urdzik (2016) suggested that The knowledge possessed by individual employees can only lead to a firm, competitive advantage if employees have the motivation and opportunity to share and utilize their individual knowledge in ways that benefit the organization. In this day's Organizational policy has been overviewed and tag to personalities differences, this is more challenging in practical aspects concerning QWL and EE, to think of these measures for industrial peace, progress and prosperity. Follow the theory of (Diamond, 1992) advocated that expectations of which policies will succeed are dependent on understanding people's motivations, or the positive and negative as determined by their values psychological forces that affect their behavior relative to those policies. Similarly, management's expectations of which organizational policies will succeed is likely to be dependent on understanding the positive and negative psychological forces acting on employee QWL on EE with regard to those policies. Lasrado et al. (2016) advocated that the human characteristics such as personality, attitude, perceptions, credibility and intrinsic motivation are mainly cited as necessary individual attributes that foster success.

The central thrust of every organizational is to make profit, however, it is equally important for organization to allow employee to participate in suggesting their remuneration, such as: their adequate and fair compensation, safe and healthy working condition, immediate opportunity to develops and opportunity for continued growth and security. This will massively enhance organizational development plan which will transform the organizational into employee engagement and high-income organizational. Thompson, Lemmon, and Walter (2015) advocate that higher levels of employee engagement lead employees to perform work of higher quality. No doubt, for quality of work life to occur, something more than the generation of a creative ideas or insights is essential. However, it is imperative for management to understand the value of employee contribution to organizational policy because it help management and employee to agree on common goal towards achieving organizational vision, Consequently, the creative ideal of employee is required to champion organizational

performance. S. Ahmad (2013) suggested that a better understanding of the interrelationship of various aspects of quality of work life (QWL) provides an opportunity for improved analysis of cause and effect in the workplace. (S. Ahmad, 2013) stated that employees believe that they have a high QWL when there is a clear sense of openness and trust between management and employees and no fear of being short-changed or misguided in task performance in discharging their action. Tella, Ayeni, and Popoola (2007) stated that One way managers can stimulate motivation is to give relevant information on the consequences of their actions on others. In today's competitive, complex and global environment, employee participation towards organization policy will play a key role in all phases of new policy creation towards their work environment, a conducive work environment will postulate employee commitment, Yousef (2017) stated that Organizational commitment, on the other hand, has impacts on job satisfaction. However, affective commitment refers to identification with, involvement in, and emotional attachment to the environment. However, for employee to be competent and engage to contribute towards sustaining the sustainability and attracting global attention towards desire to build an organization performance employee need equitable and caring organization that have cognizant of the need for work environment for all conciseness about employee quality of work life which increase employee engagements.

### Research methodology

The researcher used a university library, with access to 10,000 journals, to search for relevant material. As the library had subscriptions to main databases such as SCIENCE DIRECT, EMERALD, Google Scholar and European Journal of Multidisciplinary Studies a search was performed on these databases using the key terms. Based on the highlighted issues, it would not be wrong to logically deduce that policies are not just contained in laws and regulations is people that formulate policy and implement policy therefore who put policies into effect make decisions about who will benefit from policies and who will shoulder burdens Birkland (2015). Therefore, this is why this paper need to consider a novel idea of involving all member's staffs in making policy or in the reviewing of the existing policy for the betterment of the organization and to solve employee grievances and to postulate employee quality work life on employee engagement.

A number of previous studies investigating organizational policy Foote, Seipel, Johnson, and Duffy (2005) stated that the purpose is to propose new construct-policy to examine the attribute of policy and their norms such as: employee attitude, role clarity, and role conflict and policy commitment. In this regard, the reason for organizational to appraise organizational policy is to know the behavior of employee towards a design policy. However, knowing this will determining if the organizational is democratically functioning or not Diamond (1992) advocated that expectations of which policies will succeed are dependent on understanding people's motivations because employee do the work. However, organization policy need to formulate a strategy policy which aim is to contribute towards quality of work life on employee engagement. The motive is to allow workforce to be participative in contributing their ideal to build the capability and capacity in order for the organization policy to have affect in employee quality of work life on employee engagement. Birkland (2015) and Fapohunda (2013) their studied suggested that employees who have positive perceptions and experiences in their workplaces will increased desire, willingness and ability to go the extra mile, will speak more positively of the organization and encourages quality of work life, promote employee engagement in the organization.

### Measurement of Items of this paper

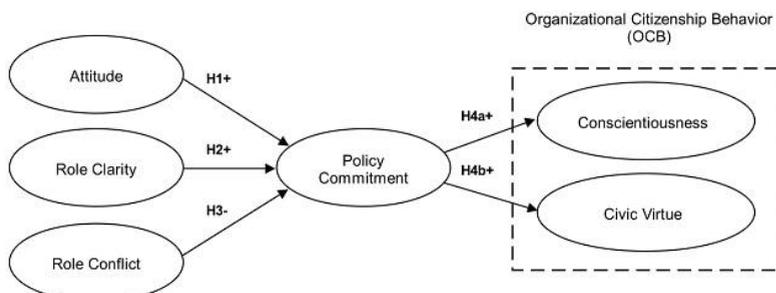
VARIABLES	DIMENSIONS	RESULTS
ORGANIZATIONAL POLICY	ROLE CLARITY	MY DUTY AND RESPONSIBILITY IS CLEAR EMPLOYEE ARE AWARE OF COMPANY CULTURE AND HUMAN CAPITAL
	ORGANIZATIONAL CULTURE	WORK LEARNING/ DIRECTION IS CLEAR AND MAKE SENSE
	ORGANIZATIONAL LEARNING	ORGANIZATIONAL POLICY SUPPORT EMPLOYEE SUGGESTION FOR AMENDMENT
	ORGANIZATIONAL SUPPORT	
EMPLOYEE QUALITY OF WORK LIFE	ADEQUATE AND FAIR COMPENSATION	I feel I am being paid a fair amount for the work I do.
	SAFE AND HEALTHY WORKING	Considering to my skills and level of education, I am satisfied with policy pay and benefit structure I am satisfied with my immediate work environment

	<i>IMMEDIATE OPPORTUNITY TO DEVELOPS</i>	I am satisfied with policy chances for development
	<i>OPPORTUNITY FOR CONTINUED GROWTH AND SECURITY</i>	Organizational policy is fair for me to grow
<i>EMPLOYEE ENGAGEMENT</i>	<i>PARTICIPATION</i>	I feel a strong sense of belonging by my participation to organizational matters in this organization.

Consequently, to propel this measurement the new economic model need to be drawn as well as the organizational policy which outlined several policies such as role clarity Foote et al. (2005) suggested that Role clarity refers to the extent to which employees possess a precise understanding of their fit and function within a given context. Organizational policy that is made up by employee and management should be cleared enough to accept employee contribution towards their quality of work life. Fapohunda (2013) suggested that Quality of Work Life is now an important issue in the management of employee engagement in an organization, arising from the force of technological advancement and working conditions, definitely, work cultures are changing to human capital where employee decide or determines what needs to be applied. Yousef (2017) stated that organizational change is defined as an attempt or series of attempts to modify an organization's structure, goals, technology, or work task. Furthermore, this implies that the old systems where management make all decision concern organizational policy must be reviewed for organization policy to have impact towards quality of work life which require learning process. Curado (2006) suggested that researchers consider that organizational learning is the product of organizational members' involvement in the interaction and sharing of experiences and knowledge. Kanten and Sadullah (2012) suggested that when employee are engage with their work there is congruence between the employees priorities and the organizational goal. Kanten and Sadullah (2012) stated that engagement has many positive consequences, such as dedication to an organization better work task performance, initiative and innovative behavior. (Teryima et al., 2016) concurred that quality of work life encompasses working conditions, working time, mode of wages payment, health hazards, adequate fair compensation, opportunity to grow, employee development, in a nutshell financial and non-financial benefits and management behavior towards workers.

Organizational policy is a vital tool for the sustainability competitiveness of both nations and organizations alike Kiran (2017). Importantly, quality of work life should not be perceived as a complex venture that stems the inventions and technological advancement, because it is emerges from day-to-day activities in the workplace channeled towards organization's survival and prosperity S. Ahmad (2013). Therefore, the chief concern for many organizations is their policy how to organize and stimulate it to balance employee and organizational demands. Quality of work life improve employee engagement potential that has a pool of embodied in actualizing organizational vision. Foote et al. (2005) stated that production processes, product designs, and organizational function achieve workplace performance with high returns on investments depends on organizational commitment that encompass openness, role clarity, attitude and consciences. Drawing from Foote et al. (2005) conceptual model

The research model.



**Figure 1: Organizational Attribute to Employee Foote et al. (2005)**

To illustrate the key terms. Organizational policy plays important role by postulating Attitude, Role Clarity and Role Conflict management applied to employee quality of work life while employee relies heavily on organizational commitment, the effectiveness of organizational commitments depends on organizational policy which accept employee contribution towards their quality of work life and employee engagement. Organization policy need to maintain a central focus on employee contribution as a channel to build their attitudes as the key engine of organizational commitment. Yousef (2017) stated that employees with strong continuance commitment remain with the organization because they have to do so, either because

of low perceived alternatives or because of high personal sacrifice associated with leaving the organization. Kanten and Sadullah (2012) suggested that when organization offers quality of work life to their employees, it is a good indicator to boosts its image in attracting and retaining employees. There are several reasons that influence organizational policy to support employee quality of work life, the depicted illustration used policy commitment as a point to analyze the synonyms resulted in the identification of employee strings, such as employee conscientiousness and idea management policy. Conscientiousness is the results of employee contribution to policy, furthermore, Employee civic virtue has to led the development of employee quality of work life on employee engagement. The statement highlights the importance and influence of organizational policy on employee contribution and reaction. Moreover, organization policy should provide a support system on how employee will fully contribute to organizational policy towards their employee quality of work life, this will help employee to do their work with easy which postulate employee engagement. Calantone, Cavusgil, and Zhao (2002) suggested that contemporary organizations require a strong learning orientations to gain competitive advantage. With organizational policy support systems employee would be able to learn new idea in order to attain competitive advantage. However, new ideal is closely related to organizational learning, this implies that for organizational policy supporting new ideal will improve employee quality of work life. Calantone et al. (2002) suggested that learning orientation is conceived as composed of four factors: commitment to learning, shared vision, open-mindedness, and intra organizational knowledge sharing, therefore organizational policy that postulate this characteristics to their employee will positively employee contribution and impact towards employee quality of work life because learning cannot occur unless an organization has an effective and efficient system moderate by organizational policy, which allows a reexamination of past decision strategies and implementation activities.

This paper draw the theory of Lewin (1951) field theory, in which the proximity and salience of environmental elements play a substantial role in determining individuals' reactions to their policy. Field theory has found applications in such diverse disciplines as physics, psychology, and business Douglas and Nekrasov (2001); Riordan and Riordan (1993). In sociology field theory is described environment as a conceptual frame work within which the psychological forces that impact social actors at any point in time can be better understood. However, organizational policy that allow employee to contribute towards environment will improve employee quality of work life. furthermore, researchers have identified great important of environment how it determines employee quality of work life towards the organization. Razak, Ma'amor, and Hassan (2016) suggested that healthy and harmony work environment is important to retain and develop high quality work and life of employees. Lewin (1951) theory suggested that individual's values environment determine which forces have a positive or negative utility, and the combination of positive and negative forces impacting on employee quality of work life yields a net utility for any prospective behavior. Moreover, employee quality of work life is affected only by those forces that are present and active for individuals at any given moment. Diamond (1992) notes that expectations of which policies will succeed are dependent on understanding people's motivations, or the positive and negative as determined by their values psychological forces that affect their behavior relative to those policies. Similarly, management's expectations of which organizational policies will succeed is likely to be dependent on employee contribution because the positive and negative psychological forces acting on employees QWL with regard to those policies affecting their EE.

This paper suggested that we are in the era of organizational policy determinants, because employee quality of work life and how employee engage to their work is control by the organizational policy. This implies that for organizations to achieve a high level of organizational productivity as well as to attain and sustain competitive advantage in the global marketplace, organization need to reexamining their existing policy that comprises thier traditional belief and culture that only the management formulate and implement policy for employee to work. Horst, Broday, Bondarick, and Filippe (2014) suggested that substantial loss of productivity was related with lack of employee presentisms and several work-problem, consequently lack of employee quality of work life decreasing the health and welfare of employee's. In order to achieve this mission successfully organization need to pay close attention to employee contribution which improve their quality of work life nearly every organization relies on their employees. It is the workforce that champions the ideas that can be utilized to manage organizational performance processes, services, methods and operations.

Some studies Chib (2012); Valizadeh and Ghahremani (2012); Van der Berg and Martins (2013) have emphasized the link between organizational policy, culture, and citizenship behavior impact to quality of work life. However, Edwards Jr (2017) expressed a concerned about the link of organizational policy. Chib (2012) suggested that QWL has gained deserved prominence in the organizational behaviour as an indicator of the overall of human experience in the work place. Edwards Jr (2017) suggested that the application of the multiple perspectives framework to explain the process of policy formation first requires a clear understanding of the events and sub-processes that transpired. This implies that organizational policy literature has not extensively attempted to bridge the gap between important of employee contribution towards employee quality of work life. Quality of work life is an important factor that affects job satisfaction at work. Chib (2012) advocated

that many factors contribute to QWL which includes adequate and fair remuneration, safe and healthy working conditions and social integration in the work organization that enables an individual to develop and use all his or her capacities. Therefore, Chib (2012) holds the notion that people are the most important resource in the organization as they are trustworthy, responsible and capable of making valuable contribution and they should be treated with dignity and respect. However, organizational policy must attempt to shape the context constraining policy more generally. Consequently, organizations policy may try to jumpstart the policy formation process through the believe and contribution of employee. Edwards Jr (2017) suggested that one can expect organizations to drag their feet and hamper through familiar courses of action the construction of a new policy. Argument put forward by Hagerty et al. (2001) indexed suggested that from both organizational policy perspectives and employee quality of work life, there is a lack of theoretical and empirical support on how organizational policy can impacts employee quality of work life. however, none of the indexes distinguish among the concepts of *input*, *throughput*, and *output* that are used to actualize organizational objective and vision which this paper has done

In the context of linking quality of work life on employee engagement, it is important to emphasize that there are many extant researchers that examined the relationship between quality of work life and employee engagement Kanten and Sadullah (2012); Saks (2006) researches examined the relationship between quality of work life and employee engagement while Razak et al. (2016); R. E. Walton (1973) studies linking quality of work life and employee engagement, highlighting the support and the importance of quality of work life on employee engagement. These existing paper have maintained a positive relationship between organizational policy, quality of work life and employee engagement. For instance, Birdi (2005) postulation that new things that accelerates creative solutions depend greatly on the accumulation of new employee engagement systems in an organization is in agreement with the commentary of others scholars N. E. A. Ahmad (2017); Baird and Wang (2010); Kaliannan and Adjovu (2015). Quality of work life is the most essential component in employee engagement. This paper also suggested the need to maintain that operational transfer of quality of work life between groups and individuals is required to solve complex problems and crucial in developing employee engagement ideas for new products and services.

Therefore, this paper incorporates the impact of organizational policy, quality of work life on employee engagement. This is to help management and employee to work as a team and to avoid employee resisting against organizational policy not to function effectively Burnes (2015) suggested that resistance does not arise from the individual, but from the context in which the change takes place, furthermore, this paper maintained that employees are the prime source of such resistance to change. The necessity of incorporating these variables is based on the argument of past practice were management level staff formulate policy for the smooth running of the organizations without the novel ideal of considering employee contribution.

### Literature review

When Organizational policy which is designed with usability of employee contribution this will improve employee quality of work life. This is important to management because through democratic policy organizational can improve their productivity by maximizing employee competency to achieve organizational vision. Maxwell (2005) suggested that policy which bring employee and managers apparently play a pivotal role in translating work life balance policies into practice and in ensuring there are appropriate checks and balances in the management of such practices. The more comfortable employees are with the organizational policy design, the more good suggestions organization will received and the more money will be saved base on employee commitment Koc and Ceylan (2007). As far as the goal of organizational is to make profits. policy should foster the factors that promote employee contribution to the existing policy and to make policy in other to motivate employee quality of work life this will encourage employee to be engage and follow the implemented policy. However, management that setting up organizational policy programs might take advantages of every support system that encourage employee contribution which transformed employee impact to quality of work life. Schalock, Verdugo, and van Loon (2018) suggested that Organizations receptive to transformation typically view themselves as a social enterprise that combines the effectiveness and efficiency of a business mind-set. Employee engagement are essential in organization transformation since they form the basis of mental models that are the deeply ingrained assumptions, generalizations, and images organization personnel have for understanding and action. Mental models form the vision and culture of an organization, including the belief that organizations can evaluate themselves and change their culture to achieve different result. Policy programs must be expertly administered and the ideas gathered must be promptly and rapidly processed to balance employee and management role clarity, ambiguity and openness (Arrey, 2014; Foote et al., 2005); Maxwell (2005).

Moreover, the use of a management/catalyst from the same line function, and with sufficient skills is a vital ingredient for organization to achieve employee quality of work life on employee engagement, however, good ideas can come from anyone, at any level, anyplace and anytime. In the meantime organization that allow every employee to participate in policy

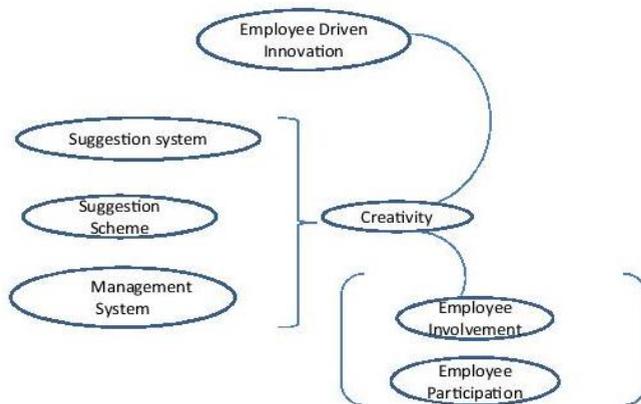
contribution achieve positive different result that balance work life (Maxwell, 2005) (Arif, Aburas, AlKuwaiti, & Kulonda, 2010); McConville (1990). Organizational policy should guide employees in give a definite structure or shape to their suggestions, such will help and encourage employee's quality of work life and improve employee engagement and forward their ideas and reduce grievances'. Therefore, it is equally important for management to streamline organizational policy information from the first stage of formulation through check and balance to avoid ambiguity of policy and information (Maxwell, 2005).

### Quality of work life

Quality of work life influence employee to be supportive to their jobs, there is need for strong and effective support at various levels of employee depends on their quality of work life (Beauregard & Henry, 2009) Managerial support and the work-life climate of an organization moderate the link between work-life balance practice provision and both employee use of practices and perceptions of organizational support. (Beauregard & Henry, 2009) If management is unsupportive of employees' efforts to balance work and personal responsibilities, organizations may find that perceptions of organizational support are not enhanced and outcomes such as behaviour and organizational performance are thus unrealized. Fear of harming their career prospects may discourage employees from using the work-life practices offer by organizational policy, which in turn may nullify some of the intended beneficial effects of employee quality of work life.

### Organizational Policy

The success of organizational policy lies not only in accepting employee contribution but also re-examine the contribution for implementation. Therefore, main important is to encourage employee commitment Danaeifar, Gharaei, Hasani, Mirzaei, and Abangah (2016). Organizational policy support and committed resources are required to enhance employee quality of work life at four stages of organizational policy such as: formulation, adoption, implementation and idea evaluation. When employee contribution requirements are met, a transfer will take place from employee creativity to practicable ideas, giving organizations a large and constant supply of relevant project ideas Okoroma (2006); Van Dijk and Van Den Ende (2002). An approved employee contribution will reduce management costs such as: labour cost, and other miscellaneous cost attributed to employee negligent to work commitment. (Amabile, Conti, Coon, Lazenby, & Herron, 1996; Griffiths-Hemans & Grover, 2006); Tella et al. (2007); (Van Dijk & Van Den Ende, 2002) employee are important resources consistently cited and closely related to organizational development through their contribution. Draw from Lasrado et al. (2016) model



**Figure 2: Lasrado et al. (2016) Employee Contribution Review Process**

Base on Edwards (2017); Lasrado et al. (2016) the policy formulation in the context of global governance employee support system might also involve in employee involvement association (EIA) also known as team building. To illustrated this great contribution, employee suggested systems which might contributed greatly to the increase in formulation, adoption, implementation and evaluation through team building. This is done through group discussion to create an ideal bar of best practices in the encouragement, evaluation, development and contribution of ideas that add value to their organizations. However, employee involvement policy programs, was also founded as a prime purpose to assist organizations to develop employee quality of work life which encourage employee engagement by means of employee participation through their contribution (Lasrado & Arif, 2014).

## Employee engagement

Employee engagement are another key element identified for the success of organizational policy. An employee engagement clearly is a money saver in organizations Crawford, LePine, and Rich (2010). However, there is needs to introduce various strategies in place to avoid employee boredom and to consider the life cycle of the system. Employees must be rewarded not only with tangible but also with intangible benefits Ali and Ahmed (2009). Employee engagement are important for organization. Employees need to feel that the submission of their usable contribution will be rewarded Ali and Ahmed (2009). Employees should be emotionally rewarded and recognized both in-house and external to the organization in an appropriate way. The rewards should reflect the value of the employee engagement (Blessing, 2005). However, employee engagement is important because employee that have no satisfaction can lead to people feeling ignored and dissatisfied; employee engagement can also help in error discovery where staff can further improve the organizational policy ideas based on the quality of work life they receive Sajjad and Abbasi (2014). If employees do not receive rewards base on their effort contributed to improve organizational policy then they may feel that management is taking credit for their work (Mishra, 1994). However, Organizational policy must ensure that employee suggestions are processed within and communicated within timescales to ease employee nagging and improve their employee engagement as well as. The benefit is to keep employees motivated and being engage toward their organizational policy Welbourne (2007).

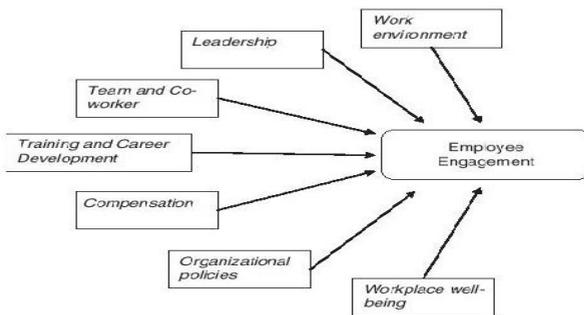
Finally, organizational policy should be detailed enough to aid employee in knowing the status of their idea and how it is valued by the organization and the relationship of their contribution to their quality of work life improvement programs Narehan, Hairunnisa, Norfadzillah, and Freziamella (2014). Moreover, Organizational policy providing employee engagement to employees on their ideas should demonstrate thus facilitating sustained participation and committed Crawford et al. (2010). Employee engagement improves when job-related feedback from supervisors and managers focuses on the strengths not the weaknesses of employees (Attridge, 2009).

## Synthesis of the Literature

Many researchers (El Badawy, Chinta, & Magdy, 2018) (Danaeifar et al., 2016) (Abbah, 2014; Afful, 2018; Chow & Tsui, 2017) have pointed at organizational policy systematically playing a significant role on impacting employee quality of work life in across different industries and sectors. Existing studies conducted by Su, Wright, and Ulrich (2018) explored the factors affecting employee using multistage sampling technique. They found that more than 337 firms show that quality of work life approach is linked with significantly higher organizational policy impact than alternative approaches. This implies that organizational policy needs employee contribution to know their ideal and opinion towards the existing policy. The main major parts of organizational policy are to affects employee wellbeing and work commitment-based practices in compliance with positive organizational collaboration with employee before formulating policy, therefore, it is equally important to their quality of work life when actualize

Base on (Lasrado et al., 2016); Narehan et al. (2014) significant contribution, participation in quality of work life programs; quality of work life improved employee commitment and accountability as employees attempt to improve work-related issues and conditions. Job factors, in particular, when organizational policy can give employees freedom and flexibility to contribute towards the existing policy or policy making, employee will perceived it imperatively as their quality of work life improvements. This in turn can influence employees' sense of security and confidence in the organization. Organizational policy could create an opportunity to employee by giving employee chance to contribute towards creativity at work place, this will help employees feel secure about their job role and increase their confidence in their employee engagement to the organizations Lasrado et al. (2016). Employee that feel valued and empowered are likely to remain with the organization for longer time Chiedu, Long, and Ashar (2017b). Because of the improved sense of security, employee productivity would also be enhanced. Another important outcome of employee contribution to organizational policy is to give employee confident, employee confidence is fostered when they see their contribution accepted and implemented this will foster their employee quality of work life, perceived as implemented quality of work life programs.

Researches have unpinned Crawford et al. (2010); Saks (2006); Shuck and Wollard (2010); Thompson et al. (2015); Vaziarani (2007); Welbourne (2007), the good manner from organizational policy inculcating the contribution of employees in formulating organizational policy as way of payback to their employee engagement. Employees tend to decide whether or not to engage themselves in relation to the organizational policy depends what they get from their organization. This perception shows a reciprocal relationship between the organizational policy supports to employee engagement, involving employee to contribute towards formulation or re-examining the existing policy will improve employee's willingness to make the most of their individual and organizational performance (Lasrado et al., 2016).



**Figure 4: Review Policy and Engagement**Anitha (2014)

This studies of Anitha (2014) advocate that organizational policy has an impact to employee engagement, apart from quality of work life factors that have great impact to employee engagement. Employee engagement programmes objectives is to enhance the productivity. In this study organizational policy is the policy of the content of relationship between employee's engagement that influence employee engagement work, therefore, the relationship of employee sub variables are the factors that impact employee engagement such as: Employee participation, Leadership, Team work and Rewards. However, organizational policy need to value employee effort by considerable level of support for job-related factors, such as giving employee the autonomy to contribute to organizational policy to impacts towards quality of work life and improve employee engagement. Attridge (2009); De Jong and Den Hartog (2007); Martín Cruz, Martín Pérez, and Trevilla Cantero (2009) in the literature of past decades. Given today that employees seem to demand more involvement in decision-making and want to be better utilized across their full range of talents, job factors seem to be influential as noted in recent research. Anitha (2014); Anyim, Chidi, and Badejo (2012); Ariani (2014); Axtell et al. (2000); Brad Shuck, Rocco, and Albornoz (2011); Czarnowsky (2008); Fairlie (2011).

Organizational policy implemented towards the quality of work life might help employee quality of work on employee engagement to reduces both transaction and implementation costs. However, as far as the employee participated in contribution to the organizational policy they understand the cost of transaction and implementation method used. This is important when evaluate their ideas in terms of a cost-benefit, analysis implement, employee policy development program as a way of rewarded effort, this will reduce a number of ineffective ideas and eliminate the gap that delays and balance the cost of management programs Wynder (2008). Chang, Kaltani, and Loayza (2009); Foote et al. (2005); (Greasley et al., 2005).

The effectiveness of organizational policy contributions toward new and useful knowledge for the company is dependent on their perception of the organization Greasley et al. (2005) The perceived work environment does make a difference in the levels of creativity in organizations Amabile et al. (1996). Therefore, organizations policy should display an attitude toward employees by allowing employee contribution in formulating organizational policy and make managers responsible not to misinterpreted employee contribution. this will postulate different levels of accountabilities by using the policy to balance organizational performance. Babajide (2010); Batistič, Černe, Kaše, and Zupic (2016) Clarke and Robertson (2008) Curado (2006); Kanten and Sadullah (2012).

## Discussion and Conclusion

To sum up the arguments of the link between these three streams of variables, this paper realizes that the role of people who engage in organizational policy processes that sprout quality of work life in the organization is very important and hence there is need to pay greater attention to it in research and in practice. Based on these arguments, this paper believes that the focus of organizational policy and quality of work life should be placed on the employee engagement thus the importance of organizational policy in employee quality of work life on employee engagement should be given greater attention. In the literature, aspects of organizational policy management examined in relation to quality of work life is essentially focus on recruitment and selection, training, performance appraisal, reward and compensation Baird and Wang (2010); Kanten and Sadullah (2012); Kaur (2016); R. Walton .

The second reason emanates from the findings of the review of the available literature. Previous researchers (Bullen, 2013; Foote et al., 2005; Van der Berg & Martins, 2013; Yousef, 2017) have acknowledged that the success of a firm's quality of work life capability depends greatly on organizational policy but did not look at quality of work life at the perspective of employee engagement. Previous studies essentially focused their discussion on quality of work life capability at the firm

level. To the knowledge of the researcher, no particular study on the relationship between organizational policy and employee quality of work life currently exists in the literature. Therefore, there is a need to study employee quality of work because it is the individual employee's engagement in particular that possesses the knowledge that sprouts the overall organizational policy (Baird & Wang, 2010; Foote et al., 2005). Another reason that prompted this paper's keen interest is that this paper related to the contextual issue. Nigeria is one of the postindustrial societies has continually shown commitment to innovativeness in order to ensure that manufacturing firms strive to transform itself from labor-intensive to knowledge-intensive. To achieve this goal, Nigeria has launched economy models which aims in transforming the manufacturing sector from the product based towards the knowledge based (Arif et al., 2010); Oburota and Ifere (2020). Aligned with this move, understanding the necessary antecedents influencing the individuals in the manufacturing firms to innovate new ideas, practices and products is the third reason for conducting this study. Bearing in mind that it is the individual employees that have this ability to innovate products in the organization, it is important to examine what motivates the employee's quality of work life or their employee engagement consecutively lead to organizational innovation in general.

To address these issues, several research agenda will be proffered by this current study. First, the researcher has mentioned that there is a need to incorporate other essentially organizational policy variables that could influence quality of work life. Second, the researcher has pointed out earlier on the need for extrinsic motivational factors. Arguably, these extrinsic factors could enable employees to decide whether to pay back their organization in form of participating in discretionary activities such as employee engagement.

Further justification for incorporating organizational policy, quality of work life and employee engagement is evident established in this paper which provide strong support that employees could probably contribute to organizational policy design for purposes of balance attention between management and employee in concern to improve employee quality of work life as well as their employee engagement, this will postulate employee satisfaction. Kaur (2016) found that Those who enjoy their careers are said to have a high quality of work life, while those who are unhappy or whose needs are otherwise unfulfilled are said to have a low quality of work life. Chiedu et al. (2017a) concurred that Job satisfaction can also be portrayed as a feeling of pleasure that stems from an employee's impression of his or her job. Organizational rewards are significant to employee engagement. Meaning that attitudinal and behavioral variables (like enjoyment in helping, job satisfaction, and organizational commitment) could be more important to boost the willingness of employees to contribute to organizational policy other than the financial reward.

Based on the discussion in this paper, the organizational policy which determines the two variables, quality of work life and employee engagement, also sub variables are introduced and incorporated into a research model. This paper's research framework is hence presented in Figure 5.

### Research Framework

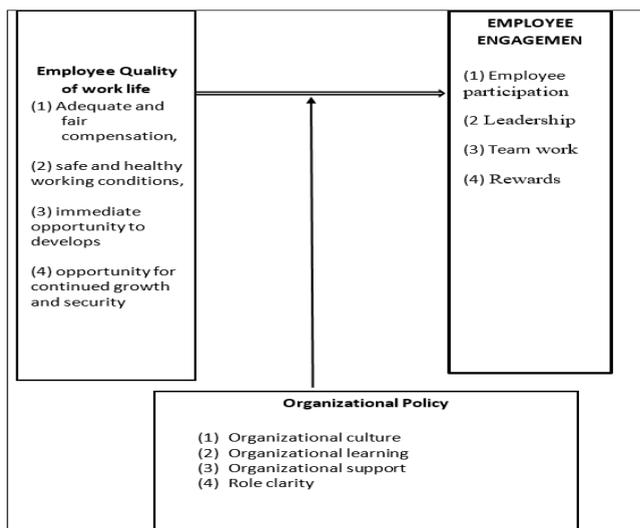


Figure 5: the conceptual framework study of this paper

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## Diversity Management: An Overlook on Brazil's Largest Companies

Bruno Carramenha

Thatiana Cappellano

FAAP, Brasil

### Abstract

This article outlines the results of qualitative research on Diversity Management carried out with Brazil's 20 largest companies. The objective of the study was to map the perception of employees and managers on Diversity in the context of the organizations, confronting the corporate discourse with the perspective of professionals who identify with this theme. Therefore, we interviewed, using qualitative techniques, managers of 12 out of 20 national companies and 45 employees, representing all selected companies. The results show a very incipient management in Brazilian companies, with a discourse that is little aligned to the practice and almost no practical demonstration of results, perceived by employees with mistrust and a sense of exclusion.

**Keywords:** Diversity; Organizational Culture; Organizational Communication; Inclusion; Employee Communication.

### Introduction

Brazil has a very mixed population. Brazilian's physical expression reflects the country's more than five centuries of history, scarred by hundreds of thousands of immigrations, centuries of slave trade, and remnants of native traits. This high level of miscegenation resulted in a population currently comprised of 53.6% of individuals declaring themselves as black or mulatto (IBGE, 2014).

One does not have to take a deep plunge into the reality of Brazil's largest organizations to acknowledge that these figures are not reflected in their higher ranks. According to Instituto Ethos (2016), in Brazil's 500 largest companies, only 4.7% of executive positions are held by black people of mulattoes. The discrepancy showed by numbers is not an isolated fact. Other figures corroborate this reality in the labor market: even though 51.4% of the population is female (IBGE, 2014), women make up only 11% of Brazilian management boards (Ethos, 2016). Also, in this country 61% of all LGBT professionals hide their sexual orientation in their professional environments (CTI, 2016).

These data – and a series of other quantitative reports released by different business publications – have contributed to the growth of studies on diversity in the organizational context since the 1980s (Saraiva & Irigaray, 2009). To Oliveira and Domingos (2017, p. 4088), "the emphasis on the diversity of the workforce has been increasingly discussed and required to respond to a change in globalized culture", although it seems to be related mainly to a business discourse issue (Saraiva & Irigaray, 2009).

It is worth outlining, at this point, our understanding of diversity aligned to what was proposed by Ferreira (2012):

has the conceptual sense of social, ethnic and gender segments, among others, that, regardless of quantity, have little social, political and economic representation (insertion in the job market, occupation of positions of power and others) and has as historical equivalents the expressions "minorities", "minority groups" or "minorised groups". (Ferreira, 2012).

Thus, we understand "diversity management" as a set of management practices intending, in a certain way, equal access to work. The concept is related to the identity of the groups that constitute the organizations, to the recognition of the minority groups in this context and to the social and corporate history of these groups (Alves & Galeão-Silva, 2004).

In this paper, we present the results of the qualitative research conducted between August and November 2017 on Diversity Management in Brazilian companies. Starting from a group of Brazil's 20 largest corporations by revenue (Forbes, 2016), we sought to map the perception of employees and managers about Diversity in the context of these organizations, to confront the corporate discourse with the perspective of professionals who identify themselves with the theme.

From a qualitative perspective, the research extends the understanding, in an interdisciplinary way, of the concept of Diversity within Brazilian organizations, perceiving it both as a cause and as a symptom of contemporary social behavior. We chose Brazilian companies since it is well known that almost all existing studies are, in addition to quantitative, based only on the experience of multinational companies.

This analysis is relevant not only to the theoretical and academic field but also - if not mainly - to the practice and the experience of individuals immersed in a formal or informal market logic. The results have been split into six, to be disclosed in this paper. Before that, we believe a brief theoretical contextualization of the subject, from a bibliographic review, is necessary.

### **Diversity Management**

Diversity is a concept with vague outlines. There is not even a theoretical consensus. The subject reverberates in scientific productions in the fields of communication, psychology, sociology, anthropology, and administration. However, it is in the area of administration that the subject gains more defined management contours, in the context of organizations.

To Alves and Galeão-Silva (2004), the technical rationality, a trait of the consolidation of capitalism, gave way to technocratic ideology, "which is expressed through the attempt to portray the administration of companies as a neutral function, based on a modern scientificity that has expert and technical managers with influence and responsibilities" (p.25).

This belief, however, tends to lead organizations to adopt an attitude of homogenization, as described by Saraiva and Irigaray (2009).

[Organizations] deal with their employees as if their differences could disappear under the formality of hierarchy. In a certain way, it is assumed that individuals can separate their personal traits and interests from their professional ones, subjecting the former to the latter within an organizational environment (p. 339).

But it is also from this perspective, that diversity begins to gain space in academic production, reflecting the context of US organizations. First, from the 1980s, "various studies on workforce diversity started, questioning the hegemonic view that individual differences had little influence on an organization's environment and results" (Saraiva & Irigaray, 2009, p. 339). In 1990, Harvard Business Review published the first relevant work using the term "diversity management", by R. Roosevelt Thomas, which advocated that companies start facing this issue in a way to replace, in the organizational context, public policies of affirmative action avoiding setbacks to the principle of meritocracy (Alves & Galeão-Silva, 2004).

For Coelho Jr. (2015), diversity management happens as a discursive practice related to a desire of organizations to align themselves with an emerging social demand, and as a way to reinforce the legitimacy of the current capitalist model. To him, this movement is strongly related to globalization, which has transformed business culture.

One of the characteristics of this transnational business culture, which works as an ideological framework of the business world, is the search for translating the contemporary sociopolitical agenda regarding managerial technology. Among the examples of managerial technologies originated in this movement are, according to him, the management of diversity: a response from the business world to the social changes articulated around the right to difference, such as the black movement, women's movement and the LGBT movement (Coelho Jr., 2015, p. 81).

Therefore, production in the academic-scientific area during the 1990s and 2000s has come to account for justifying, in a technocratic way, the benefits of diversity from a management point of view, not to the social demands per se. In Brazil, Maria Tereza Leme Fleury, from the Economics and Business School at USP was the first researcher on the theme, and her production, according to Coelho Jr (2015), reinforces and validates "the pragmatic, schematic and triumphalist logic of this managerial technology specific to the transnational business culture, which [...] has the mission to neutralize the challenging potential of multicultural movements, transforming them into something palatable to organizations" (p. 84).

Fleury's academic production was an essential first step to put the issue on the agenda of Brazilian society, more specifically, of the corporate environment. With her article "Gerenciando a diversidade cultural: experiências de empresas brasileiras" (freely translated as "Managing cultural diversity: experiences from Brazilian companies"), published by Revista de Administração de Empresas from Fundação Getúlio Vargas (Fleury, 2000), the topic also begins to gain relevance among journalists covering the corporate environment, along with business consultants and even the think tanks funded by organizations, such as Instituto Ethos (Coelho Jr., 2015).

Thus, a discursive construction on Diversity in the context of organizations arises, supported by the academic production, media, consultancies and business entities, helping the subject to gain relevance. It is also important to note, however, that

the discursive construction, by itself, is not enough to transform reality within organizations. Neither are independent policies and norms capable of promoting real changes in the practice of companies since any practice is aligned to the organizational culture, which, in turn, is constituted and reconstituted on the actual experience of the employee.

A true collection of learning, organizational culture influences the way how employees react to demands from both internal and external environments and "is an informal and shared way of perceiving life and participation within the organization, keeping its members together and influencing what they think of themselves and their work" (Carramenha, Cappellano, & Mansi, 2013). Thus, beyond management aspects, diversity is firmly connected to each organization's - unique - cultural context and, therefore, depends on the learning that constitutes the fabric that forms the identity of the organization.

Therefore, understanding Diversity Management requires, necessarily, an understanding of how inclusion – effectively – happens within organizations. On the other hand, inclusion refers to subjective aspects that are related to the perception of the employees' experience, not to numbers, which are recurrent when illustrating the good performance of Management (whether related to Diversity or not).

### **Methodology**

The main motivation for this work was to understand what is behind the numbers illustrating the management (or lack thereof) of diversity in organizations. For this to be possible, only a qualitative research technique would assure us of this deeper understanding, since it allows us to "explore the spectrum of opinions, the different representations on the subject in question" (Gaskell, 2011, p. 68).

For this research, we reached out to diagnosis based on Corporate Listening, proprietary method of consultancy firm 4CO, which follows the principles of multiple methods, customized and refined for the corporate environment. Nevertheless, this method is not limited to a single and rigid flow, in order to account for the complex cultural and social context of organizations.

The research is based on a methodology that started with the exploration of secondary data to outline our initial scenario. Vast desk research on all themes related to Diversity in the corporative context helped to identify previously conducted researches and press articles on the topic. This phase allowed us to properly delimit the research objective, as being the mapping of employees' and managers' perception of Diversity within the corporate context.

To promote a large cutout of Brazilian companies, we chose not to segment our research by type of economic activity or by the market. Thus, the universe of the corporations surveyed was selected according to the economic aspect: the 20 largest companies by revenue in the year 2016, according to Forbes magazine (The World's Biggest Public Companies, 2016).

After correctly qualifying the universe of the research, a cut line was elaborated for the definition of the sample field. Therefore, we chose to limit our universe using the technique of interest. Thus, among the 20 companies of our universe, our defined sample was:

- 15 managers linked to our theme, regardless of their hierarchical level, who acted as official representatives of Diversity in their organizations;
- 45 employees identified in any of the Diversity-related groups.
- It is worth mentioning that the defined sample was 100% achieved, with following highlights:
- Out of the 20 companies of this universe, 16 answered officially on their participation through managers in charge of this theme. Of those, 12 companies were interviewed for the research and four declined formally, stating lack of interest or having nothing to declare on the subject.
- Of the 45 employees interviewed, we spoke with at least one of each of the 20 participating companies and with a maximum of three employees of the same corporation.

The following steps involved the definition of a work schedule, the elaboration of the exploratory field itinerary, the script test and the invitation to the participants, which, in the case of the first group, of professional managers of the theme, was made directly by e-mail. Employees were invited in two distinct ways: a) through the researcher's network, which was later expanded using the "snowball" technique to reach all other respondents; and b) through direct approach, made by sending private messages via LinkedIn.

The research was conducted through in-depth individual interviews, in person or by phone, according to the availability of each respondent. Each session lasted around 45 minutes, according to the evolution of the participants. The survey included professionals from Brazil's Northeast, Midwest, Southeast and South regions.

## Results

The results have been split into six main findings, quickly described as follows. Each finding has the potential for scientific exploration in different articles, a task that we intend to develop over time, to confront the results with different theoretical repertoires in more depth.

### *Finding #1: Diversity matters, but is not relevant*

Corporations are not isolated from the social milieus in which they are immersed (Kunsch, 2003). Therefore, as a result of the pulsating and recurring manifestations of social collectives, companies have been more attentive to the theme of Diversity.

As I see it, Diversity is still at a very early stage. I work at a company where they recently established a board. I feel that over the last year they have been looking at this subject from an institutional stand. When it comes to practice, it's really tough. As I see it, there is still a long way to go. Maybe because it's all very recent. When it comes to practice, I notice that there is still bias, though subtle. Also, all discussions regarding Diversity are still "enveloped" in the cause of women. I don't know if this is a first step, but it's our current scenario.

The interviewees, both employees, and managers of the theme perceive this as an important agenda in Brazilian society, some of them attach this phenomenon to the higher visibility promoted by social media, however, within the work environment, we see some timid steps towards an inevitable transformation driven by the social context.

Thus, it is possible to say that this is an important subject for companies, even if they are yet not ready to deal with it, as one manager says.

We have no formal committees yet. When we want to address this theme, we seek for partners in other areas. There are no formal structures; it depends on our needs. It's all being studied, right now this theme is in the spotlight (...) I believe I'll have more to share in a year.

Based on this understanding about the intimate relationship and influence of the social context on companies and vice versa, it is possible to identify a few interviewees who present statements contrary to the advance of this discussion within organizations.

There is a strong feeling that Diversity is not very relevant. By understanding this perception of the interviewees, it is easy to infer something most of them signaled during the interviews: Diversity, at least today, is just a fad in companies.

I see this as a fad, you know? Like, the company is thinking: 'everybody else is doing it, and we're not?' I believe that many have taken on this quest for Diversity because they had no other option.

When it comes to addressing this subject, Brazilian corporations are still taking their first steps, which is only reinforced by the fact that only a few companies have areas dedicated to it. To stem their latent evolutionary needs, Brazilian organizations rely on references and benchmarks from multinationals to reach a turning point that never happens.

### *Finding #2: An empty speech, a poor experience*

The structural complexity of organizations, which are permeated by a particular view of the world and by a unique set of rules, rites, and assumptions (Schein, 2001) hinders the sedimentation of new initiatives and favors the misalignment of discourse with corporate practice. This is exactly what happens when it comes to Diversity Management, according to our research results. Managers of the theme show keen interest in implementing initiatives to promote diversity in their companies, however, only a few have been able to demonstrate such practices that are already in progress. In most cases, there are no internal policies formalizing the subject, which contributes to it being conducted procedurally and simplistically. "We don't have any specific actions, but we are uploading articles and discussions on this subject on our internal blogs. And it never evolves, it's just stuck there", reveals one of the theme managers.

All this corroborates the understanding that these efforts are, therefore, little noticed by employees. "After seven months in the company, I only saw a poster with Diversity written on it once. I guess it must be some kind of program, but I'm not sure", says an employee. Once in a while, employees are impacted by superficial communication initiatives or occasional

and generalist approaches that do not stimulate critical reflection on the subject. All this dense texture breaks with the general perception that there is no lasting and long-term perspective on this subject within the companies.

I think it's just a complete lack of will to put it into practice, you know? Unfortunately, I believe it's all just talk. Just like environmental responsibility. It's only to improve the company's results. So the client has a better impression of the company. I think they just don't want to offer opportunities, to see people for their skills. I believe they don't want to face this in a fair way.

Add to this the strong perception of employees that the barriers to diversity are set from the doorway up to the admittedly flawed systems of promotion. According to the interviewees, the selective processes give preference to the normative and tend to suppress the dissonant (diversity in the workplace happens, mostly, by operation of law, in case of the mandatory inclusion of people with disabilities in companies). The organizational environment is considered by the interviewees as being selective, segregationist and restrictive. A place that avoids the entrance of diversity and that curbs individual manifestations and expressions.

*Finding #3: There is Diversity, but it is waiting to be embraced*

Organizations are influenced by their environment (Sriramesh, 2009), therefore, the existence of Diversity in its many representations is natural, since we are a diverse country. However, despite the miscegenation of Brazilian society, there is a historical prejudice that is rooted and spread throughout our culture. According to our interviewees, both traits directly affect the way organizations face and conduct their debates on Diversity. In other words, there is Diversity in the companies, even if just a little, the problem is that there is no representative space for it. This lack of representativeness manifests itself in objective questions, such as in "I work in an office that has 150 people, and only has one black person", but also manifests itself in subjective issues, which trigger a systemic social discrimination, in which the rule is to find the employee carrying some Diversity feature limited to lower positions. "We do have people with disabilities, but they always hold jobs in back-office positions. We meet our quota, and that's about it", says a theme manager.

Banned from leading positions, the one who differs becomes an increasingly rare person as we go up the hierarchy ladder. And because this employee does not become a role model, the segregation scenario is fed back.

Gay people face barriers on their way up, but they get promoted. When it comes to people being openly gay, I think it's not very likely that they will get promoted. I've only ever heard of one gay person who got it that far.

As a symptom, as much as someone diverse is hired, they immediately risk being rejected by the organizational culture (deliberately or not). "Many years passed before I was promoted, they always preferred the girls. 'Let's just leave the transsexual working where she is; she'll quit soon enough'". Another statement, now from a gay employee, who said he could not show any effeminate mannerisms, reflects the normative power of culture. "We tolerate [difference], but don't come rub it in our face or we'll find a way to get rid of you."

It was also noted that it is not uncommon for interviewees to identify themselves with a group of Diversity and to adopt a stance contrary to the theme, for fear of inciting corridor conversations, prejudice or retaliation. It is part of their survival strategy to swallow hard, accept prejudice and intolerance, and not speak up or ask for help, since - because there is no trust in the formal channels of denunciation - there is a risk that the victim will be undermined and discredited.

*Finding #4: With constant prejudice, tolerance is confused with inclusion*

Although subtle in organizations, interviewees report that it is common to be confronted with judgments based on race, religion, sexual orientation, gender, apparent disability, and other nuances, whether while selecting, assessing or dismissing an employee - or simply while coexisting with the difference.

Nowadays, it is rarely blatant. People are more subtle when it comes to prejudice. There is never a word of prejudice to a person's face, but there is always a discriminatory speech behind their backs.

This should cause distress or astonishment, but, with prejudice being recurrent in Brazilians' social daily lives, similar facts occurring in the corporate environment are normalized. This normality hinders the recognition of discriminatory acts and, therefore, the majority of employees had difficulty in discerning whether they had suffered prejudice at work or not. One interviewee's statement illustrates what we are trying to say. "I've heard my manager making fun of my disability many times, and she didn't realize it might affect me. She'd make fun of disabilities in general. She wasn't talking about me. I don't know if this is prejudice, but it does affect me."

Although they have experienced discriminatory, disrespectful and embarrassing situations, many try to diminish what happened. "Fourth-grade bullying is still there when it comes to gay people... it's the 'being a faggot' thing. I never say anything about my private life there, that's why I never experienced anything like it." It is therefore not surprising that employees do not know how to deal with prejudice, much less how to combat it - turning a blind eye to events that would require an attitude part of the company are evident in all reports.

Whenever confronted with harassment, I try to reach out to my manager or HR. It is so common that we often end up doing nothing because that's just the way it is. If we were to take any measures, they'd have to dismiss half the team.

Such elusive behaviors are reinforced by the organizational culture itself since it is common to sweep prejudice under the rug. Furthermore, there is a recurrent perception of the interviewees that reports and complaints about discrimination are not put forth, generating more damage and exposure to the victim than to the perpetrator. In this sense, ethics hotlines and similar channels are discredited.

There are zillions of reports of sexual harassment, bullying, vendors who don't feel respected. But I do not know how much is done. They give the guy a warning, say he can not do that, and then the guy puts a lot of effort in trying to find out who reported him rather than changing his behavior and manages to get the other person fired.

All this keeps the employees from believing that problems like this can be solved. Leaving things as they are is the safest solution when ones' very own job is at stake. This overview leads to the understanding that Diversity is not embraced; only tolerated.

*Finding #5: Oblivious, absent and sarcastic leadership*

When it comes to diversity, the importance of the leader in the organizational context becomes clear (Saraiva & Irigaray, 2009). To almost all topic managers that were interviewed, it is clear that when leadership is involved and engages with the issues of Diversity, the theme gains relevance within the organization. In this sense, it is worth mentioning that the theme needs a relevant sponsor to be put into practice.

If they had high-level leaders who truly cared about Diversity, this could be a top-down policy. Here in the company leadership has no interest in it, they are retrograde and follow a pattern. An uncommitted leadership, which follows a pattern and does not see the impact of it in the end.

For the majority of the participants, the top leadership does not show any interest in prioritizing issues related to Diversity. "It does not seem to me that Diversity is a priority issue for our leadership."

It's a similar scenario from the perspective of employees, with more emphasis on the behavior of middle managers. According to them, leaders are usually oblivious to the theme and absent of all related discussions. Besides, they show difficulty in developing concrete action with their teams.

[Due to my disability] I need a particular computer screen. My manager took a very long time to figure this out. One day, she saw me reading very close to the screen and said, 'Jeez, what are you doing?' She knew I had a disability, because of my position, but she didn't realize it because my disability is not so apparent. But, if you know that a person has a disability, you know she has special needs.

There is one interesting point about leaders that deserves to be highlighted. It is evident in the interviewees' statements that leaders do not directly incite prejudice, but they do not take a stand when witnessing intolerance. Reports of leaders who joke about in their day-to-day are not uncommon, and therefore they are not perceived as effective agents of change when it comes to this topic.

The other day I was in a meeting with my direct superior. Then she started telling a story. It wasn't really prejudicial, but I was offended. She said she was watching TV [...] and saw a scene of two women kissing. And that she had to switch channels quickly because she was afraid her kids would want to try.

In a scenario where no one takes responsibility, Diversity becomes an easy target of gnawing indifference, favoring discomfort in interpersonal relationships, gives way to insecurity and results in a lack of dialogue, which is the main source of all taboos related to this theme within companies.

*Finding #6: Diversity: how much is it worth*

Companies act around a specific theme as it gains more significant social outlines and, however important an agenda becomes it has to demonstrate its direct and tangible benefits before gaining effective space in the corporate environment. The same happens with Diversity.

For both employees and managers related to this subject that have been interviewed for our research, there is a general feeling that the subject is attractive but still needs to prove financial impact before gaining relevance. According to them, what really matters at the end of the day are business indicators.

As long as senior leadership does not understand tangibly, through results, how much it loses by not embracing Diversity, it will not dwell on that agenda. Companies always work with priorities, as long as this is not a priority, it will not be treated as it should. Even if it's just a fad.

The counterpoint, however, is signaled by one of the interviewed managers. "The problem of companies is to see and understand that it's not always about results. There are people. People generate results. It's not results that generate people. We need an open discussion on how to treat these people."

The technocratic approach, however, is the one that has been gaining space within organizations (Alves & Galeão-Silva, 2004). And since Diversity is a complex and somewhat intangible subject, measurement becomes difficult to implement - something that can be aggravated by the lack of clarity related to the subject, as described in Finding #1.

A few managers of the subject who were interviewed reported dribbling this scenario when working on the issue of Diversity "from the outside". In other words, they got some attention on Diversity after demonstrating the importance of the theme to consumers or clients, highlighting the financial improvements this would bring to the business. According to these interviewees, the company understands that the client is diverse and that it is important to understand them in their plurality, but, as for the employee, a posture of denial and indifference is maintained, as mentioned by one interviewee: "Marketing does lots of videos and talks about diversity to the external public. These videos focus a public that is different from ours, but it was only for YouTube. But once through the door, there is absolutely no space for it."

This posture not only proves the company's immaturity in the face of Diversity. It ignores a critical point in the PR and communication strategy of any business: understanding that publics are multivalent, occupying multiple places in an organization's relationship ecosystem (França, 2009). It is not uncommon to note that the consumer and the employee are often the same person and part of the same society. Moreover, this narrow perspective on the theme disregards other relevant aspects, such as human dignity involved in this process.

### Final Considerations

Since the corporate environment is not isolated from social context, the relevance of Diversity to contemporary companies is evident. Just like the social behavior, Diversity is still taboo in most researched companies. A sad truth about the cultural logic of organizations that avoid addressing difficult issues that could destabilize previous historical-normative outlines.

If Organizational Culture is the *locus* of group behavior, it is urgent to evaluate the way organizations are managing it, to make such a semantic space effectively permeable to diversity in all its aspects. Thus, it is possible to conjecture that being a diverse company needs much more than only fostering tolerance. It is imperative to indeed accept and include the multiplicity of all forms, building on a daily basis an environment in which employees live with the plural and feel safe in establishing long-lasting and trusting relationships.

There is no space left for dull answers to the question "why work with Diversity in our business?". After all, it is not just an increase in financial results, but rather a fulfillment of their concrete social role and, also, of the symbolic seat of organizations in the collective imagination.

Conducting this research enabled us to successfully achieve the initially proposed goal of mapping of employees' and managers' perception of Diversity within the corporate context. We understand that the findings, in the way they were organized, deliver - albeit in a succinct way, in the space that fits us in this work - a response to the objective, a response that opens space for new dives in the results, with a view to other possible problematizations.

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## **Integration of Vocal Music, Dance and Instrumental Playing in St Matthews Apostolic Church: Maphopha Congregation**

**Morakeng Edward Kenneth Lebaka**

Department of Art History,  
Visual Art and Musicology College of Human Sciences University of South Africa (Unisa),  
PretoriaSouth Africa

### **Abstract**

There are a number of different approaches to determining the functions of music. Members of St Matthews Apostolic church – Maphopha congregation in Sekhukhune district – Limpopo Province in South Africa identify themselves by their music and allow music to become a representation of themselves. In responding to a song, to a hymn, they are drawn into affective and emotional alliances. Their relationship to music is inevitably based upon their emotions and internal connection to a particular song. Emotionally intense songs are even used during funerals to cue specific emotions from the audience for suspense, heartbreak, or a peaceful resolution. Songs, then, become an active ingredient in their lives as they find ways to employ music as a tool to share in their life experiences and bring them to a desired emotional state. The purpose of this study was to contribute towards documenting and describing the integration of vocal music, dance and instrumental playing in this church. To achieve this aim, the study employed a naturalistic approach and data was collected through video recordings of church services, interviews and observations. The primary question the study addressed is: how is collective identity formed through music and how does religious music serve as a core part of culture? The results have shown that in this church, music is manipulated to serve congregational purposes. The investigation has also shown that identity is largely related to musical preference, and the congregants use music to understand who they are and define themselves internally as well as externally.

**Keywords:** St Matthews Apostolic Church; Maphopha Congregation; Limpopo Province; South Africa; Music; Identity

### **Introduction**

In Sekhukhune district, St Matthews Apostolic church, and other independent churches such as St John Apostolic, Zion Christian (ZCC), International Pentecostal (IPC) and others have survived indoctrination and acculturation by the missionaries by insisting upon solid foundation of local traditional religious hymns. In these churches, learning music is part of the socialisation process and imitation forms an important part in the transmission process. This is an informal procedure, where people learn relevant music material through participation in pertinent activities for groups that they belong to. The transmission process involves participation, fostering of a communal sense, concentration on the present moment and the use of musico-cultural formulae and cues for interactional purposes. The learning process is largely dependent on improvisation, re-creation and variation. From this creative process, participants receive knowledge through understanding and assimilation. In St Matthews Apostolic church – Maphopha Congregation the learning process is informal, and the congregation learns the hymns through participation and imitation.

This study that focused on transference of skills among members of St Matthews Apostolic church attempted to look at the integration of vocal music, dance and instrumental playing as a process through which the congregants gain knowledge and skills necessary for worship. Further, the study looked at the association of the hymns with the ritual of the service possibly as an accompaniment to musical tradition and culture of the church. The study also sought to assess how collective identity can be formed through music. By documenting and analysing the order of church service, the internalization process and music activities in St Matthews Apostolic Church -Maphopha Congregation, the study endeavoured to reveal the modes of transmission in the teaching and learning process of the hymns, dancing and instrumental playing. The study was guided by the following research questions: 1) How is collective identity formed through music?; 2) How does religious music serve as a core part of culture?; 3) How effectively do the congregants learn the hymns, dancing and instruments?; and 4) How

does playing traditional instruments for example, *meropa* (drums), *mekuduetane* (whistles) and *dithlwathlwadi* (rattles) help to instil a sense of cooperation in congregants.

### Theoretical Background

The present study is based on the theory of 'Praxialism' as proposed by Elliott (1995) which affords the opportunity for the integration of multi-dimensional aspects of music which is a predominant feature in the music-making processes. Elliott has convincingly argued that "indigenous African education depends considerably on rote memorization as a method of learning". Elliott's theory is supported by Ogunrinade (2012:109) when he writes that 'music and every aspect of life's activities are inseparable in African setting to the degree that every activity has music attached to it'. Elliott highlights that the action of music should be understood in relation to the meanings and values evidenced in actual music-making and music-listening in specific cultural contexts (1995). Elliott's theory is also endorsed by Nzewi (2002:20) who asserts that "Africa perfected praxial music education", since Africans have always been actively involved in music-making instead of "non-participatory auditory encounters with music". Like in this study, the development of knowledge and performance skills in St Matthews Apostolic church – Maphopha Congregation involves a high level of music expertise including music-making, listening, improvisation, creative expertise, gestures and actions, repertoire, communal composing, imitation and choreographed dance. The acquisition of these skills is supported by informal learning which is contextual and memory-based system of learning most commonly used in Africa. This music learning approach is in consonance with this endeavour because with this approach, members of St Matthews Apostolic Church are able to succeed in meaningful and significant music-making processes for their own lives as well as the lives of others in their community. After a meticulous analysis of this model, I am convinced that St Matthews Apostolic church context is ideal for this model since, the primary function of music in this church is to promote a worship service that is culturally embedded. The theory is applicable to this study because it offers an explanation of the nature and values of music as it manifests in all cultures. In this study, the theory was used for reference while investigating the modes of transmission in the learning process of the hymns, dancing and instrumental playing. The theory also assisted in determining how collective identity is formed through music. Theoretically, the research contributes to the discussion of the relationship between the church and musical taste, genre, transmission, belief system and practices.

### Literary Sources and Liturgical Studies

Written sources such as books and other sources describing the concepts of localizing and indigenizing the Christian message were consulted to establish a literature review. While articles and books by Maboee (1982); Hiltunen (1993); Van der Laar (2000) offer a broad and general information on Music and Liturgy and Africanization of liturgy, the researches and publications of Amalorpavadas (1971); Triebel (1992); Khuzwayo (1999); Hellberg (2010); Löytty (2012); Francies (2013); Kloppers (2016); Lund (2016); Murtonen (2016) provide more detailed data on the concepts localizing and indigenizing the Christian message. Scholars on the subject 'localizing and indigenizing Christian message' have done many a learned writing. In particular, Löytty (2012:138) observes that Luther worked for indigenizing the language of the Bible, the liturgy and hymns. According to him, the language as it is the core of a culture and spoken by people, is not merely the spoken words but involves many other forms of communication. He argues that music is one of them and indigenous music therefore should be included in localizing and indigenizing the Christian message. Expanding on the idea of music as a tool, Löytty (2012:188) emphasizes that music plays a central role in the dialogue between Christianity and culture by acting in a mediating role in the encounter. Löytty confidently advocates that from the side of Christian tradition, music is seen in the light of the first person of God, the Creator. He asserts that throughout centuries of Christian thinking, theologians such as Luther have claimed that music was created by God as a gift for humanity. Adding to this, Hellberg (2010:20) supports the above observations but sees 'localisation' as a wider term than indigenisation. In his view, participants in a process of localisation do not look only to the past, but also appropriate new cultural influences, using the elements of the local cultural past that still are remembered in combination with them. He argues that in a process of localising both the newly arrived elements and those that have long been present can be reshaped in various ways; the former can be localised while the latter can be modernised. Attesting to the observations above, Francies (2013:64) asserts that the Bible, never mentions a capella singing but it has much to say about musical instruments (Psalm 150). He further mentions that the Bible never says that instruments in the worship are unspiritual, nor is the practice condemned. He continues to argue that tradition, although helpful, cannot be elevated to the role of scripture, lest one become like the biblical Pharisees in the days Jesus who sought external conformity to the law with no inner substance (Francies, 2013:89). Furthermore, Francies (2013:99) suggests that congregations must feel free to disagree on non-salvation issues. He is of the opinion that every congregation must first understand its local context before it embraces ministry innovations. He

candidly states that local congregations must also ask themselves, in what ways have we failed to connect with our communities and in what ways have we failed to create a community?

### **The Perspective of this Study**

The purpose of this study was fivefold: a) to investigate and document St Matthews Apostolic Church's music of the Bapedi people, thereby contribute to the growing knowledge of religious music in Bapedi society, in Sekhukhune district; b) to investigate the modes of transmission in the learning process of the hymns, dancing and instrumental playing in St Matthews Apostolic Church; and c) to explain the integration of vocal music, dance and instrumental playing in the context of the order of church service; d) to determine the value of the music in this church and discuss its usefulness as a medium of contextualization and vehicle of communication; and e) to assess the extent to which playing traditional musical instruments for example *meropa* (drums), *mekuduetane* (whistles) and *dithlwathlwadi* (rattles) can instil a sense of cooperation among congregants. It is envisaged that this information will provide a clearer picture on how the congregants internalize music.

### **Methodology and the Research Process**

The ethnographic observational data was obtained from St Matthews Apostolic Church – Maphopha Congregation, situated at Ga-Maphopha village, Sekhukhune district – Limpopo Province in South Africa. Ethnography was seen as being closest to Ethnomusicology research, a research design that attempts to understand music in the context of human behavior (Merriam, 1964). Naturalistic approach was employed, and data was collected through video recordings of church services, interviews and observations. The primary sources include oral interviews that were collected through face-to-face interaction with the interviewees, which were aimed at eliciting firsthand information on their knowledge of the subject matter. The secondary sources included among others, materials such as journal articles, books and theses. The participants in this study are from the Sepedi-speaking community. The methodology that I used in the collection of data for this study was mostly based on participant observation and interviews. In order to collect in-depth information of primary data based on naturalistic observations of church services, and what music means to the congregants in this study, an ethnographic design was used.

As the worship service in this church takes place every Sunday in the afternoon from 15h00, the interviews happened on Sundays afternoon experience to capture immediate impressions. I interviewed nine (9) members of the congregation, the Pastor inclusive, ranging from ages 25-65. This large range age allowed me to capture insight of members from various generations. Each of the 9 was interviewed twice, both interviews lasting approximately forty-five (45) minutes. Due to my interest in the integration of vocal music, dance and instrumental playing in the church service, I searched for participants with related experience. With the help of the pastor, participants were sought through a selective process that prioritized diversity based on age, gender and experience in communal composing of musical activities in the church. All participants attended both interviews voluntarily and all interviews were recorded. Most of these interviews were informal and spontaneous. However, I also carried out other interviews that were longer, more formal, and in some instances taped. I also endeavoured to attend five (5) worship services, and three (3) communal composing sessions in this church that would further understanding of the modes of transmission process of their hymns. The interviews and church services provided a comprehensive picture of how collective identity is formed through music. I depended on recorded worship services, interviews and transcripts for accuracy in analyzing the data.

### **Results**

This section presents the study findings on 'the modes of transmission in the learning process of the hymns, dancing and instrumental playing', with specific focus on St Matthews Apostolic church – Maphopha Congregation, in Sekhukhune district, Limpopo Province in South Africa. The presentations of the findings are clustered around the four research questions on which the study was anchored namely: 1) How is collective identity formed through music?; 2) How does religious music (hymns) serve as a core part of culture?; 3) How effectively do the congregants learn the hymns, dancing and instruments?; and 4) How does playing traditional instruments for example, *meropa* (drums), *mekuduetane* (whistles) and *dithlwathlwadi* (rattles) help instil a sense of cooperation in congregants. The aim was to assess and reveal the learning process of the hymns, dimensions of rhythm, the role of hand-clapping, improvisation, recreation and variation, musical repetition, musical instruments, musical creativity and musicality, the art of composing, repertoire, observation and internalization. The results were obtained from all phases: the interviews, direct observations and literature review. The results of analyzing the modes of transmission in the learning process of the hymns, dancing and instrumental playing are discussed below.

## Communal Composing

### Learning the hymns through participation

Learning music through participation has been a constant practice in Sekhukhune district (Lebaka, 2017:125). This is evident in St Matthews Apostolic church – Maphopha Congregation. From the observations and interviews, it was established that in St Matthews Apostolic Church, learning through participation involves communal composing (participation, repertoire and musical instruments, repetition), observation (call-and-response, coordination, gestures and actions), Imitation (performance techniques, agent and content) and choreographed dance (social tolerance, aural recall and creative product). The impression created during interviews and observations was that participants perceived that composing was not necessarily an individual process. All participants were committed to 'creative activities' which involved the relationship between music and dance. It was encouraging to observe how the participants learn more quickly and with less effort when they are enjoying themselves.

### Repertoire and Musical instruments

Participants were asked about the art of composing hymns. According to Magane Michael (interview, 18 February 2018), participants are skilful in building a repertoire which is characterized by improvisation, polyrhythm, cultural blend and interlocking rhythms which compel the participants to dance to the music. The basic musical format of the hymns is four-part harmonic setting, which allows all voices, female (soprano and alto) and male (tenor and bass), to participate in the singing, producing a feeling of communal musical expression. Repertoires are oral memory-based and the 'phrase method' was adopted in the learning process.

When asked whether the integration of traditional instruments into worship service help to instil a sense of cooperation among congregants, all the participants agreed. They felt that the integration of traditional instruments has rather encouraged maximum participation in worship service by members. Congregants feel that they are themselves. They are free to express their emotions by either clapping their hands, ululation, drumming or dancing; which is in line with the African cultural background. Masha Malebo explained (interview, 12 November 2017) that, congregants are dancing, singing from memory and worshipping God the way they like, and there is active participation in the church (see Figure 1). Mashego Ressay (interview, 21 January 2018) agrees with Masha Malebo by confirming that in Bapedi culture, music making is a communal endeavour in which cooperation between people is both a means and end. Similar to these observations, Lieberknecht (1994:281,283) rightly claims that singing in particular helps the congregation of God to recognize itself as church, so that it can establish its own identity through music and appears attractive to outsiders. Nketia (1974:15) adds that apparently the 'fact that drums and other percussion instruments were used in the Ethiopian church, which had been established in the fourth century A.D., did not affect the evangelistic prejudices'.

These observations also support Scott's (2000:9) assertion of a relationship between music and culture. He argues that, 'accepting that music is part of the experience of every human culture group, we can say that it is an inherent gift given by a wise Creator for the benefit and enjoyment for us all'. In his view, the church, in its missionary endeavours, ought to recognize and accept 'the powerful effect of music in all aspects of Christian ministry. Triebel (1992:235) endorses this observation, by stating that 'We cannot ignore culture in our missionary task'. The above observations are endorsed by Löyty (2012:17) by stating that "in many African cultures, the use of instruments is practice-specific". He further observes that their playing is regulated according to the particular cultural trading and context in where they appear.

It was further observed in this study that almost all hymns in this church are cyclical in structure, with occasional, spontaneous text, melodic and harmonic modifications. The duration of a hymn is determined by the performers' moods or preferences and the performance context: If, for example, a hymn is popular with the majority of congregants, it can go on for up to 10 minutes. An unpopular hymn, on the other, will only be sung for a matter of few minutes, before another, more appealing one is spontaneously 'announced' and 'answered'. The hymn texts are usually short, on average not exceeding ten lines.

### Repetition

Using videos, it was observed that the hymns in this church are characterized by joy, interaction, concentration, expression, self-confidence, imagination, fast tempo, and full of movement, including dance steps. This shows how much the congregants enjoy their art of worship. Musical repetition, in its simplest form is evident in the hymns. The rather simple musical nature, cyclical form of repetitiveness and basic contents, make these hymns accessible to both adults and children. As repetition of musical phrase is one of the most important compositional features in this church, it often serves as a useful

means by which the singers emphasize and project to the congregation the principal idea or ideas of a particular hymn. The call and response of musical patterns usually serves as the most adequate means of creating a perpetual variation. The above observations are endorsed by Van de Laar (2000:1) when he states that “throughout history of humanity, music has played a significant role in the lives of people”. According to him, music has always had an important place in the worship of God’s people. He further asserts that every culture and context express itself in some way through music. He is of the opinion that since one of theology’s tasks is to apply faith to the immediate context, much cannot be ignored (Van de Laar 2000:4).

### **Observation**

#### **Call-and-response**

During observations and interviews, it was also established that all hymns in this church employ the call-and-response pattern and this pattern allows for spontaneity and self-expression. These hymns are organized into clear sections for a lead singer and a chorus. In the simplest type, each section consists of a single phrase, sung by the lead singer and answered by the chorus with a set response. This response phrase may be similar to the lead phrase. However, there are hymns in which the response section remains virtually the same while the call phrases change. The above observations are endorsed by Onyeji (2004:89) when he states that call-and-response pattern is one of the typical characteristics of African music employed by many cultures in the continent. This is also in line with the opinion of Tau Daniel (interview, 26 November 2017) who said that the dominant music making approach in St Matthews Apostolic church is rote memorization and call-and-response, and this entails drilling and verbal repetition.

#### **Coordination**

An interesting observation on the vital, if not central role of handclapping in the worship service should be mentioned. From this study, it appears that handclapping helps to maintain the tempo since some congregants gradually and habitually slowed the tempo of hymns in the course of singing. It is noticeable that when handclapping is enforced, the tempo is regularized, thereby producing a metronome effect. These observations confirm that with musical creativity and rhythmic direction, congregants build a repertoire which is characterized by cultural blend, polyrhythm, improvisation, four-part harmonic setting and interlocking rhythms which compel the congregants, the pastor inclusive to dance to the music, and hence increase attendance and participation. The above views are supported by Löyty (2012:36) who states that “in traditional African societies, music-making is generally organised as a social event”. In consonance with the above views, Francies (2013:69) gives a feeling of how handclapping is perceived when he states that handclapping is an issue about which some Black congregations still struggle. He reminds us that for a long time it was seen as a violation of the scriptural mandate for worship because it was thought clapping was another form of instrumental music. To Francies, handclapping is also done in both secular and denominational settings, which made it a forbidden practice during the worship. Francies adds further insight to the understanding of handclapping by registering his concern that handclapping is seen as done for entertainment purposes and showmanship, and these practices ought not to take place in the worship service.

#### **Gestures and Actions**

An interesting dimension of this study is the creative work which is indirectly related to worship service. This developing feature is taking an increasingly important role. It is of considerable interest to note that the hymns in this church are rhythmically centred, as the drums, tambourines, whistles and rattles are the most frequently used musical instruments, not so much based on harmonic principles as Western style music. Thus, the whole congregation is usually encouraged to participate in the performance of these hymns (see figure 1), including the multi-part singing, handclapping, call-and-response structure and dancing. Through this inviting character, these hymns serve as a communion-building, as well as communicative means. It becomes increasingly clear that the dimensions of rhythm play an important role to contextualize worship service into Bapedi cultural context.

With regard to the use of music as a tool for spiritual motivation, the enquiry has revealed that during the order of worship service, some congregants are touched by either the scripture reading or the music or both. The above views are supported by Kubik (2001:199) who examines the relationship between music and movement. He observes that “all music in Africa is almost naturally associated with movement and action, such as playing percussion instruments, hand clapping or dancing”. It is also in the same vein that Maboee (1982:131) in a careful assessment of the relationship between music and movement observes that “traditionally, when Africans worship, they sing and dance together”. Maboee goes on to explain that they have a tendency to become emotionally or spiritually involved in the service. I agree with Maboee because during my field research at Ga-Maphoha village, in Sekhukhune district, I have observed that some congregants in this church are moved

by hymns, becoming spiritually motivated during the order of worship. Comments by Maboee are noteworthy because from a cultural point of view, Bapedi people tend not to be interested and comfortable in a controlled solemn church, where emotions are suppressed. Maboee's observation is applicable to St Matthews Apostolic church. During my field research, it was observed that singing in this church is always accompanied by handclapping, instrumental playing and dancing and the whole church service becomes lively because of active participation during the order of service. This is also in line with the opinion of Tshukudu Monica (interview, 21 January 2018) when she explained that during the order of worship service, the congregants on their own, drawing upon their creative intelligence, use variation and gestures, re-creation and improvisation to make their renditions impressive.

### Imitation

#### Performance Techniques

Ululating (*mokgolokwane*) plays an important role in St Matthews church service, as it does in other Bapedi cultural festivals and rituals. Culturally, it is practiced by ladies in the community and used to express utmost joy (Hiltunen, 1993:36). Hiltunen further mentions that in the past there were times when missionaries thought it belonged to pagan traditions, so it was not accepted in church at all. According to him, it was later released from the ban and became commonly used in celebrations and festivities. No arguments were found why it could not be practiced; after all, it is neutral from any religious connotations and can be considered a pure expression of joy. It colours many cultural celebrations with its high, crisp tone. Ululating has become an accepted cultural expression of praise and joy also in church, and sometimes the ladies are even requested to do it by church and parish leaders. Its inclusion in the worship service means a step forward in contextualization and adds cultural values to the liturgy (Löyty, 2012:205).

During the field research, it was observed that the creative music-making takes place during a process of interaction between the congregants' musical experience and competence, their cultural practice and their instructions. Altogether this forms the *affordances* in the creative situation. The impression created during interviews and observations was that the talent for composition is based on musicality, together with certain influences that have been of importance in the development of the necessary motivation and mental attitudes such as the inspiration of composer-performers. According to Madutlela Aaron (interview, 21 January 2018), the art of composing requires a reliable musical memory.

### Agent

The congregants in this church believe that every individual is blessed with a voice which is unique and incomparable. To them, a good singer is expected to have a quality voice with the ability to produce it as per the requirement of the style of singing. Also, every singer should train his/her voice to make it sweet and melodious and produce a wide range of varieties of expressions. As such they prioritized rehearsals before the actual performances; either during worship services or during church rallies, circuit or diocese conferences. In their view, voice training requires commitment to regular practice, with sufficient time and devotion.

When asked if collective identity is formed through music, there was a consensus that it was the case. In particular, Senamela Masalesa (interview, 21 January 2018) mentioned that music, culture and identity are part of St Matthews Apostolic. I fully agree with Senamela Masalesa because during my field research it was difficult for me to differentiate between the choir leader and member of the choir in this church. Almost everybody can sing and dance without having received any formal tuition in either music or dancing. To them, music is an inborn talent enhanced by informal learning during the enculturation and transmission processes. Neither *tonic-solfa* nor staff notation is used in this church. All congregants sing from memory. The members of this church have memorised all the hymns. There are no hymn books. Through dance, the congregants have the opportunity to learn, synthesize, and demonstrate their musical ability by means of choreography. Through movement they can both perceive and express the meaning in their religious beliefs. In this church, musical intelligence involves its own rules and thinking structures, not necessarily linked to other kinds of intelligence, and creativity is thus manifestly a cultural process. In this church there are no separate terms for singing and dancing: 'the two are seen to be indivisible. In a way dancing is, rhythm made visible' (Karolyi, 1998:6). While singing the hymns, dancing involves rhythmic expressions, as diverse as the simple clapping of hands or stamping with the feet, expressive body movements. The careful use of figurative words with powerful associative meanings is observed in these hymns and the text possesses variation in poetic expression.

## Content

Participants were asked about the role of religious music (hymns) in relation to Bapedi culture. It was found that in this church, social and ethical values are communicated through hymns, while the content is largely dictated by current concerns and the way people approach them. Passing on hymns from generation to generation or giving permission to sing them involves teaching them. Failure to understand the meaning of the lyrics is not a hindrance to learning a hymn. It is in fact rare to come across any member of any church denomination who cannot explain the meaning of what he/she sings. According to Selahle Onicca (interview, 21 January 2018), for full members of the church who are in good standing, the learning of the hymns is not a matter of personal choice, but an obligation. She further mentioned that, as most of the hymns are short and repetitive, the congregants pick up the chorus almost immediately. From these observations, it is clear that the learning of music in this church therefore, is essentially the learning of moral and ethical values. Content in the context of the church refers to knowledge, skills, attitude and values to be learnt by the congregation. It is the totality of what is to be transmitted and learnt by the congregants or church choir.

## Choreographed Dance

### Social tolerance

When analyzing the data material, it becomes evident that creative music-making and music identity are two sides of the same coin, in that the former provides an arena in which the latter can be explored. These observations suggest that music is part of culture and at the same time forms culture. There is a growing body of evidence to support this view. Nelson (1999:152-155) for example, provides convincing evidence of a relationship between music and culture. He advocates that "music-making in Africa is a quest for unity and integration and is directly concerned in the education of the whole person".

It is noticeable that among the congregants in this church, practice is a known and accepted fact of the musical practitioners' life, and all music practitioners say they practice, if not every day, then at least once a week. It is difficult to determine the duration of such practicing sessions, as they differ from one group to the other, but in theory, at least, it is fairly substantial, amounting to two or three hours a week at the minimum, according to the music practitioners. The learning process of the hymns reflects communal composing whereby the choir members or congregants come together to assemble communally new compositions for worship service. Individuals contribute ideas about hymn texts, polyphonic organization, melody and overall form. The choice of language usage in the hymns is encouraged by the fact that hymns are meant for communal music-making. The resulting composition is therefore their song, not a named individual. A new composition does not come from 'outside', no matter how much individual music practitioners borrow ideas and strategies from others. The compositional voice always and ultimately emanates from within. Some hymns emerge as some are abandoned. After assembling the composition, the group selects the soloist/leader.

### Aural recall

This is how the participants remember music by ear. When asked whether memorizing music helps them to develop a mental map of the music, all agreed. They felt that by using their voices to sing the hymns, congregants can memorize long cycles of patterns with signals, breaks, responses, solos, etc. According to Tshehla Samuel (interview, 26 November 2017), this shows that by participating actively and creatively in music-making when needed, enables the participants to understand music artistically and contextually. Adeogun (2006: 3-63) adds further insight to the understanding of the concept 'aural-recall' in relation to musical creativity in African context, by stating that "art in any form, whether oral or not, in visual arts, music, dance, drama, mime or in the crafts, is an alternative in the imagination to the reality around human beings". Adeogun further emphasizes that music making is intended to provide understanding of self and other selves better, allowing more intelligent and meaningful action in all aspects of life.

### Creative product

Informal interviews indicated that involvement in the processes of music-making as well as music learning process in this church enables the congregants to acquire the ability to make music. Musical creativity revolves around the acquisition of skills, abilities, making musical sense and making musical meanings. It was further observed that while creative musical ability is developed to enable the congregants engage in musical interpretation in context, imaginative capacity is developed to enable the participants to experience the why, when and how to shape the on-going music performance in ways that are contextually, situationally, artistically, socially and personally significant. The results in Table 1 focus on singing, dancing and instrumental playing. Observations made on the learning process of singing, instrumental playing and dancing skills are listed and discussed below.

Table 1 summarizes the proposed modes of transmission in the teaching and learning process of the hymns, dancing and instrumental playing in St Matthews Apostolic Church – Maphopha Congregation. From the above discussion, it is pertinent to mention the fact that democratic values such as equality, tolerance and respect for everyone's dignity were upheld by all participants, and practices such as open discussion, a search for consensus, the opportunity to argue and exchange ideas until unanimity is reached are characteristic of communal learning in this church in particular, and Bapedi cultural context in general. The discussion above shows that learning by heart is a slow method, and enough repetitions in practicing eventually helped the learning process. From all of the above, originally handed down by memory-based music tradition, we can conclude that communal learning is highly valued in traditional Bapedi education and culture and rote memorization is the most effective method of learning.

## Discussion

Ethnographic data from the field informs us that the question of culture is becoming very important in the worship service – whereas its consideration has been generally neglected in the past. With reference to the cultural dimensions of order of worship, it has been argued that the connection between culture and religion results in as many liturgical forms as there are cultural concepts (Chupungco, 1994:153). The findings of this study show vividly that worship service and music are instrumental in expressing one's culture, particularly in today's missionary context. The study validates that facts that, education is not only in the classroom situation; *second*, collective identity can also be formed through music; *third*, religious music can also serve as a core part of culture; and *fourth*, the integration of traditional musical instruments in the worship service can help to instil a sense of cooperation in congregants and assist in promoting a worship service that is culturally embedded.

The above observations are enriched by the general agreement among scholars such as Løytt (2012:117); Murtonen (2016:210); Lund (2016:245) and Hellberg (2010:25). For these scholars, music can carry with it the meaning it has been given in different kinds of situations and environments. They believe that singing could confirm identity, indicate boundaries but could also bring together different groups and erase boundaries. It is worth noting that despite fundamental and multi-consequential changes Christianity brought about in Sekhukhune district, St Matthews Apostolic church like other independent churches has used and is still using their indigenous systems of worship. Like any system of education, Bapedi traditional religious music education, is based on some kind of philosophical foundations.

The results have also shown that in this church, learning music through participation has been a constant practice. From the observations it was also established that the learning process is largely dependent on communal composing, observation, imitation and choreographed dance. In this study, however, we observe that communal music making entails the empowerment of congregants as members of the church and society, becoming socially responsible, enriching and perfecting themselves through active musical life. From the observations and interviews, it is also evident that some musical skills observed in this church are listening, performing, aural, creativity, singing and many more. When analysing the data material, it becomes evident that creative music-making and music identity are two sides of the same coin, in that the former provides an arena in which the latter can be explored.

Reviewing the results thus far, it is clear that the hymns sung in this church possess qualities quite different from Western style music, as they stress an African sense of rhythm. The message communicated by the hymns is a reflection of what is happening within contemporary Bapedi society. According to oral and literary evidence, music-making linked to religious observances, choral singing and instrumental playing forms an integral part of educational efforts (Adeogun, 2006:5-11). During interviews and observations, it was also established that the integration of vocal music, dance and instrumental playing in the context of worship service is traditionally not an art form separate from social and cultural meanings, connections or functions. It can be concluded from the above discussion that for making any liturgical contextualization a reality and a success, a theological knowledge and cultural understanding are required. My own evaluation during field research showed that multipart hymn singing is customary in St Matthews Apostolic church services, and the popularity of hymn singing in congregational life is functionally integrated in all spheres of church life. In view of what has been discussed above, it is clear that active participation in the preparation and actualisation of a music performance is a means by which the individuals come to draw life from it as a communal property – heritage from the past and a humanizing gift for tomorrow.

## Conclusion

In conclusion, this study has revealed that music plays a crucial role in the dialogue between Christianity and culture. In view of the comments and observations established in this study, it is evident that the integration of singing, dance and instrumental playing in the context of this study could confirm identity, and communal composing is the most effective method of learning music. The study has also demonstrated that singing in own's language and worshipping God the way

one wishes, contains something of one's own identity, one's own history, own culture, as well as the identity, history and culture of a group one belongs to. Indications from the investigation suggest that "to be really touched, we need to be aware of the art in what we do, and to experience a hymn as a work of art, we need to sing in a language we know, a language we understand and a language we feel" (Kloppers, 2016:82). The findings which have been presented in this study will help us to understand how creative imagination plays a very important role in cooperative learning among congregants in the learning of hymns in the church worship context.

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**Tables**

Table 1 below shows a proposed diagram of the learning progression through participation.

**Communal Composing**

Participation	Repertoire & Musical Instruments	Repetition
Participation differs with respect to performing roles.	Hymns/songs are tied to social ideas and practices	The singing, dancing and instrumental playing are repeated innumerable times until participants have mastered every detail.



**Observation**

Call-and-response	Coordination	Gestures and Actions
The pattern allows for spontaneity and self-expression.	Different movements are choreographed into a complete performance of singing, instrumental playing and dance.	Dimensions of rhythm



**Imitation**

Performance Techniques	Agent	Content
Learning through slow absorption and unconscious internalization of the sounds.	Congregants	Specific at hand.

## Choreographed Dance

Social tolerance	Aural recall	Creative Product
Learning through discovery. Attending church services, choir rehearsals, church rallies and conferences.	Learning through demonstration and memorization. Internalization.	Originality. Spontaneous movements. None of the dancers imitates the other.

**Table 1: Proposed diagram of learning progression through participation.**

### Figures

#### Figure 1

St Matthews Apostolic Church: Maphopha Congregation (Ga-Maphopha village, Sekhukhune district – Limpopo Province in South Africa, 10.12.2017), Photographer: Morakeng Edward Kenneth Lebaka.



## Ecological Transformation in Bulgaria – New Challenges to the Businesses and the Government

**Ass. Prof. Dr. Vania Ivanova**

Department of Economics, University of National and World Economy, Bulgaria

**Ass. Prof. Dr. Irena Slavova**

Department of Marketing and Strategic Planning, University of National and World Economy, Bulgaria

### Abstract

The ecological transformation of the economy poses a number of challenges to the businesses and the government, whilst environmental responsibility in recent decades has been increasingly taken up by a growing number of companies, regardless of their size, business activities, or sector of operation. **The objective** of research is to analyse what incentive policies the government should set up to promote the ecological transformation of Bulgaria's economy and what environmental business practices and environmental management systems the firms operating in the Bulgarian market have in place. The analysis is based on an empirical study conducted with 200 business organisations. The results show that the low level and limited scope of the environmental responsibility applied in Bulgaria are associated with the absence of a clearly defined macroeconomic framework for encouraging investments in innovative sustainability and energy efficiency technologies. The conclusions indicate that in order to intensify ecological transformation, a targeted, systematic and rapid macropolicy reform is required (promoting development and deployment of innovative resource and eco-friendly technologies; changing the logics of eco-fiscal policy; ensuring more efficient funding of the ecological transition; activating the financial markets by introducing new instruments of public-private partnership, etc.). The added value of this paper is not only in the analytical examination of the new challenges, but also and above all, in outlining the direction and deriving recommendations for implementing future actions. The methodology employed is based on primary and secondary investigations, statistical and analytical methods of interpreting data, and identifying the major dependencies and issues.

**Keywords:** ecological transformation, eco-fiscal policy, ecoinnovations, environmental responsibility

JEL: Q50, Q51, Q56, Q58

### Introduction

Ecological transformation of the economy is a possible alternative for future development and dealing with crises in most countries around the world. There is potential for development of this type of economy in Bulgaria. It should become a priority axis. Not just because this transition is necessary, but also because it is part of the concept for a competitive, dynamic economy which meets European standards. Evolving towards a new, viable, resource-efficient and environmentally friendly development model is a prerequisite without which not only long-term but also the mid-term development of our economy would become more and more difficult. This makes the need for funding a new model of social and environmental development so pressing today. The challenge is mostly in the national context, but it is also part of our country's European and international commitments in this direction. This means using the restrictions related to environmentally friendly production as leverage for economic and social development on the one hand, and as a catalyst of the process related to income growth and reducing social inequality, on the other.

The green transformation of the economy is also a way to obtain future prerequisites for growth. The reason for this is that the transition from a production based on extraction and consumption to more complex development regimes would lead to long-term growth strategies. Future competitiveness will be a function of energy efficiency and resource management (Ivanova et al., 2016). Although to present date Bulgarian companies are under serious threat of growing costs and losing competitiveness relative to the rest of the world, undertaking stable environmental commitments represents a serious investment in the future (Gechev et al., 2013).

The environmental transition requires a change in the development model. It affects all sectors – from transport and energy to construction and industries. Environmentalization leads to the emergence of new technologies and new actors, changes the status quo of traditional industries and imposes deep changes in the legislative, fiscal and social framework. Last but not least, such a transformation requires unprecedented reallocation of investment flows towards sustainable projects which meet the new needs of future development.

Ecological transformation of the economy poses a number of challenges for the businesses and the government, and environmental responsibility in the last decades has been turning into a more and more widespread practice among a growing number of companies, regardless of their size, activity and the sector of operation.

The application of environmental practices and business decision-making regarding the forms of corporate environmental responsibility to be undertaken by companies are affected by the political measures for encouraging it. A number of empirical studies in academic literature show that the nature and type of corporate socially responsible practices can be interlinked with the national and regional policy (Albareda, L. et al.2008, Steurer, R., 2011, Matten and Moon 2008, Slavova, I.2013) in the respective country where they are implemented.

**The aim** of the study is to analyze what environmental business practices and environmental management systems are applied by companies operating on the Bulgarian market, and what incentive policies should be applied by the government to encourage the ecological transformation of the Bulgarian economy.

### Review of literature

Although serious interest towards this problem has emerged in the past fifteen years, it is not something new for the academic circles. In the 80s of the 20<sup>th</sup> c., many researchers focused on the tendency for technologization and economization of ecology (Lockie *et al.*, 2013; Charles *et al.*, 2014). While the analyses initially focused on studying public policies and company strategies (Mol *et al.*, 2009), today the focus is more on the usual practices applied in production. In order to reduce the negative impact on the environment and the pollution effect related to the production activities of companies and household behaviour, public authorities traditionally use tools which regulate the activity of economic entities (Ivanova, 2013). They intervene directly on the market – through the price system(introducing taxes, fees, contributions) and the use of emission permits.

The most credible hypothesis regarding the ecological transformation of company behaviour holds that this gives rise to both economic and environmental advantages. From an economic perspective, such a transition provides companies with a number of opportunities (Boiral and Croteau, 2001; Lanoie and Tanguay, 1999). Prerequisites are created for reduction of part of the company costs, product diversification and better market positioning, as well as compliance with the high number of institutional requirements(Bansal and Roth, 2000; Preston and Sayin, 2000; King and Lenox, 2001). The application of circular economy principles related to waste management and reuse, for example, offers efficient alternatives to the problems deriving from the rapid increase of production-generated waste(Fricke, 2003; Boiral and Croteau, 2001). Environment-related issues are coming out of their belligerent and imperative phase, and are turning into *high tech ecology*, dominated by economic rationality (Harvey, 1996). Ecological transformation is to some extent provoked and implemented in parallel with market changes (Rudolf, 2013), which leads to the mutual benefit for both companies and the society.

The opinion that has been established in theory and practice for decades is that through the implemented CSR initiatives integrated in the company activities and linked with its strategic goals, they can create benefits for the businesses and the society (Husted and Allen, 2007; Porter and Kramer, 2006). Corporate environmental responsibility, as one of the subconstructs of “the responsibility of enterprises for their impact on society,” according to the new definition of corporate social responsibility (CSR) of the EC (EC, 2011, p.6), has its own identity and defining role for business sustainability and ecological transformation of the economy. The additional efforts of companies which integrate environmental considerations into their business operations and interactions with stakeholders (Williamson et al., 2006) can reduce the environmental consequences of implemented business activities, created products and used facilities. Among the various definitions of corporate environmental responsibility found in academic literature(Rahman, N., and Post, C., 2012), we take the view that it is “...a set of initiatives aimed at mitigating a firm’s impact on the natural environment. The initiatives can include changes to the firm’s products, processes, and policies, such as reducing energy consumption and waste generation, using ecological sustainable resources, and implementing an environment management system. The concept of corporate ecological responsiveness refers not to what a firm should do, but to the initiatives that reduced the firm’s ecological footprint”(Bansal, P. and Roth, K. 2000, 717).

The various initiatives undertaken by committed companies in relation to environmental issues and integrating environmental considerations in their business operations can be summarized in three, not mutually exclusive, widely adopted approaches: (1) process-oriented approach, through which environmental considerations are embedded in company activities; (2) market, results-oriented approach, embedded approach; (3) community-oriented approach, non-embedded approach (Maon, F. et al. 2017).

Corporations which adopt the process-oriented approach direct their efforts towards the development and implementation of initiatives for measuring and limiting the negative environmental impact of their activities through technical improvements and innovations, risk mitigation programmes, pollution prevention schemes (Moon, J., 2007), accountability reports and codes of conduct for employees and suppliers. This approach covers the processes related to mitigating environmental problems, which are integrated at different levels of the organization and aim mainly to reduce costs and risk (Carroll A., and Shabana, K., 2010).

In the market-oriented approach, whereby companies integrate environmental considerations in their business activities, the focus is on results and not on processes. Corporate participants focus on the development of products and services with an explicit or implicit environmental responsibility dimension in order to meet the expectations and wishes of specific stakeholders, mainly consumers (Pivato, S. et al., 2008). The aim is to maintain continuous interactions with external stakeholders, as well as their trust in corporate activities, products and services. (Venhoeven, A. et al. 2016).

Companies allocate corporate resources for actions (supporting different environment-related causes) which aim to contribute to the local communities, improving the quality of living, promoting and improving human welfare and achieving environmental management. Environmental responsibility is directed towards the implementation of practices, mainly peripheral to the main business processes and activities. Companies implement environmental initiatives through employee volunteer programmes, philanthropic donations or sponsorships supporting environment-related causes. Corporate environmental responsibility offers them a means for enhancing their corporate license to operate (Porter, M., and Kramer, M., 2006), and is not viewed as an opportunity to create or strengthen their business value in the long-term perspective.

Focusing on one community-oriented approach, where environmental responsibility as a subconstruct of CSR is not embedded in company activities and business operations, or the adoption of only two approaches (process and community-oriented) seems insufficient for overcoming the complex challenges which emerge in the interaction between the business, society and the environment (Maon, F. et al. 2017).

In order to achieve the ambitious goals of the EC underlying the updated CSR strategy for creating "shared value", sustainable growth (European Commission, 2011, p. 5) and ecological transformation in company behaviour, it is necessary to develop and implement innovative actions directed towards the processes embedded in companies' business activities, creating environment-friendly products and services, as well as environment-related causes. It is necessary to encourage the introduction of measures and policies which represent a solution of this type, "win-win" (Rumpala, 2003).

## Methodology

The research tasks underlying the implementation of the aim of the study can be summarized as follows:

First, present the state of environmental responsibility implemented by business organizations operating on the Bulgarian market by uncovering the motives and obstacles for the implementation of various forms of environmental practices and environmental management systems;

Second, analyze the capacities of the government to encourage and facilitate the ecological transformation of the Bulgarian economy, through public resources, eco-fiscal measures and suitable incentive policies.

The following hypothesis and sub-hypotheses correspond to the research tasks:

Hypothesis: The ecological transformation of the Bulgarian economy requires the implementation of incentive policies by the government, which would encourage business participation in the implementation of environmental practices.

H 1.1 The environmental responsibility of the businesses in Bulgaria is characterized by a low degree of implementation and limited scope.

H 1.2 Changing companies' environment-related behaviour requires incentive public policies, which imposes the need for measures for their intensification.

Confirmation of the hypothesis thus formulated is based on the results of an empirical study of the CSR of 200 business organizations, the predominant part of which were small and medium-sized enterprises. Their structure in terms of number of employees is shown in Figure 1, using the EC classification of small, medium and large enterprises. The companies which took part in the study operate on the Bulgarian market in the industrial sector and services sector, and have different main subjects of activity: Production – 43%, Trade – 26 %, Services – 13%, Construction – 11%, other – 7%).

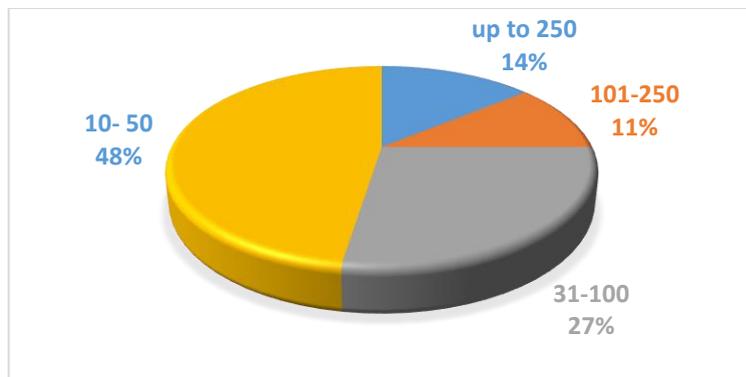


Fig1. Number of employees in the companies which took part in the study

Only results related to one CSR subconstruct – environmental responsibility – are reviewed here. This part of the study comprises three main groups of questions: general information about the companies/ profile of studied companies(5 questions); the second group of questions relates to the attitudes towards environmental responsibility(8 questions). The questions related to the implementation of environment-related initiatives form the third group – a total of 10 questions. Since the answers are not mutually exclusive, the respondents could select the responses freely(often, more than one response).

The research method used is based on structured personal interviews with leaders from the respective companies, believed to be suitable for obtaining a deeper understanding in social studies. The respondents are at different positions in the hierarchical structure of the companies. The predominant part are leaders at the highest management level - managers(36.2%),owners(29.2 %), as well as human resources specialists(25.3 %) and other employees(9.3 %).

Analytical and statistical methods for data analysis were used, including descriptive statistics and correlation analysis, as well as a comparative method in the interpretation of the obtained results.

## Results and Discussion

In order to obtain a better picture of the business behaviour, it is necessary to analyze the ways and reasons why companies assume environmental responsibility, on the one hand, and the degree, scope and characteristics of the types of implemented initiatives, on the other.

Table 1 shows, through indicators of descriptive statistics, how the companies participating in the study view the various aspects related to environmental responsibility.

Table 1 Attitudes towards corporate environmental responsibility

Attitudes towards corporate environmental responsibility	Number Respondents	Mean	Std. Dev.	Min	Max
Supporting environmental conservation initiatives /donations, voluntary work/	200	3.94	1.77	1	5
Attitudes towards additional environmental requirements to supplier	200	3.51	1.68	1	5
Attitudes for the use of environmental management systems (ISO 14 001, EMAS)	200	2.85	1.59	1	5

Attitudes for the application of environmentally responsible practices (energy efficiency, improving business processes, etc.)	200	4.02	1.93	1	5
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Source: Authors own work

Note: The Likert Rating Scale was used(5 – Very suitable; 4 – Somewhat Suitable; 3 – Somewhat unsuitable; 2 – very unsuitable; 1 – I cannot say).

The results show that companies rather approve the implementation of environmental responsibility. Assuming environmental responsibility is related to knowing the benefits, managers' motives in taking decisions for their implementation, as well as the obstacles before its implementation. The attitudes towards implementation of environmental practices related to improving business processes have the highest mean (4.02) and are derived from the beliefs of the businesses that activities related to improving processes for reducing environmental pollution, enhancing energy efficiency, waste reduction and recycling, etc., will contribute to achieving long-term success for the business (47.5 % of respondents, with more than one response given). Managers' ethical considerations and values regarding the environment(51.5 % of respondents list care for the environment as a motive) form their positive attitude towards participating in initiatives supporting environmental conservation causes(mean - 3.94).The application of additional environmental requirements to the supplier (mean – 3.51) and implementing environmental management systems (mean - 2.85) are not largely approved by businesses in Bulgaria. According to 56 % of all companies participating in the study (112), it is appropriate to introduce additional environmental requirements to the supplier, and only 58 respondents(29 % of all companies) believe that it is appropriate to apply environmental management through certification under standards ISO 14 001 and / or EU Eco-Management and Audit Scheme (EMAS). To a certain extent, these two aspects are related, taking into account the existing tendency worldwide that it is mainly MNCs that set requirements for their suppliers, often related to being certified under international standards(Boeva, B., 2015). This tendency has not yet manifested as an established practice in Bulgaria.

Assuming environmental responsibility predetermines decision-making for its implementation and reflects on the degree and scope of implemented environmentally responsible initiatives. The state of corporate environmental responsibility of business organizations operating on the Bulgarian market is shown in a systematized way on the basis of the study (Table 2).

Table 2 State of corporate environmental responsibility

	Number of companies	%
Attitudes towards implementing environmental responsibility	170	85
Degree of implementation of environmental responsibility	140	70
Applied types of environmental responsibility (implemented environment-related initiatives)*		
Initiatives supporting environmental conservation (donations, voluntary work, etc.)	141	77,5
Reducing environmental pollution by improving production processes	43	21,5
Energy efficiency	86	43
Waste recycling and reduction (use of recycled materials)	45	22,5
Environmental products / environmentally friendly products and services	16	8
Degree of knowledge about environmental conservation systems (ISO 14 001, EMAS)	74	37
Degree of application of environmental management systems (ISO14 001)	34	17

Source: Authors own work

\*Multiple choice

Table 2 shows that the degree of application of practices is not high. The most preferred type of initiatives carried out by the business organizations participating in the study is in support of environmental causes(educational initiatives), donations of funds, products, technical assistance in the event of disasters, and employee participation in voluntary programmes. These initiatives are usually one-time(65% of respondents), not related to the main activity of the company, which does not enable the integration of environmental considerations in the company's business activities.

Activities directed towards enhancing energy efficiency are among those most frequently implemented by companies(43 % of respondents, with more than one response given), knowing the benefits for the business and the environment. The determinant factor here is mainly the access provided to the business to funding for energy efficiency measures from EU funds under the Operational Programmemes for the two Programmeming periods 2007-2013 and 2014- 2020.

Initiatives related to improvement or upgrade of production processes with view of efficient use of natural resources, waste reduction and recycling, etc., are implemented by a small number of companies participating in the study (21.5 % - with more than one response given). The most common obstacles listed are lack of resources (financial, human, technological) - 61% of respondents, with more than one response given; lack of government support - 42 %; lack of knowledge (13%).

The creation of products and services directly or indirectly related to environmental responsibility is not among the activities carried out by companies (only 8 % of all respondents, with more than one response given). Although the market for "green" products is expanding in Bulgaria, a number of social and economic factors do not have a favourable impact in this direction – consumers' requirements towards the products offered are not high (improving relations with customers is listed as a motive for implementing environmental responsibility by a small number of companies – 28.5 % of respondents), their payment capacity, consumption culture and existence of a market, the lack of adequate incentives from the state.

Together with environmental practices, the implementation of environmental management systems, helping to regulate both the individual and the collective behaviour and achieve environmental goals, is widely applied with view of mitigating environmental impact (Kerwer, 2005; Seidl, 2007).

The application of the ISO14001 and EMAS standards (only these two standards are reviewed since they are believed to be the two most widely known in Bulgaria) related to environmental management contributes to the protection of local community rights by applying pollution control measures. The standards set out criteria for assessing the organization's environmental indicators, and the focus is on actions which should be undertaken in order to reduce the harmful impact the business organization might have on the environment.

The findings show that companies are not acquainted with the voluntary environmental management standards (37% of all respondents). This is especially characteristic of European voluntary mechanisms (EMAS and eco-labels). The degree of application of the ISO14001 standard is also low (17% of all companies), and even the companies that have implemented this standard do not intend to implement EMAS.

The analysis we carried out of the nature and type of environmental initiatives gives us grounds to conclude that they have a low degree of application and limited scope. From the point of view of the characteristics of implemented environmental initiatives, the conclusion is that corporate participants focus their environmental responsibility efforts on community development and practices for participation in supporting causes related to environmental conservation. The Bulgarian business organizations that participated in the study seem to be less inclined to integrate environmental problems in their business processes and daily activities related to the development of products and services with an explicit or implicit environmental dimension, which can be seen from the absence (with the exception of 16 companies) of corporate environmental responsibility.

The ecological transformation of businesses' behaviour can be carried out by the combined implementation of the three approaches studied. Integrating environmental considerations in the business activities and company strategy requires the implementation of process-oriented initiatives and market-oriented approach in the corporate environmental responsibility. This is not possible without active support from state policies and overcoming existing obstacles for environmental practices implementation (lack of government support, lack of financial and tax incentives, limited financial resources, insufficient knowledge and capacity for environmental innovations, especially among SMEs (Slavova, I., 2016).

These findings give us grounds to believe that sub-hypotheses 1.1 and 1.2 have been confirmed. This brings to the foreground the need for targeted actions by the government for encouraging companies in the process of their ecological transformation.

#### **Macroeconomic policies** supporting ecological transformation

In order to carry out the transition to a "green economy", it is necessary to have several basic preconditions in place. Some of them are:

*National legislative framework* – introducing a strict legislative framework in the field of the environment;

*National policy* directed towards a "green economy" – changes in the fiscal policy; increasing "green" public procurement;

*Subsidies and other material incentives* for the private sector – subsidies only for "green" sectors and avoiding funding of production which is harmful for the environment;

*Private investments* for "green economy" – encouraging the private sector to increase investments;

*Appropriate infrastructure* – creating conditions for quick, easy and environmentally friendly production;

Predictability of the policy in this field is extremely important for investors and represents a factor for the efficiency of their investments. One indisputable obstacle is the lack of security in institutional regulation, i.e. the consistency with which different governments in the country develop (and in the ideal situation – apply) legislative measures fostering the development of such sectors.

Several directions can be formed to mobilize resources for the implementation of such a transition and launching a new social and environmental development model.

#### 1. Long-term transparency and predictability of the macroeconomic policy in the field of ecological transformation

Improving the predictability and guaranteeing consistency in the applied regulatory (normative) and economic measures is the first step towards the sustainability and effectiveness of such a policy. Since this is a long-term strategy that requires a long process of adaptation and behavioural change, the investment intents and capabilities of companies, the state's commitment with specific long-term goals will to a large extent facilitate companies and "hint" at sustainable and serious intentions.

In this sense, a long-term strategy relating to the priority sectors, commitments in the field of scientific research, innovations and support for companies with interests in the field of a green economy would be additional guarantees for the state's serious ambitions in this direction. In this respect, the focus could be both on eco-fiscal measures (increasing already existing and introducing new green taxes) and restructuring public investments and creating a favourable economic environment for SMEs engaged in the process of transition towards green production.

#### 2. Expanding the number of applied financial instruments

The mobilization of new private and public financial resources is of special importance in the process of coordinating efforts for redirecting this resource towards new products and technologies related to green production and environmentally friendly methods. This public private partnership can be realized both through already existing institutions (BDB) and the establishment of new ones. In addition to offering new alternatives for private investors (with higher guarantees), such instruments would facilitate access (at better conditions) to fresh financial resources for SMEs engaged in the transition to green economy.

A significant breakthrough in this direction could come from the development, promotion and fostering of socially responsible investments, including encouraging those through purely economic instruments on the financial markets.

#### 3. Change in the information environment

The promotion of good practices, training experts in the field of impact assessment, risk identification and profitability of green investments, creation of fund management experts and financial intermediaries in the field of environmental investments would favour not just increasing interest, but also the effectiveness of the use of this resource.

The country has significant green potential. In order to master it, however, it needs to act strategically, systematically and on a large scale. This can lead to diversification of the export basket and emergence of new jobs in sustainable sectors.

The environmental approach and establishment of a green economy is a new paradigm which requires a number of changes. In order to assist this transformation, public authorities have a number of impact levers:

The eco-fiscal policy with the whole range of negative and positive instruments;

Allocating serious public resources for scientific development and innovations in order to increase the R&D capacity;

Assistance for the development of various financial products and instruments to mobilize private sector investments and facilitating small and medium-sized enterprises (SMEs) to get access to funding;

Improving information support in order to facilitate decisions of economic entities (investors, savers and consumers) – of decisive significance here are the declaration and commitment by the state, introduction of statistical indicators for assessment of the green sectors' activity, lobbying for the concept of company environmental responsibility;

Promoting "green professions" and the skills for the needs of relevant sectors.

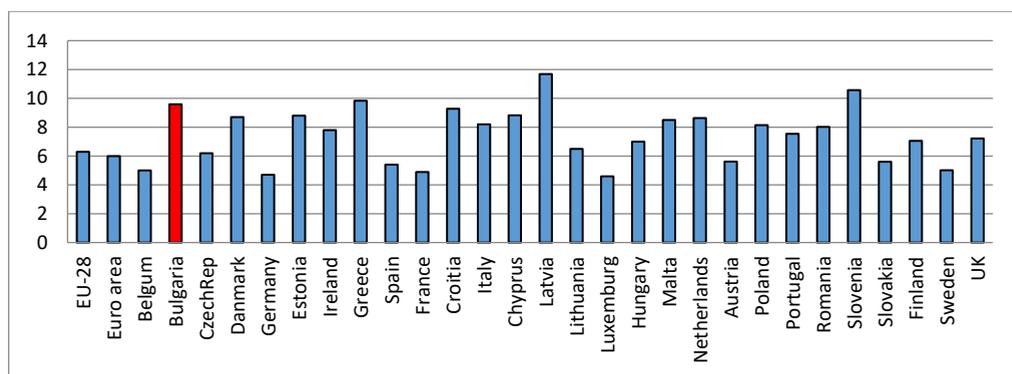
This paper focuses on the first three levers.

The eco-fiscal policy aims to make national production more rational from an environmental point of view, while encouraging technological innovations. Eco-taxes not only lead to less pollution, but also create an opportunity for encouraging innovations related to the introduction of new production methods or products, which, in turn, reduces the tax burden for companies. Such innovations lead to less damages to the environment and lower production costs.

### Eco-fiscal policy

Bulgaria applies a set of tools for integrating the environmental policy in the sectoral and regional policies as the basis for sustainable development. For the time being, compliance with environmental standards is mainly achieved via control and prohibitory measures. In this sense, attention should be focused on a transition from the currently predominating negative measures (eco-taxes, eco-fees, penalties) towards an eco-fiscal policy that shapes and inspires responsible environmental behaviour.

The share of eco-taxes in the total tax revenues and social insurance instalments in the EU is growing, although not at the desired rate. Bulgaria is following this general tendency, and the percentage for the country is 9.57(2016), which ranks it among the countries with the highest share of eco-fiscal revenues as a percentage of the total revenues (Figure 2). The reason is the fuel excise tax and transport taxes, which rank high and are relatively easy to collect. These taxes, however, do not lead to an effective and permanent change in the company environmentally responsible behaviour or a serious motivation for change.



Source: Eurostat

Fig.2 Environmental tax revenues in EU(as % of total revenues from taxes and social contributions), 2016

Meanwhile, taxes on income from labour amount to 51 % of the total revenues from taxes. Redirecting taxes on income from labour to environmental taxes and taxation of unsustainable goods and services has significant potential for improving the state of the environment and natural resources preservation.

First in the implementation of such an eco-fiscal transformation comes the need to define, within each of the main directions of the environmental policy (climate change, resource consumption, countering pollution), those fields where the measures for "greening" the eco-fiscal policy can be a driver for change in the behaviour of economic entities. Thus, together with regulatory instruments and in close cooperation with local authorities, better results should be required.

Making the eco-fiscal policy more dynamic requires compliance with several conditions:

All eco-fiscal measures should be directed towards the implementation of clearly defined environmental goals

The eco-fiscal policy should be clear and comprehensible

It should closely integrate the economic interests of companies and the public interest

Eco-taxes should not be used as a tool for budget revenues

It would be useful if revenues from eco-taxes were allocated to a separate dedicated fund for financing environmental projects

Positive eco-fiscal policy is preferable to a negative one

The eco-fiscal policy measures should lead to visible and quantitatively measurable results

All of the above justify more general recommendations for an eco-fiscal reform directed and motivated by the need for environmental conservation. This reform should be based on several clear and simple principles:

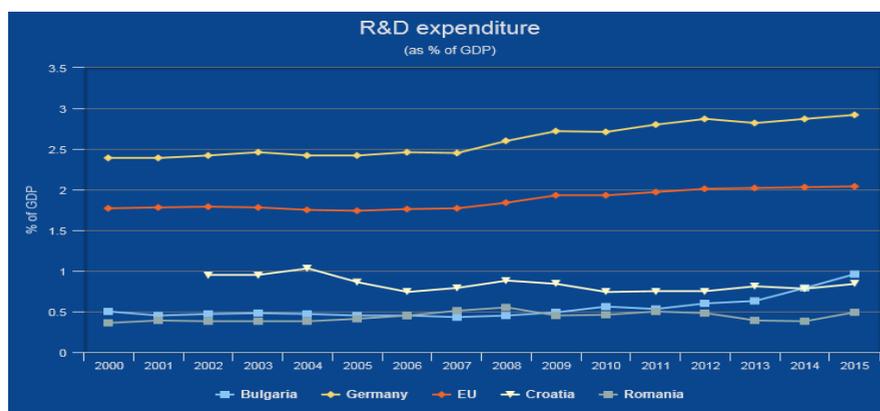
1. The government should suspend subsidies (including through fiscal advantages of activities leading to environmental pollution(transport, energy sectors)
2. Eco-taxes encouraging behavioural change should be applied as a priority, i.e. high tax rates based on strictly defined specific tax base. Pollution should be reduced at the source(“the polluter pays”) rather than expanding tax revenues with a potential reallocation effect.
3. Eco-fiscal measures should promote the production of environmentally clean products, implementation of environmental technologies and the development of the eco-industry as a whole.
4. Restoration of the market principle that the price should accurately reflect incurred costs, and environmental effects should be internalized therein via eco-fiscal instruments
5. Progressive and gradual expansion of the tax base, including new types of activities subject to eco-taxation(water and soil contamination related to agricultural activities – application of pesticides, phosphates and other chemical fertilizers, air pollution).
6. A change in the overall philosophy of the fiscal policy and introduction of new laws binding the fiscal and the environmental policy more closely. One such example is the law for prevention and remedying of environmental damages, adopted in Bulgaria in 2008 in response to European laws on environmental responsibility.

It should be taken into account that the eco-fiscal policy is not separate from the fiscal policy as a whole, and even less – from the budget and social ones. It should be viewed as an integral part of the fiscal system whose main goal is the consistent and progressive reduction of social and environmental inequality.

### Support for eco-innovations and “green” entrepreneurship

At the national level, any “green economy” strategy presupposes a review of the environmental conservation policies in the wider context of innovations and economic results. From this perspective, state policy plays a major role in the economy for encouraging and increasing eco-innovations and growth.

Undoubtedly, budget costs for R&D in the environmental field are a significant indicator of the degree of priority of the sustainable development policy. In Bulgaria, these costs are too low (under 1% of GDP), with a slight increase after 2014, but still far behind the target rate of 3%.



Source: Eurostat

Fig.3 R&D expenditure (as % of GDP)

Data show that the costs for scientific research in the environmental field are still not of the required priority. In 2015, their share was 0.96%, the average EU indicator being 2.03%, and that of the Eurozone – 2.12%. Mechanisms for attracting more private investors in these projects and establishing adequate co-financing mechanisms are still not applied to the required degree. Implementation of these investments means allocating about 6% of the country's GDP for many years to come.

One possible and necessary direction of action on the part of the state is to reallocate existing national resources and allocate additional funds for national research and applied programmes related to the accelerated development of eco-technologies and technological upgrade of companies. Naturally, this takes place within the restrictive context of budget restrictions imposed by the Stability and Growth Pact. This is why it is important to focus on the promising and competitive sectors with export capacity, even though they are not necessarily those with the fastest and highest rate of return in the short-term and even in the mid-term perspective.

The transformation is still in its beginnings and the process is slow and cumbersome. Among the main obstacles are the following: insufficient awareness of the managers and entrepreneurs; conservative attitude on the part of the businesses (fear of the new and unknown, wish to bet on what has been tried and tested); the lack of will for radical changes; insufficient resources for technological upgrade and application of new environmentally friendly and resource-saving technologies; insufficient motivation; lack of qualified staff.

The following table summarizes one possible set of measures aimed at encouraging eco-innovations.

Table 3 Macro policy supporting eco-innovations

Reason	Potential measures
Insufficient demand for eco-innovations	Application of "green taxes" and other market instruments for valuation of external effects and creating incentives for demand; Application of supply-related instruments, such as public benefits, norms, regulations, etc.
Lack of innovative capacity	Actions of a general nature aiming to strengthen the innovative capacity
Technological obstacles and absence of radical innovative ideas	Investments in research and development in the relevant fields, priority funding for research projects by the Scientific Research Fund; International technological exchange
Little interest from the research community towards eco-innovations	Support and incentives (including fiscal ones) for R&D; Financial support measures; Setting up awards for scientific achievements in the field of eco-innovations
Insufficient funding	Establishing dedicated co-financing funds; Public private partnership; Expanding the possibilities for European funding
Administrative obstacles and barriers to starting a new business	Simplification and facilitation of procedures; Using the competitive policy leverage in these fields
Lack of capacity in the small and medium-sized business for green investments	Access to funding; Information services and enhancement of competences; Integrating SMEs in technological parks (centers); Reduction of costs related to the process administration.

Encouraging environmentally effective innovations is obviously one possible activity which is beneficial for all participants and should be fully used with view of implementing the Europe 2020 goals. Innovations which contribute to reducing environmental pollution, deployment of products whose production consumes less resources, and more efficient resource management, all contribute to and accelerate growth and increase employment, while also creating opportunities for overcoming the dependence of economic growth on resource consumption and pollution.

The measures related to restricting negative secondary effects, low carbon production and environmentally friendly activities are a social commitment, but are also new economic opportunities for the companies offering environmental goods and services. Support for the SMEs, through the creation of a favourable economic environment for development, funding and production of similar products, is of special significance.

### Support for SMEs

Financial support for SMEs could be provided in three directions: innovations, guarantees and co-investment. There is a great diversity of incentive measures – preferential interest rates, simplified regime of granting loans for "green investments", financial support for innovative projects of environmental and social significance, support in export, etc.

These functions can be implemented with a certain provisionality from the Bulgarian Development Bank, or perhaps better, by a newly established special institution in close collaboration with the “Investments for the Future” Fund. This is the European practice in a number of countries. The support of such a state institution goes through a wide range of activities – project engineering, reimbursable advance payments or zero-interest loans, guarantees for loans from other financial institutions, co-financing with private banks, etc.

SMEs need:

Preferences and additional guarantees by a dedicated fund for “green” loans, as well as specialization of certain banks in such funding;

A step in the right direction would be mobilizing BSE to support smaller eco-industrial companies for which it would be difficult to enter stock exchange markets with small bond issues, since investors prefer big, ranked nominals. In this sense, potential grouping of the issues of several eco-innovative companies into a joint collective fund would be an alternative to the present practically blocked access to stock exchange markets. Thus SMEs would have another way, rather than turning to banks, to fund their eco-investments, and investors – a new form of diversifying their portfolio.

Mobilizing public private partnership to fund the “green economy” also provides good opportunities.

In order to encourage growth and improve the prospects for economic development while “environmentalizing” this growth, it is necessary to change the structure of investment flows in parallel with significant investments in suitable infrastructure, transport, energy and environment, in particular. To this end, the obstacles hindering and discouraging institutional investors (pension and insurance funds) to invest in the infrastructure required for the development of a “green economy” should be identified and removed. These obstacles vary in nature – lack of traditions and experience in such investments, lack of sufficiently reliable statistics (on results, profitability, costs, risk) to allow clearer and stricter determination of the profitability and benefits from such an investment, lack of innovative financial instruments and products (including from the stock exchange) as an attractive alternative to traditional forms of investments.

## Conclusion

Despite the numerous evidence of the priority significance and key role of green production for the future economic development, including those put forward by the European Commission in recent years, in Bulgaria the potential of the green economy is groundlessly underestimated and is still not fully recognized or utilized for achieving “eco-growth” and growth in employment rates.

The ecological transformation of the behaviour of businesses can be carried out by increasing the number of companies which implement corporate environmental responsibility, as well as their wider participation in the diverse range of environmental protection initiatives. Companies integrate environmental considerations in business operations and company strategy by applying a process-oriented and market results-oriented approach to corporate responsibility. The analysis showed that the business organizations operating on the Bulgarian market face a number of restrictions in their application, including inadequate support from the government. On the other hand, the Bulgarian government is not utilizing the potential of different instruments of macroeconomic policies to encourage environmental behaviour.

This leads to the conclusion that the main hypothesis put forward has been confirmed – the ecological transformation of the Bulgarian economy poses challenges for the government to undertake incentive policies for a more effective and large-scale approach to environmentally responsible behaviour of the businesses.

In order to intensify the ecological transformation, the following is required:

Targeted, systematic and expedient reform in macro policies (encouraging the development and implementation of innovative technologies – resource and environmentally friendly, changing the logic of the eco-fiscal policy, more efficient funding of the environmental transition, activating financial markets by introducing new instruments of public private partnership, etc.). The businesses want security and would invest more and more in technologies for sustainability and energy efficiency only if they have a common framework outlined in advance to foster this activity.

Large-scale and regular policy, not just campaigns, for raising awareness of the resulting benefits for society and the economic entities from green sectors development, promoting good practices in the field and new opportunities for development of such production;

Better utilization of the opportunities offered by European Structural funds and the “Science and Education for Smart Growth” operational programme, in particular, for encouraging the development of environmental innovations on the one hand, and meeting the new educational needs of the businesses, on the other;

To look for new and improve the current forms of partnership between the public and private sector for funding the transformation of the current model. The European funds should not be the only sources of funding, the businesses and public-private partnerships need to become more active.

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## The Acculturation and Ethnic Identity of the Albanian Immigrants in Italy

PhD Candidate Matilda Brokaj

PhD Rezarta Brokaj

### Abstract

Acculturation is defined as a process of psychological and behavioral change in people and groups due to their long-lasting contact with another culture (Berry, 1980; Berry & Sam, 1997). Culture is dynamic, constantly changing through social interactions (Handwerker, 2002). Moreover, people today live in different cultures and therefore, they are always altering. The host culture and that of immigrants are transformed through their interpersonal and intercultural experiences. In this context, the problem is how to describe and measure changes that occur during acculturation. On the other hand, it is true that ethnic identity has survived even within a culture other than that of origin. Instead of being assimilated, members of ethnic groups have implemented a more complex form of adaptation. These people have not only acquired the ability to integrate within a host culture (acculturation), but have also preserved some characteristics of their culture of origin (ethnic identity) (Mendoza, 1989). Albanian immigration to Italy has such peculiar characteristics as to make it one of the most relevant study case for the sociology of ethnic relations. For this reason this research work is about the study of possible differences between Albanians in Albania and Albanian immigrants to Italy. In this way we analyze: 1. The attitudes of the Albanians who immigrated to Italy towards some Italian and Albanian foods; 2. The acculturation and ethnic identity of the Albanian immigrants to Italy.

**Keywords:** acculturation, ethnic identity, Albanian immigrants, scale of acculturation, scale of ethnic identity, food

### 1. Introduction

So as to analyze the degree of acculturation and identity of Albanian immigrants to Italy, it is also important to consider the **scale of acculturation and ethnic identity**, which is widely used in research works conducted with immigrant participants (Laroche, Kim, Tomiuk, 1998; Zea, Asner-Self, Birman, Buki, 2003; Lim, Heiby, Brislin, Griffin, 2002; Dacosta and Wilson, 1996; White and Kokotsaki, 2004, etc.).

There are two different perspectives to measure the process of adaptation of immigrants. The first is a bipolar linear model (Phinney, 1992). According to this model, a person, by acquiring aspects of the host culture, at the same time, loses aspects of its culture of origin. Therefore, we risk confusing ethnic identity with acculturation. The second model, which is more complex, emphasizes the fact that adaptation is a multicultural process (Mendoza, 1989). Thus, the acquisition of traits of the dominant culture is not necessarily positively correlated with the loss of ethnic identity. For this reason, some studies employ independent scales to measure ethnic identity and acculturation (Laroche, Kim, Tomiuk, 1998; Zea, Asner-Self, Birman, Buki, 2003; Lim, Heiby, Brislin, Griffin, 2002).

In line with this second perspective, Berry (1990) classifies the possible results of ethnic identity and acculturation scale in four modes. *Integration* takes place when a person preserves elements of its culture of origin and at the same time acquires elements of the host culture. When a person acquires elements of the new culture and fails to preserve elements of its culture of origin, we have *assimilation*. *Separation* includes the rejection of the new culture and the preservation of the culture of origin. Finally, *limitation* includes the rejection of the culture of origin and of the host culture.

As for the scales of acculturation and ethnic identity, different dimensions are used in different studies, given that characteristics of different cultures change. A dimension that can be important in a culture is not necessarily important in others.

A research work on Italian immigrants to Canada (Laroche, Kim, Tomiuk, 1998), with regard to ethnic identity, employs the following dimensions: Italian language used with family members, participation and social interaction in Italian activities,

and Catholicism. Whereas for acculturation, other dimensions were employed: exposure to the Canadian mass media, participation and social interaction in Canadian activities. Another research work on acculturation and the ethnic identity of the Latin population in the United States (Zea, Asner-Self, Birman, Buki, 2003), for both scales, employs the following dimensions: behavioral aspects, cultural identity, knowledge, language and values. A different research work related to the Cambodian immigrant population in the United States (Lim, Heiby, Brislin, Griffin, 2002) employs such dimensions as: cognitive, language, emotional. As one can see, the 'use of language' dimension is the most common, because it is the one that most shows the integration in a host culture or the preservation of the ethnic identity.

## 2. the Methodology

The research work is based on two main goals, each of which involves different experimental hypotheses. The first goal is to analyze the attitudes of the Albanian immigrants to Italy towards some Italian and Albanian foods.

The second goal of the research is to compare the acculturation and ethnic identity of the Albanian immigrants to Italy: if living in another country, have resulted in Albanians preserving elements of their culture of origin or acquiring elements of the host culture

The questionnaire for the 200 participants consists of three sheets. The first page, for both questionnaires, contains a letter of introduction which provides information on the purpose of the research; invites participants to read the questionnaire carefully and answer the questions; reassures participants that there are no right or wrong answers, but it is only important to express their opinion; underlines the importance of collaboration for research purposes; guarantees the anonymity and use of information only for scientific purposes within the university.

The second page offers a list of five Italian foods (among the best known in Italy) and five Albanian foods (among the best known in Albania). The aim is to gather information on the cognitive, emotional and behavioral elements of attitude towards the foods listed. For each of these foods participants must indicate if they know it, if they have tried it and if they liked it (yes / no answers). The five Italian foods are *pizza*, *mozzarella*, *spaghetti*, *Parmigiano Reggiano* and *tortellini*. The five Albanian foods are *dollme* (it is consumed especially on New Year's Eve. It is a mixture of flour, water, salt and eggs, cooked in the oven and then crumbled into small pieces, soaked into turkey broth and served hot with the turkey meat), *tave kosi* (it is prepared with lamb meat, rice, low-fat yogurt and eggs. The mixture is placed in the oven until golden brown), *bakllava* (it is a dessert of Turkish origin especially consumed especially on New Year's Eve), *arapash* (a *polenta* prepared with the broth and the internal parts of the lamb) and *stuffed peppers* (it is prepared with peppers stuffed with rice, tomato and chopped onion).

Again, the second page included question B) which serves to understand their eating behavior before coming to Italy. So it invites the participants to indicate if they had tried some Italian food before coming to Italy. Question C) measures the ability of the participants to recall some Italian foods that they had tried before coming to Italy (if they answered 'yes' to the previous question) and to vote on a scale from 4 to 10 (as at school) for each food they recalled. The vote can vary between 4 and 10, as in Albania the marks at school are within these limits. This information is important to understand if the participants were already acquainted with Italian foods before coming to Italy.

The third page concerns the scale of acculturation and ethnic identity. To build this scale for our research we referred to the study of Zea, Asner-Self, Birman and Buki (2003) on The Abbreviated Multidimensional Acculturation Scale. That research work was carried out on the Latin population in the United States and it has been validated either among students or in the community.

There are 42 items in the original questionnaire (for both acculturation and ethnic identity), but for our questionnaire we thought it appropriate to select only 16 (see the appendix). From the original scale we have removed the part concerning the understanding of the language and the knowledge of history, heroes, magazines and newspapers for both cultures. In our questionnaire the items regarding acculturation (8 in total) and those regarding ethnic identity (8 in total) are substantially the same, only the fact that the former refer to the host culture and the latter to the culture of origin change. The information collected serves to understand whether the participants have integrated into the host culture (the Italian one), or have preserved the characteristics of their culture of origin (the Albanian one). For both scales respondents must indicate their position on a 5-point Likert scale (with the same scale labels shown above). Recall that acculturation and ethnic identity are two independent processes that are not mutually exclusive.

## The Results

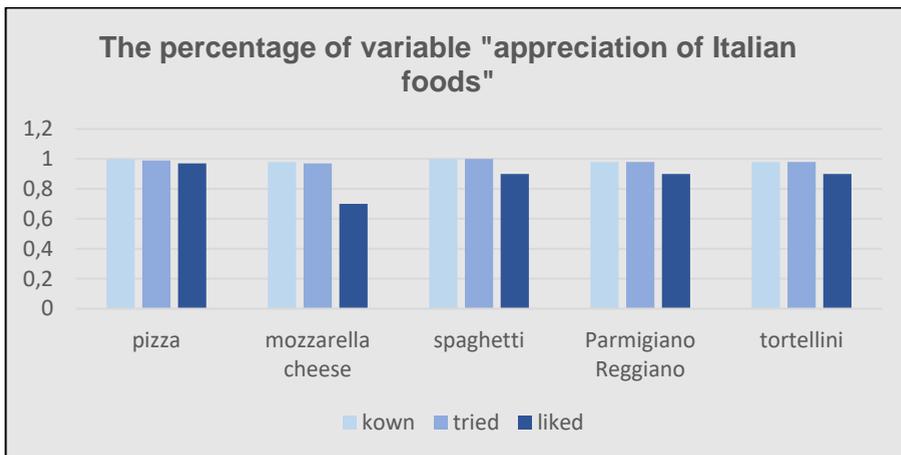
### Attitudes towards Italian and Albanian food

The questionnaire is developed in order to analyze some food attitudes of the participants. Attitudes are positive or negative orientations that we take throughout the experience and help us to build representations of the social world (Palmari, Cavazza, Rubini, 2002). The first section, concerning the knowledge, liking and tasting experience of 5 Italian foods and 5 Albanian foods, intends to measure the cognitive, emotional and behavioral component of the attitude towards such foods, through yes/no answers.

As for the five Italian foods, from the analysis of the data, it emerges (see graph 1) that the best known food is *spaghetti* with 100%, while the less known is *tortellini* with 96%. Spaghetti is also the most tried food with 100%, while the least tried food is *tortellini* and *mozzarella* with 95.90% (two participants did not answer). Although the best known and most tried food is *spaghetti*, the most appreciated is *pizza* with 95.80% (four participants did not answer) and the less liked is *mozzarella* with 72.30% (six participants did not answer).

It can be said that Italian foods, in general, are quite well known, tested and liked by the Albanian population residing in Italy. This can be an indicator of the high degree of acculturation of our participants.

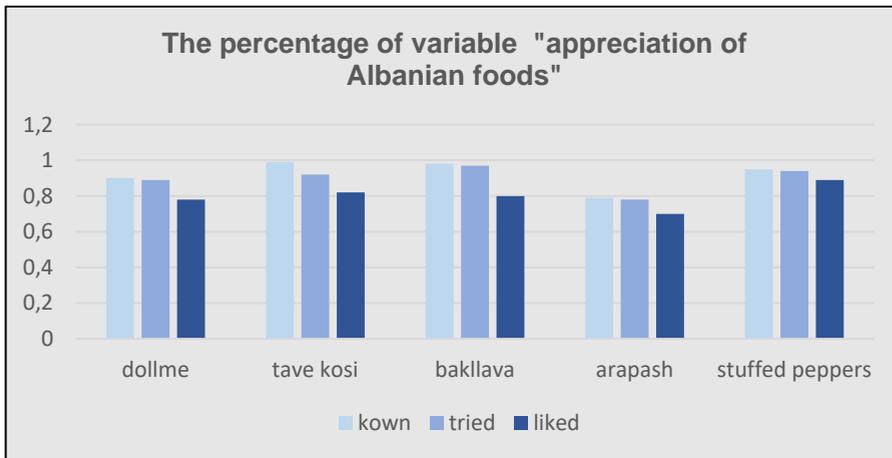
#### Graph 1



Among the five Albanian foods (see graph 2) the best known food is *tave kosi* with 98%, whereas the less known is *dollme* with 90.90% (one participant did not answer). The most tried food is *bakllava* with 94.90% (one subject did not answer) and the least tried one is *arapash* with 77%. The most liked food is *stuffed peppers* with 87.40% (five subjects did not answer), while the least liked food is *arapash* with 70.10% (23 subjects did not answer, because they hadn't tried).

Therefore Albanian foods are still quite tried and liked among the Albanian population living in Italy. This can be an indicator of the high degree of ethnic identity of our participants, who seem to keep alive the culinary traditions of the country they belong to. As for question B), 68 (68%) participants said they had tried Italian food before coming to Italy.

**Graph 2**



The analysis of the data related to question C) has shown that the most tried foods by the Albanian sample before coming to Italy are (in descending order): *spaghetti, pizza, parmesan, tortellini, mozzarella, lasagna, ham, salami, rice salad, panettone, chocolate and mortadella*. So, of the 68 participants who said they had tried Italian food before coming to Italy: 58 (85%) tried spaghetti and rated it with  $M = 8.03$ ; 51 (75%) tried pizza and evaluated it with  $M = 8.57$ ; 17 (25%) tried parmesan and evaluated it with  $M = 8.70$ ; 16 (23%) tried tortellini and evaluated it with  $M = 7.50$ ; 14 (20%) tried the mozzarella and evaluated it with  $M = 6.71$ ; 9 (13%) tried the lasagna and evaluated it with  $M = 8.78$ ; 7 (10%) tried the ham and evaluated it with  $M = 9.14$ ; 4 (6%) tried salami and evaluated it with  $M = 8.5$ ; 2 (3%) tried the rice salad and evaluated it with  $M = 9$ ; 1 (1%) tried the mortadella and evaluated it with  $M = 10$ ; 1 (1%) tried the chocolate and evaluated it with  $M = 10$ ; (remember that these answers are formulated on a scale from 4 to 10, like the grades in the Albanian school).

In conclusion, it can be said that the Albanians before coming to Italy had tried a considerable number of Italian foods.

### Acculturation

In the context of an increasingly global world the problem is how to describe and measure changes that occur in the process of acculturation. The scale of acculturation measures the integration of immigrants within the host culture.

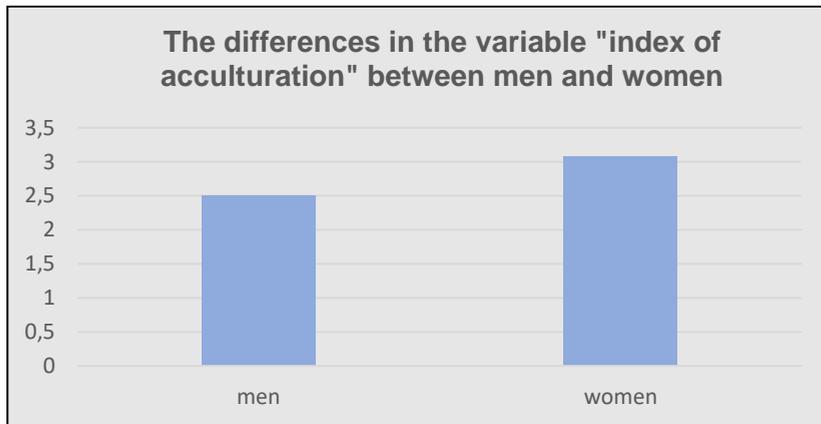
**Table 1. Means and standard deviations for the items of the acculturation scale**

Nr	Item	Mean	Deviation
1.	I think of myself as an Italian citizen	1.91	1.14
2.	I feel part of the Italian culture	2.11	1.18
3.	I speak Italian with my friends	2.40	1.38
4.	I speak Italian with strangers	3.03	1.45
5.	The parties I celebrate are Italian	2.55	1.31
6.	The food I eat at home is Italian	3.43	0.98
7.	My favorite music is Italian	2.83	1.25
8.	My favorite TV shows are Italian	3.28	1.05

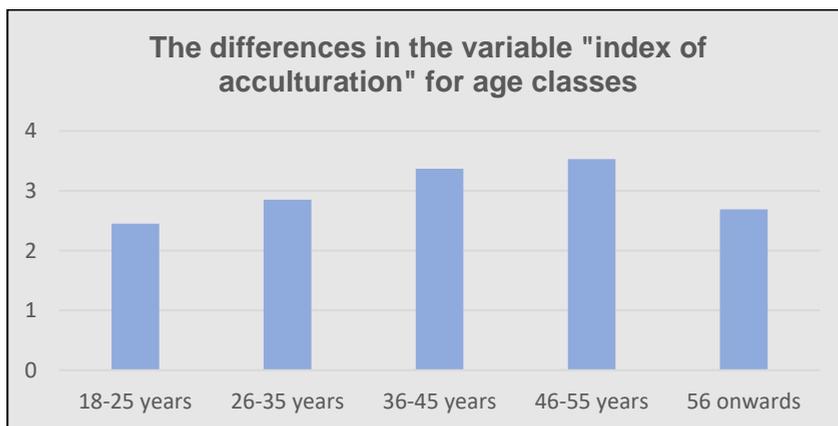
We have developed a unique index of acculturation ( $\alpha = 0.82$ ), which consists of the scale items answers means. The average acculturation index is  $M = 2.69$  ( $SD = 0.81$ ). The means and standard deviations of single items are shown in table 1.

Analysis of variance shows that women ( $M = 3.08$ ;  $SD = 0.87$ ) are more likely to assimilate a new culture than men ( $M = 2.50$ ;  $SD = 0.72$ ),  $F(1.98) = 12.25$ ,  $p < .05$  (graph 3).

**Graph3**



**Graph 4**



Analysis of variance shows a significant difference in the level of acculturation based on the age of the participants,  $F(4.90) = 3.85$ ,  $p < .05$  (graph 4). Acculturation increases with age up to 55 years (from  $M = 2.45$ ,  $SD = 0.70$  for the age group of 18-25 years at  $M = 3.53$ ,  $SD = 0.97$  for the age group of 46-55 years). From 56 years onwards we observe that the degree of acculturation decreases ( $M = 2.69$ ,  $SD = 0.71$ ). As you can intuitively think, the data show that for older people it is more difficult to assimilate a culture different from that of origin.

### Ethnic identity

We have built a unique index of ethnic identity ( $\alpha = 0.76$ ), removing *item 4* ("with strangers I speak Albanian") to improve the internal consistency of the index. The mean of the ethnic identity index is  $M = 3.79$  ( $SD = 0.66$ ). The means and standard deviations of the individual items are shown in tab. 2.

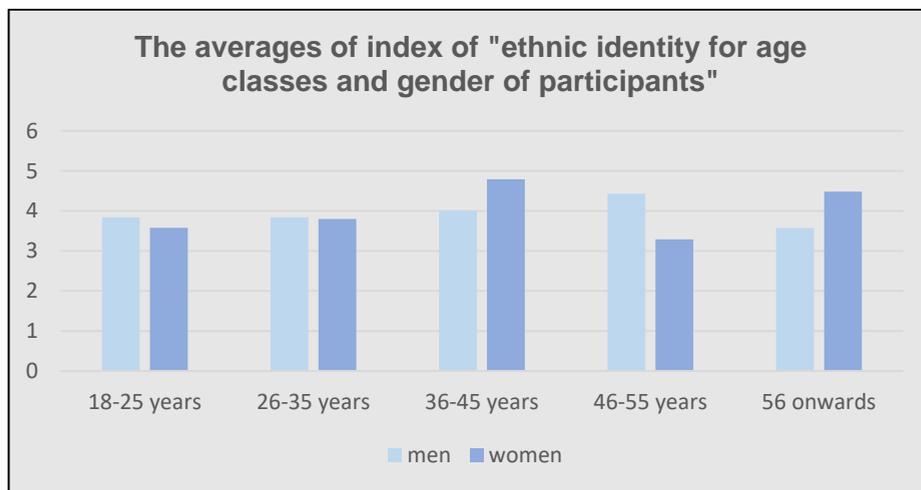
**Table 2. Means and standard deviations for the *items* of the acculturation scale**

Nr	Item	Means	Deviation
1.	I think of myself as an Albanian citizen	4.38	1.03
2.	I feel part of the Albanian culture	4.41	0.90
3.	I speak Albanian with my friends	4.18	1.01
4.	With the strangers I speak Albanian	3.03	4.10

5.	The parties I celebrate are Albanian	3.71	1.07
6.	The food I eat at home is Albanian	3.18	0.96
7.	My favorite music is Albanian	3.42	1.13
8.	My favorite TV shows are Albanian	3.27	1.16

The ethnic identity index is not significantly different between men and women. There are no significant differences even between the age categories. However, analysis of variance highlights a significant interaction between gender and age,  $F(4) = 2.69, p < .05$ . Men are on higher levels of ethnic identity than women aged from 18 to 35 and 46 to 55, while women aged between 36 and 45 and those aged 56 and over seem to preserve the traditions of the country of origin more tenaciously than male peers (graph 5).

**Graph 5**



Comparing these results with those related to acculturation, we see that ethnic identity index means and those of individual items of the scale are higher than means related to acculturation. The paired-sample t-test for both indices shows that this difference is statistically significant,  $t(99) = 9.84, p < .001$ . This indicates that, for our participants, the degree of ethnic identity is higher than the degree of acculturation. The subjects have sought to preserve the traditions of their country of origin more than they have assimilated the traditions of the host country.

From the perspective of Berry (1990) regarding our participants: 49 (49%) are placed in the *separation* mode (remember that it is the mode in which the participants preserve the elements of the culture of origin and do not assimilate the elements of the host culture); 47 (47%) are placed in the *integration* mode (they do not only preserve the elements of the culture of origin but also assimilate those of the host culture); 3 (3%) are placed in the *assimilation* mode (the refusal of the culture of origin and the preservation of the new culture); only 1 (1%) is placed in the *limitation* mode (the rejection of both cultures).

### Discussion and Conclusions

As concluded in the previous paragraph, before coming to Italy, the Albanians had tried a considerable number of Italian foods. This result can be interpreted by referring to three possible explanations:

- Italian cuisine is well known all over the world;
- both countries (Italy, Albania) are geographically very close to each other;
- the flows of immigrants (from the 1990s onwards) have made sure that Italian foods are widely used and appreciated in Albania.

According to these explanations, both culinary cultures (Italian / Albanian) are not so different (they interact with each other).

Secondly, (unexpectedly) it was discovered that for Albanians in Italy the ethnic identity is negatively correlated with the fear of trying Italian foods. It can be assumed that participants with high ethnic identity are not afraid of losing their identity and are willing to try new foods (which they do not see as a "threat" for the preservation of their already established traditions).

The scales (of acculturation and ethnic identity) we have used, have been built *ex-novo* for the research performed in Italy, and perhaps need to be tested for validity and reliability. However, we have no evidence to suggest that concepts have not been understood. On the other hand, it can be said that our sample is not representative of either the Albanian population or the Albanians present in Italy. This means that we can not generalize our results to the entire Albanian population.

The current research gives important information on Albanian immigrants in Italy. The fact that 47% of the sample has a high degree of acculturation (they have acquired elements of the host culture) and that these participants knew and appreciated many Italian foods before coming to Italy, can be helpful for many food producers who see the Albanian market as a potential alternative. It can also be said that all these results can also be useful for associations that deal with the interests of immigrants in Italy as well as for nutritionists interested in public health.

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## Nigeria and the Challenges of Internal Security in the 21st Century

Chris I. Nwagboso, Ph.D

Lecturer, Department of Public Administration, Faculty of Social Sciences

University of Calabar, Calabar, Nigeria

### Abstract

This paper examines the various internal security challenges confronting Nigeria in the 21st century. The paper adopts historical method and content analysis to investigate how the abysmal failure of the poorly formulated and ineffectively implemented National Security Policy has hitherto exacerbated internal security challenges in Nigeria. The paper further attempts a critical review of major internal security challenges hitherto confronting the country; such as the Niger Delta crises, kidnapping in the South-East geo-political zone, Jos crises, Boko Haram crises and crises by Fulani Herdsmen in the Northern part of Nigeria. The result of the analysis shows that these internal security challenges have not only been difficult to address by the National Security Policy, but have also impacted negatively on the country's desired socio-economic development in the 21st century. The paper, therefore, recommends among others, the need for a careful review of the Nigeria's National Security Policy that will not only be integrative/comprehensive in outlook, but will also take cognizance of some domestic factors that are currently responsible for internal security problems in the country; such as unemployment, inequality, poverty, fraudulent electoral process, corruption, skewed federalism, porous nature of the Nigeria's borders, sabotage among political elites, bad governance, religious intolerance, citizen-settler controversies, among others.

**Keywords:** Public Policy, Internal Security, Implementation, Economic Development.

### Introduction

The Nigerian state has witnessed plethora of security challenges, especially since the enthronement of democracy in 1999. As a leading state in the African continent, available evidence shows that Nigeria has peculiar security challenges which some observers had expected the internal security policies (a component of the National Security Policy of Nigeria) to address. In Nigeria, ritual killings, cyber crimes, car theft, carjacking, advanced free fraud, drug trafficking, human trafficking, among others; have continued to pose serious challenges in Nigeria. As it was

the trend in some states in Africa like Ghana, Liberia, Sierra Leone, Gambia, etc. these security threats were witnessed along other non-violent threats such as HIV/AIDS, cholera, bird flu, Lassa fever, among others.

Beside these conventional threats, Nigeria is plague with violent security threats. However, such threats include the Niger Delta crises, Kidnapping, Boko Haram crises and frequent clashes between farmers and herdsmen in the Northern part of Nigeria. However, some of these threats have long historical antecedents, while others like the menace of Herdsmen are recent occurrence. In Nigeria for instance, armed robbery, arson, murder, rape, car theft, among others are not new. They are among the old internal security problems confronting the Nigerian state. Paradoxically, Nigeria in recent times witnessed new forms of security threats in her internal security management. Such threats were undoubtedly crimes perpetrated by Niger Delta Youths, Boko Haram sect, kidnapping by youths from the South-East some other zones, terror-attacks by Islamic extremists in Jos, frequent attacks to farmers by Fulani Herdsmen and killing of Christians by extremists at southern part of Kaduna State; which is also located in Northern Nigeria. Consequently, these internal security challenges have not only posed threats to corporate existence of Nigeria as a sovereign state, but also undermined the quest for unity in diversity which underscores the rationale for adoption of federalism in Nigeria.

Thus, several internal security policies formulated by government appeared impotent to address the above security problems. This is partly because; policy makers appeared to have formulated such policies without considering the dynamic nature of violence, crime and security threats, especially in a heterogeneous society like Nigeria. However, policy makers failed to acknowledge that the achievement of desired internal security will be an exercise in futility when government lacks

political will to foster socio-economic development in the state. However, an overview of specific internal security problems in Nigeria provides useful insights to understanding the problems that confronted internal security policies and implementation failures in Nigeria's social formation. Against this background, this paper attempts a critical discourse of the Nigeria's predicament in handling internal security challenges in the 21<sup>st</sup> century. The paper seeks to expose several systemic and institutional factors militating against effective implementation of the internal security policies of Nigeria, which undoubtedly aimed at addressing pockets of crime, insecurity, internal threats and social unrest within the Nigeria's political environment.

### **Objectives of National Security Policy of Nigeria and Implementation Framework**

*National security is an interactive and integrative system consisting of the individual as the irreducible basic unit, who is connected both to the state and the international political system by way of civil society... the state is the strongest entity for the enhancement of national security issues, but is increasingly being challenged by civil society which demands a larger role....(Buzan, 1991:209).*

According to the National Security Policy of Nigeria, the central pillar of the country's national security policy objective is the preservation of the safety of Nigerians at home and abroad and the protection of the sovereignty of the country as well as the integrity of her state (Bassey, 2011). Other specific objectives include:

To safeguard the sovereignty, independence and territorial integrity of the Nigerian State;

To defend the African unity and independence;

Non-intervention in the internal affairs of other states;

Involvement in regional economic development and security cooperation and;

Attainment of military self-sufficiency and regional leadership.

The achievement of the above policy objectives in Nigeria have continued to pose serious challenges by the government. These objectives not only require strong political commitment by the government, but also the determination of Nigerian citizens. Thus, the achievement of the internal dimension of the Nigeria's nation security objectives has remained elusive despite several strategies and implementation framework adopted by the government. However, Nigeria has persistently been faced with several threats to her internal security. As Bassey rightly notes, the internal threats are those issues that distort the socio-political and economic balance of the nation (Bassey, 2011). These include:

Ethnic and religious militias which are well-armed and semi-trained to carry-out raids, ambushes and even assault against law-abiding citizens.

Inter-border and inter-communal conflicts.

Unemployment, especially among the youths with subversive and criminal behaviours leading to economic sabotage and threatening of civil economic installation, especially in the oil sector.

Consequently, while it is the traditional role of the military to check external aggression against the state, the army is implicitly relevant in monitoring the activities of various actors in the domestic sphere that manifestly pose danger to the society (Bassey, 2011; Eminue, 2006). In internal security management, such as the protection of lives and property of citizens in Nigeria, the role of the Nigerian Police Force (NPF), is obviously relevant and indispensable. The NPF performs conventional police functions and is responsible for internal security generally. This includes supporting the Prisons, Immigration and Customs; and performing military duties within and outside Nigeria as directed (NPF Public Relation Department, 2011).

Thus, available evidence shows that the Nigerian Police Force (NPF) has been incapacitated in tackling the increasing rate of internal security challenges in Nigeria since the return of democratic government in 1999. According to the Public Relation Department of the organization, NPF experiences endemic problems with retirement, training, inefficiency and indiscipline. According to Police Public Relations Department (PPRD, 2011), the Force lacks expertise in specialized fields. Further, the Force is challenged with corruption and dishonesty and these engenders low level confidence on the institution. Thus, crime prevention, detention and investigation are compounded by failure of the Force to report crimes accurately (Nigerian Police Watch, 2011).

The above systematic challenges of the NPF to effectively implement internal security policy of Nigeria are further exacerbated by poor institutional capacity of the institution in terms of manpower and logistics. Thus, available statistics shows that the staff strength of the Nigerian Police Force as at 2011 was estimated at 371, 000. Thus, this figure is grossly low considering Nigeria's national population which is about 164,000 as at 2011. This statistics implies that one Police Officer is expected to police or monitor the activities of 442 Nigerians in view of the ratio of 1:442. This pathetic situation did not improve between 2012-2016.

Comparatively, the statistics of the manpower capacity of some neighbouring countries like the South African Police Service (SAPS) is far better than that of Nigeria. With a national population of 49, 320, 500 as at 2009, the staff strength of South African Police Service was 189, 546. This means that one Police Officer is, therefore, expected to monitor or police 260 residents thereby giving a ratio of 1:260. (SAPSR, 2011). However, the inadequacies of the police institution to effectively tackle violent crimes including terrorism, ultimately resulted to the involvement of the Armed Forces of the Federal Republic of Nigeria in internal security governance. The Nigerian Armed Forces (NAF) is made up of the Nigerian Army, Nigerian Navy, Nigerian Air Force and the Nigerian Police force. Thus, the personnel-strength of the Nigerian Armed Forces has remained a critical challenge to internal security policy implementation in Nigeria. As a country with pervasive cases of internal insecurity, the capacity of Nigeria's Armed Forces in terms of personnel strength, funding, sophisticated equipment, deployment and rapid emergency response, are grossly low (Aliyu, 2011).

Another critical issue of note is the budgetary allocation to Defense Sector in Nigeria. In the last ten years, analysis of Nigeria's Defense Allocation indicates lack of political will on the part of the Federal Government to address internal security challenges confronting the country. This is evidenced from the allocation made by the Federal Government to the sector, between 2008-2016.

It is imperative to note that Nigeria has several security formations (military and paramilitary), that participate in internal security management. To respond to the challenges posed by insecurity in the country, policy makers claimed to have adopted integrated security approach and this led to the establishment of Joint task Force (JTF). The security formations or agencies whose roles are critical to internal security policy implementation in Nigeria include; the Nigeria Army, Navy, Air force, the Nigerian Police Force, Nigerian Prison Service, Nigerian Immigration Services, Nigerian Security and Civil Defense Corps, Nigerian Custom Service, State Security Services and National Drug Laws Enforcement Agency.

However, the strategies adopted to implement the national security policy objectives of Nigeria appear impotent to address plethora of internal security challenges facing the country. The current conception of the Nigeria's internal security which is an integral part of the overall national security frameworks is at best state-centric and society-centered. As some leaders have argued, the ultimate goal of addressing the internal threats and challenges facing Nigeria is not just to safeguard the lives of the common man, but to protect the lives and the loots of the ruling class (Fayemi. 2003).

Thus, between 2001-2018, the Nigerian state witnessed several security challenges from her internal political environment. These challenges as some observers argue may be due largely to poor implementation strategies adopted by the government and her security appointees to tackle the country's internal security challenges. Hence, Akinterinwa (2001:11) puts the generational roots of the above problem in clear perspectives:

*...security appointees have failed the President, Chief Olusegun Obasanjo. If we are to judge by the current state of lawlessness...it is a shame when the Attorney General gets killed so easily. The aggressive posturing Odua People's Congress, robbery, drug trafficking, advanced free fraud (419), unemployment, high price of commodities...are realities being faced in the country that requires remedies...*

The above observation underscores the relevance of effective policy strategy to implement the country's internal security policy. This observation reinforces the argument by Dye who insists that:

*Implementation is the continuation of politics by other means...policy making does not end with the making of new law...and its signing by the president. Implementation involves all the activities designed to carry out the policies enacted by the legislative branch. The activities include the creation of new organizations, departments, agencies, bureaus, and so on...(Dye, 1972:312).*

The above argument by Dye further reinforces the assertion by some scholars and analysts that the internal security policy of Nigeria abysmally failed to take cognizance of the "unusual suspects" or what Nnoli refers to as "the real enemies of the people" (Nnoli, 2006:10). The "unusual suspects" or "real enemies of the people" which revolve around the economic misfortune of Nigeria include poverty, inequality, unemployment, low per capita income, among others. The 'unusual

suspects' encompasses politics, which is a reflection of aberrant behaviours of the ruling class such as nepotism, sectionalism, election rigging, bad governance, corruption, thuggery, hooliganism, among others.

The implementation framework to achieve the national security policy objectives of Nigeria undoubtedly neglected the role of domestic (internal) factors capable of affecting effective implementation framework. Also, the implementation framework equally neglected the fact that domestic or internal factors could lead to conflicts and this can subsequently metamorphosed to security challenges in the country. The above assertion is true because as Bassey rightly explains:

*...containment or management of conflict entails an understanding of its nature before we can deal effectively with it intellectually, emotionally and behaviourally... structural analysis of conflict, violence and warfare focus on how the organization of the society shape action... (Bassey 2007: 62)*

The inability of the implementation framework of the national security to reduce the vulnerability of the citizens of Nigerian obviously compounded the internal security situation in the country, especially since the return of democracy in 1999. Ultimately, these challenges require paradigm shift which some scholars have recommended to the government in the past. This paradigm shift may be akin to the continuous call for adoption of integrative approach in the formulation and implementation of national security policy objectives of African states. This appears to be the global trend in security governance by modern states which appears elusive in many African states, especially Nigeria.

### **Nigeria and internal security challenges: A Historical Exploration**

Nigeria as a sovereign state has witnessed several plethora of challenges emanating from her internal political environment. The country has been under siege for some years largely due to militancy, and act of terrorism perpetuated by some individuals against the state. However, the most serious security challenges witnessed in Nigeria between 2001-2018 include; Niger Delta crises, kidnapping, Jos crises, Boko Haram crises and crises by Fulani Herdsmen. These threat perceptions are further elucidated below:

#### **The Niger Delta crises:**

The Niger Delta crises in the South-South region of Nigeria have long historic antecedence. Thus, during the colonial period, the areas hitherto referred to as Niger Delta were part of the Eastern region of Nigeria which came into being in 1951 (one of the three regions and later one of the four regions). This region comprises of several ethnic groups. They include, the people from colonial Calabar and Ogoja divisions which are the present Ogoja, Annang, Ibibio, Oron, the Efik, Ijaw and Igbo as majority. However, the National Council of Nigeria and Cameroon (NCNC) was the ruling party in the region (Niger Delta Archive of News, 2011). Indeed, the NCNC later become National Congress of Nigerian citizens shortly after Western Cameroon decided to separate from Nigeria. Thus, the ruling party of Eastern Nigeria did not seek to preclude the separation but encouraged it. The Niger Delta is a very densely populated region and is sometimes called Oil Rivers. This is because, the area was once a major producer of Oil. However, the area was British Oil River protectorate from 1885 until 1893 when it was expanded and become the Niger Coast Protectorate (Niger Delta Development Commission, 2010).

The Niger Delta as now defined officially by the Nigerian Government extends about 70, 000km<sup>2</sup> and makes up 7.5% Nigeria's land mass. Historically and cartographically, it consists of present day Bayelsa, Delta and Rivers States. In 2000, Obasanjo's regime included Abia, Akwa-Ibom, Cross River, Edo, Imo and Ondo states to the region (Dafinone, 2008). The region comprises of about 31 million people of more than 50 ethnic groups. They include the Bini, Efik, Ibibio, Annang, Oron, Ijaw, Itsekiri, Isoko, Urhobo, Ukwani, Kalagbari and several others. The linkage between resource and conflict is exemplified in the Niger Delta region of Nigeria. Thus, the region is richly endowed with crude oil deposits, both in onshore and offshore. This has made the region the center of international controversy over devastating pollution, ecocide, kleptocracy and human right violation, in which the Royal Dutch Shell has severally been implicated (Mathiason, 2009).

Admittedly, before the discovery of oil in 1956, the main-stay of local economy of the people in the region was fishing and farming. These occupations have been dislocated by oil exploitation and exploration. This pathetic situation partly explains factors responsible for perennial conflicts and crises over oil resources in Niger Delta. However, some observers (Terminiski, 2003; Akpan, 2011; Wale, 2009; Andrew, 2009), have bluntly argued that the role of oil in conflicts and crises in Niger Delta is paradoxical. This is because, while the multinational oil companies and the Nigerian state enjoyed the revenue accruing from oil exploitation, the communities in the Niger Delta were persuaded to endure its consequences such as spillage, gas flaring and several forms of ecological disasters (Ayodele & Sotola, 2008; Akpan, 2011). This assertion is further corroborated by Idoko who posits that:

*...the state is scarcely concerned about the prospects of good life for the people of the Niger Delta, neither is the state really interested in enduring peace and development of the region...there is no doubt that the Nigerian state has always believed in the use of force to reign on "trouble makers" in the Niger Delta which makes it less surprising that the federal government...maintains an occupation force within the Niger Delta territory...(Idoko, 2008:18).*

The implication of the ecological problems posed by oil exploitation on the lives and economy of the people coerced many communities, non-state actors and most recently militia groups to protest against the federal government and the multinational oil companies operating in the regions (Oladesu, 2008). They used both constitutional means to draw attention to injustice of successive government to the plights of the regions since 1960.

In response, government resorted to the adoption of repressive policy and the sinister tactics of playing one community against other rather than addressing the problems facing the people (Akpan, 2011). This was a deliberate approach of instigated and intensified inter and intra-communal conflicts in the Niger Delta region (Human Right Watch, 2002). Thus, the use of force by the federal government of Nigeria to address a clear case of injustice and marginalization of the people was at its climax following the extrajudicial killing of Ken Saro-Wiwa and nine Ogoni leaders by the Abacha regime (Obodo, 2010). Thus, this singular action by Abacha's administration was condemned not only by some Nigerians, but also the international community. Consequently, the international community expressed her disapproval by imposing several sanctions on the Nigerian state during the period.

Indeed, the inability of the Federal Government, especially during the military era. to address the root causes of agitation (environmental problems, poverty, unemployment, inequality, lack of basic amenities, etc), in the Niger Delta region, resulted to proliferation of armed militia groups causing tension and militarization of nearly the entire region. This movement was superheaded by Movement for the Survival of the Ogoni People (MOSOP), founded by Ken Saro-Wiwa.

As Human Right Watch (2002) further pointed out, the agitation continued without reasonable policy action by the government until the Odi massacre of 1999. This extra-judicial action by Obasanjo-led administration claimed the lives of over 10, 000 people including women and children according to unofficial sources. This ugly incidence happened barely five years after the execution of Environmental and Minority Right Activist, Ken-Saro-Wiwa and 9 others. Thus, Saro-Wiwa and his kinsmen were killed, following their alleged role in the killing of four Ogoni Chiefs. The alleged action by Saro-Wiwa and his group was based on their conviction that those four Ogoni Chiefs were collaborating with the government and Shell to subvert their efforts toward addressing the fundamental issues such as neglect, marginalization and injustice (Aderoju, 2008). The hardship the above social malaise has caused to the lives of an average Niger Delta indigene is put to perspective by Mitee who explains that:

*The fundamental problem of the Niger Delta still remains the challenge posed by the very harsh environment which made development most challenging and resulted in the criminal development neglect of the region... (Mitee, 2009:15).*

The trajectory of the crisis in Niger delta is understandable from the point of view of the inability of the Government to provide basic amenities and infrastructural development for the people. This sorry situation is compounded by the economic dislocation occasioned by the oil exploitation and exploration activities in the region. Thus, it is the politicization of these issues that culminated into struggle for resource control and subsequent militancy in the Niger Delta region (Amaizu, 2008). This point is well articulated in the Ogoni Bill of Rights, the Kaima Declaration and other protest documents as deliberate struggle to compel government to address the perceived neglect and poor condition of the Niger Delta people.

However, several intervention institutions and programmes initiated and implemented by the government such as the Oil Mineral Producing Area Development Commission (OMPADEC) and Niger Delta Development Commission (NDDC), to address the problem of the Niger Delta undoubtedly performed below expectations. Consequently, the abysmal failures of these institutional mechanisms established to douse tension in the region coerced the government to resort to other measures to bring enduring peace in the region. This was after several loss of revenues by the Federal Government from the oil sector. The loss of resources that amounted to billions of naira was largely due to the activities of the militants who forced oil companies to close down and increasing spate of kidnapping of expatriate oil workers in the region. These armed militias and anarchic group also engaged in illegal bunkering of oil resources and destruction of oil installations in the region. Consequently, these illegal actions grossly reduced Federal Government's revenue from oil sector, especially between 1999 and 2015.

The ugly development in the Niger Delta which adversely impacted on the Nigeria's economy ultimately became a source of worry. Hence, the Federal Government decisively adopted another policy measure to reduce the spate of insecurity in

the region. This decision resulted to the application of minimal force to ensure that militants drop their crimes and hostilities against the government and the people of the region.

Towards the end of 2008, the Federal Government launched a massive military crackdown on militants (Amaizu, 2008). Thus, the military patrolled waterways, hunted for militants, searched all civilian boats for weapons and raided numerous hideouts in the region. Also, on May 15, 2009 (the following year), a military operations undertaken by the Joint Task Force (JTF), was put in place by the federal government against members of the movement for emancipation of Niger Delta (MEND), and their affiliates in the region (Onoyume, 2008).

Paradoxically, rather than these measures to address the challenges of internal security in the Niger Delta, the situation led to incessant kidnapping of not only the foreign oil workers, but also the indigenes and other residents in the region. In view of the worsening security situation in the region, the Federal Government adopted another civil and tactful approach in resolving the poor security internal situation in the Niger Delta. Thus, on June 26, 2009, the federal government under the leadership of Late President Umaru Yar' Adua, announced the granting of Amnesty and unconditional pardon to militants in the Niger Delta (Rotimi, 2009). However, the militants were given between August 6, to October 4, 2009 to surrender their weapons to the Federal Government in return for training and rehabilitation.

Hence, during the 60 days period, the militants led their groups to surrender their weapons which included rocket-propelled grenades, guns, explosives, ammunitions, gunboats, among others. This strategy adopted to end hostilities in Niger Delta by the Federal Government, significantly increased Nigeria's oil production and consequently enhanced Federal Government's revenue from oil sector between 2009-2011.

Thus, as Nigeria witnessed a change in her political equation which resulted to the opposition party (All Progressive Congress, APC) controlling the Federal Government in 2015 General Election, the crises in the Niger Delta took a different dimension in Nigeria. This time, a militant group known as Niger Delta Avengers commenced the destruction of government economic outfits in the Niger Delta Region. This resulted to a sharp drop in oil production and its attendant consequences on revenue accruable to the Federation Account.

However, despite several mediation efforts of prominent Nigerians from other parts of the country and indigenes of the Niger Delta region, the Niger Delta Avengers has continued to destroy oil installations belonging to leading oil companies such as Mobil, Shell, Total, Agip, among others. The implication is that the hostilities in the region ultimately forced many oil firms to shut-down in the Niger Delta region of Nigeria. This pathetic situation has continued to affect the economy of the Nigerian state adversely.

## **(ii) Kidnapping in the South-East Zone of Nigeria**

Kidnapping is one of the criminal activities that have continued to pose serious security threat to the Nigerian State. According to Chukwurah (2011), kidnapping is conceived as the act of illegally taking someone away and keeping him as a prisoner for the purpose of receiving ransom (money in return). Historically, kidnapping in the South-East zone and some other parts of Nigeria, could be traced to the hostilities, conflicts, crises and violence in the Niger Delta region (Igbokwe, 2009).

The challenges posed by this criminal dimension of Nigeria's perennial internal security checklist painted negative image of the country nationally and internationally. This ugly situation explains why Arizona-Ogwu, a Nigerian Residing in the United States of America bluntly describes the attitudes of the Federal Government of Nigeria toward the menace of crime as follows:

*Owing to the government cold-feet attitude to certain crimes in Nigeria, there is an outcome of thousands of cases signifying the brutality wrought on the innocent Nigerians with the help of local collaborators. Besides kidnappings and murders, there are millions of cases of torture, rape, arson, looting and other crimes (Arizona-Ogwu, 2010:18)*

In the South-East geo-political zone of Nigeria, kidnapping activities were initially targeted at prominent indigenes and residents of the region. The incidence of kidnapping became more pervasive shortly after the 2007 General Elections in the country. This is partly because, the youths who were used as political thugs by some inordinate politicians during the 2007 General Elections subsequently engaged in kidnapping as a means of livelihood after the elections (Nwosu, 2011). The violent nature of kidnapping and its socio-economic implication on the economy of the South-East zone of Nigeria are enormous.

Specifically, the menace of kidnapping was phenomenal in Abia State, especially in Aba metropolis and its environs. This criminal activity brought tension in the commercial city and compelled many families to abandon their residence (Eke, 2011). Besides individuals and families that ran away from Aba metropolis for security reasons, some manufacturing companies relocated to peaceful states like Enugu, Anambra and Ebonyi for their businesses. This ugly incidence adversely impacted on the economy of Abia State, in particular and Nigeria in general (Akinrinade, 2011). This situation further resulted to loss of jobs by some residents of Aba metropolis, thereby increasing unemployment rate in Abia State particularly and Nigeria generally.

Besides the relocation of these major manufacturing companies to more peaceful states, some small and medium scale business operators ran away from Aba and its environs due largely to high incidence of kidnapping. Thus, the increasing rate of this menace also resulted in several foiled attempts to kidnap the former Executive Governor of Abia State, Chief Theodore Orji in 2008 (Nwogu, 2008). From 2008-2010, several prominent men and women in Aba, as well as its environs were kidnapped for ransom. This includes political office-holders in Abia State, Traditional Rulers, business-men and women, civil and public servants. This pathetic situation impacted negatively on the economy of Abia State. Similarly, the Nigeria Gross Domestic Product (GDP) and Foreign Direct Investment (FDI) of Nigeria were grossly affected, thereby resulting to unemployment, poverty and their attendant implications.

The menace of kidnapping in Abia State got to a crescendo when some school children were kidnapped in Aba in 2010. However, this singular act and consequent kidnapping of "common man" compelled all the commercial banks in Aba metropolis to shut-down for several days. However, prior to this decisive action by the banks, many of them had been repeatedly robbed by armed gunmen in Aba, which is the commercial nerve centre of Abia State.

Worse still, kidnapping in the South-East geo-political zone also impacted negatively on social relations as some people were kidnapped during church services, village/town hall meetings and at market square. This resulted to the decisions of some illustrious sons and daughters of many rural communities from the zone to stay away from their villages during the Christmas and festive periods (Soriwci, 2011). The implication of this was that the rural dwellers could not speak with 'one voice' on community development programmes, let alone repose confidence on one another. They were suspicious of each other and could not come together as a people to articulate development programmes for the general well-being of their areas.

To redress the challenges posed by kidnapping in the South-East geo-political zone, the Federal Government of Nigeria, on passionate request of the Abia State Government, deployed soldiers to Aba metropolis. Thus, Okoli (2009:27) shades more light to the above bold step by the government.

*...Governor Theodore Orji of Abia State formally invited the Army to the state to assist in the fight against crime and criminals, especially kidnapers. The Governor said the menace of kidnapping seemed to have overwhelmed the police...*

Consequently, the action of government in mobilizing the Army to flush "kidnapers" in Aba and its environs minimized the reported cases of this menace in the area. This was largely due to intensive attacks launched by the Army at the identified hideouts of "kidnapers" in Ukwu-West Local Government Area of Abia State (Sampson, 2010).

It is imperative to note that several other criminal activities also threatened the security and economy of the South-East geo-political zone in particular and Nigeria in general during the reviewed period. Such criminal activities include murder, rape, ritual killings, robbery, human trafficking, politically-motivated killings and assassination of prominent men and women in the zone (Ajani, 2010). Thus, the above criminal activities may have impacted negatively not only on Nigeria's Gross Domestic Product (GDP), but also crippled most economic activities in the South-East geo-political zone (Agboso, 2011).

However, despite kidnapping which undoubtedly crippled the economy of the South-East geo-political zone particularly and Nigeria generally, the agitation for self-rule or Sovereign State by the indigenous People of Biafra (IPOB), also threatened internal security governance of Nigeria. The agitation was geared towards the realization of the Sovereign State of Biafra. This agitation was championed by Mr. Nnamdi Kanu (an indigene of Afara in Umuahia, Abia State)

Indeed, the agitation for the realization of Republic of Biafra also has long historic origin. Thus, the quest for self government by the old Southern Region of Nigeria, comprising States in the current South-South geopolitical zones of Nigeria such as Cross River, Akwa Ibom, Rivers, Delta, Bayelsa and Edo States, as well as some states currently in the Middle Belt region like Kogi and Benue, was precisely what resulted to Nigerian Civil War between 1967-1970.

In response to this agitation, the Federal Government headed by Major General Mohammedu Buhari (Rtd), arrested the Leader of Indigenous People of Biafra-Mr. Nnamdi Kanu. Thus, Mr. Kanu was prosecuted for treason felony. The members

of IPOB declared that the only remedy to their agitation is simply for the Nigerian Government to allow Biafrans to gain independence. This situation adversely impacted an internal security posture of the Nigerian State during the period under review.

### (iii) Jos Crisis

The Jos crisis is another internal security threat which appears difficult for the internal security policy of Nigeria to address in recent times. The Jos crisis is a combination of the violence that followed the November, 2008 Jos North Local Government election (Audu, 2011). Historically, Jos is the capital of Plateau State of Nigeria. The city of Jos has witnessed several sectarian, ethnic and political clashes among which were the September, 2011 and April 2004 conflicts that resulted to the imposition of state of emergency on Plateau State by the Obasanjo's administration.

However, the violent dispute as argued by some observers is over the "rights" of the indigene of Berom/Anaguta/Afizere (BAA) group and the rival claims of the Hausa-Fulani settlers to land, power and resources (Nakande, 2011). To some analysts, the immediate and remote causes of Jos crisis prior to November, 2008 crisis has been politicized along sectarian and ethnic lines (Akpan, 2011). Those inclined to the ethnic thesis believe that the crisis is a classic case of ethnic cleansing. They further argued that the Berom, Anaguta, Afizere and the Hausa/Fulani, laying claim to pre-eminence over one another is the main cause of the crisis in Jos (Akpan, 2011).

The above position is further supported by the crisis group report on Jos crisis. According to the report:

*Indigene - settler conflicts are not new to Nigeria... the Jos crisis is the result of failure to amend the constitution to privilege broad-based citizenship over exclusive indigene status and ensure that residency rather than indigeneity determines citizen's rights... constitutional change is an important step to diffuse indigene-settler rivalries that continue to undermine security... (Crisis Group Report, 2011:21).*

Thus, the indigene principle or indigeneity (that is local origin), means that some groups control power and resources in the state or local government area, while others, particularly those assumed to have migrated for different reasons are completely excluded. This situation gives rise to both grievances and fierce political competition which too often lead to interference, agitation, conflicts, violence and internal security challenges in Jos. The Jos crisis which has attracted mixed reactions from both local and international observers mostly occurred in some local government areas.

The ugly and annoying posture of the federal and state governments in resolving the problem in Jos have further attracted mixed reactions from Nigerian citizens and international community. As Human Right Watch Report rightly observed:

*...the discriminatory policies lies at the root of much of the inter-communal violence in Nigeria... with these policies, non-indigenes are openly denied the right to compete for government jobs and academic scholarships...in Jos, Kuru and Karama, members of the largely Muslim Hausa ethnic groups are classified as non-indigenes though may have lived there for several generations... government should take concrete steps to end the discriminatory policies that treat certain groups as second-class citizens... (Human Right Watch Report, 2010:29)*

Specifically, the unresolved crisis in Jos has claimed numerous lives of Nigerians and property worth billions of naira, particularly between 2001 to 2018. The crisis which seems to have defied all manner of intervention by the Federal and State Governments, as well as the Non-Governmental Organizations (NGOs), have resulted in frequent attacks on Christians by some Muslims (Obateru & Omonobi, 2010). Indeed, between 2001-2011, over 10, 000 Christians were slaughtered during the Jos crises. In 2010 crisis for instance, about 500 Christians lost their lives (Oladonyinbo, 2010). Similarly, some Muslims equally lost their lives during the crisis.

Indeed, the Jos crisis has resulted to unimaginable confrontations, killings, bombings and other forms of violence on the residents. The magnitude and wanton destruction of lives and property partly explains why the Late Terror Master - Gaddafi of Libya, once suggested that Nigeria should be divided into two religious lines (Muslim and Christian states). This suggestion was in consideration of frequent attacks on Christians by Muslim community. This pathetic situation as Sunday Tribune Editorial rightly noted was as a result in the emergence of a group known as Islamic Assailants. This group has continued to cause tension in Jos, displacing Nigerians and setting houses and property of the people ablaze. The Editorial Report further explains:

*Jos, conflict seems to reoccur in every narrowing cycles... deadly riots rocked the city in 1994-2001, 2008 and two months ago... in January 2010. The current conflict is said to have started in reappraisal for the destruction that occurred in*

*January... there has been reports of children and the elderly being particularly targeted by roving gangs armed with guns and machetes... (The Editorial Report of Sunday Tribune Newspaper, 2011:2).*

Admittedly, the Jos crisis have raised serious question on the unity and development of Nigeria. Thus, available evidence has shown that the crisis in Jos has been fought on sectarian lines and this ugly trend is traceable to 'sour relationship' between the Christian and Muslim communities in some parts of Plateau State. The understanding of this relationship is pertinent because, as Human Right Watch Report Watch -Report rightly argues:

*...Jos lies on the border between Nigeria's Muslim minority North and Christian majority South. Access to land resources is often determined by whether one is a native or indigene... Jos is historically Christian city... settlers are most often Muslims from the North... (Human Right Watch Report, July 10, 2010:20)*

The above observation by Human Right Watch reinforces the result of some studies on Jos crisis. According to crisis group, the problem in Jos borders on citizenships status. The Crisis Group bluntly argues that:

*because the settlers are almost entirely Muslim and the indigenous people are predominantly Christians, struggle over land ownership, economic resources and political control tend to be expressed not just in ethnic but also religious terms... since 2010, security has further deteriorated in Jos because of terror attacks and suicide bombings against churches and security targets by suspected militants of Boko Haram... the Islamic group is responsible for an unprecedented wave of terrorist attacks in the North... (Crisis Group: Africa Report No. 196, 2011:14).*

From the above premise, it becomes imperative to rhetorically query why the Federal Government of Nigeria appears reluctant to tackle the root causes of the problem in Jos and to prosecute those perpetrating these dastardly crimes in the area?. Also, why has the Federal government perpetually kept quiet in addressing the problem of citizenship within the Nigerian political space? Why has the Federal Government and Plateau State abysmally failed to implement the recommendations of several committees set-up to find lasting solutions to the crises in Jos? Thus, the reaction of Hilary Clinton, the former US Secretary of State, provides useful insights to credible answers to the above questions. Thus, Hilary Clinton fearlessly argues that:

*...the Nigerian political leaders failed to live by- examples, thereby increasing the radicalization of many young Nigerians... fierce and unregulated political competition characterized by ethnic mobilization and violence, coupled with poor governance and rampant corruption, have severally exacerbated ethnic, religious and regional fault lines (Crisis Group Report, No. 196, 2011:14).*

Therefore, it is strongly argued by some analysts that the Jos crises require both national and local solutions. Thus, constitutional provisions by virtue of their ambiguity over terms such as "indigene" (which the amended 1999 Constitution of the Federal Republic of Nigeria failed to define satisfactorily), and "residency" for accessing citizenship rights, have done little to clarify the situation. Hence, Nigeria's current implementation of its citizenship (or national) question appears to be grossly inadequate and flawed. This situation as some analysts have rightly argued requires the collaboration and political will of both the executive and legislative arms of government at the national level, especially to articulate implementable policy strategies to resolve the problems in Jos.

#### **iv)Boko Haram Crises**

*...what is going on is a new phase in this nation. Neither Nigerians, the government nor the security agencies is used to a situation where innocent citizens will be attacked for a cause that is clearly difficult to reason with or to explain...the Islamic fundamentalist group has claimed responsibility for attacks on government and private institutions, including the suicide bombings of the Police Headquarters and the United Nations (UN) House in Abuja... many people were killed in these attacks (Ojibor, 2011:10; quoting the former Minister of Information in Nigeria, Hon Labaran Maku).*

The activities of Boko Haram as a terrorist group in Nigeria has been described in several ways by public analysts and observers. To some, Boko Haram is simply a group of people committed to the propagation of the Prophet Muhammed's teachings and Jihad in Nigeria. To others, Boko Haram is a socio-political fundamentalist group that rejects western education and culture. Also, others see this group as Islamic movement which strongly opposes man-made laws. However Boko Haram is conceptualized, available evidence indicates that it is Muslim sect that seeks to abolish the secularity of the Nigerian State and establish Sharia Law in Nigeria (Alaneme, 2011).

Etymologically, the term 'Boko Haram' is derived from Hausa word 'Boko' meaning 'Animist; Western, otherwise non-Islamic education; and the Arabic word 'Haram' figuratively meaning 'sin' or literally 'forbidding' (Olugbode, 2010). The summary of

the above descriptions is that Boko Haram as a terrorist group abhors western education, culture and the general behaviours of Muslim faithfuls, especially the elites who promote western ethics. For this group, western education, culture, modern science and their related-terms, are not only forbidding, but also sacrilege (Dunia, 2010). Comically, the group asserts that the belief that the world is 'spherical' or 'ovat in shape is contrary to Islam and should be rejected along "Darwinism evolution theory" which asserts that rain comes from water evaporated by sun.

Historically, the Boko Haram group was founded in 2002 in Maiduguri by Utaz Mohammed Yusuf (Ikuomola, 2011). In 2004, this terrorist group moved to Kanamma in Yobe, where it sets up a base called 'Afghanistan', The 'Afghanistan' therefore, became the group's base to launch terror and frequent attack on near-by police outposts and killings of police officers (Awowole, 2010). However, the founder of this terrorist group (Utaz Mohammed Yusuf), was hostile to democracy and secular education system operative in Nigeria and supported by some Northern elites. This partly explains why he vowed that the war he began in 2002 would ultimately change the political, economic and educational systems in Nigeria; a dream not realized till his gruesome death in 2009.

The Boko Haram does not mix with the local people in the Northern part of Nigeria. Thus, Available literatures have demonstrated that lot of members of this terrorist group that speak Arabic come from neighbouring Chad (Ojabor, 2011; Obi, 2011; Anofi, 2010). This undoubtedly is as a result of the group's strong belief in the Koranic phrase which says "Anyone who is not governed by what Allah has revealed is among the transgressors". Thus, whether western education which majority of elites from the Northern Nigeria have acquired was not revealed by the "Allah' is entirely a subject hotly debated in Nigeria's political space. Consequently, the Boko Haram terrorist group has launched several attacks against the Nigerian State.

However, the magnitude and severity of the attacks by Boko Haram terrorist group are greater in some states/cities than others in the same Northern part of Nigeria. According to Champion Newspaper Report of June 12, 2011, it is estimated that Borno State records the highest rate of casualties (2,400), Yobe (1,950), Adamawa (1,720), Bauchi (1,500), FCT Abuja (1,510), Kaduna (1,230), Plateau (1,200), Kano (850), Niger (520). This is further explained in Fig. 2 below:

#### States/Cities in Northern Nigeria with high rate of attacks by Boko Haram

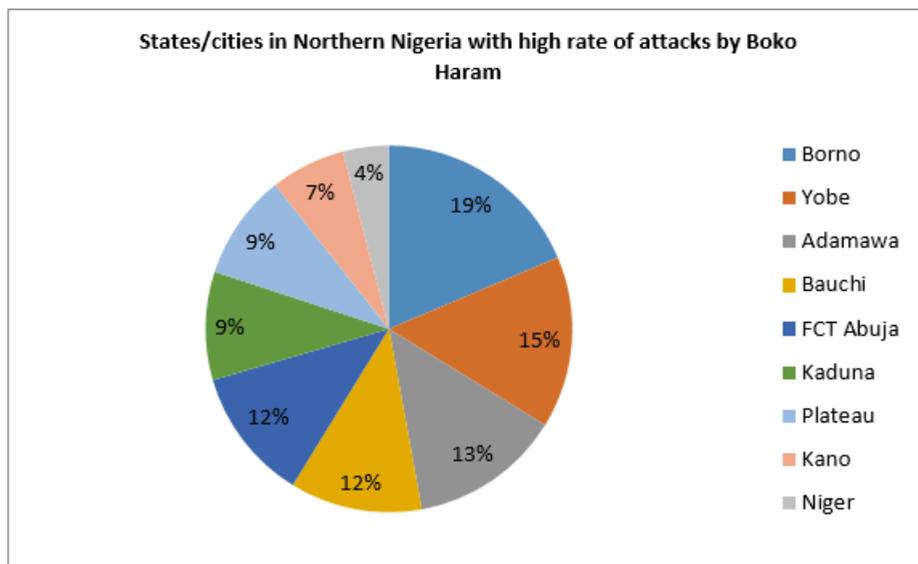


Fig 2: States/cities in the Northern part of Nigeria with high rate of attacks from Boko Haram terrorist group. Source: *Champion Newspaper, June 12, 2011.*

From fig. 2 above, it is observed that the state that received the highest rate of terrorist attack from BokoHaram between 2009-2018 was Borno State. Similarly, the Borno State has continued to receive several attacks from this terrorist group, even after the death of the Boko Haram founder. Thus, the climax of this inhuman act was the adoption of over two hundred (200) Chibok Dapchi school girls in 2014 and 2017 respectively by Boko-Haram terrorist groups. The reason could be that

the group was formed in Maiduguri which is the Borno State Capital. The next state that received severe attacks from this group as evidenced in fig. 2 above was Adamawa, followed by Yobe State, especially Damaturu. The reason could be as a result that Boko Haram moved from Maiduguri where it was formed to Yobe State where it established its operational base it named 'Afghanistan'. As stated earlier, it was from its operational base in Yobe State that it began to launch incessant attacks on police officers and police stations in the area. Thus, other states and cities in the North that received attacks from Boko Haram could simply be as a result of the arguments among observers that Boko Haram is a terrorist agenda of some groups from the North to pull down the secularity status of the Nigerian State.

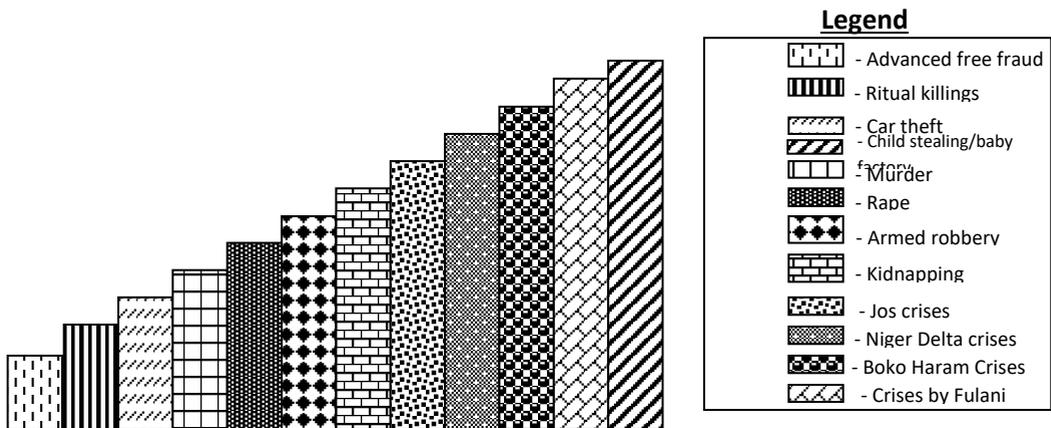
It is pertinent to note that Boko Haram promotes a version of Islam which makes it 'haram' or forbidden for Muslims to participate in any political or social activities with Western States and their allies. This includes voting in election, wearing shirts and trousers or receiving a secular education (Ajayi, 2011). The activities of the Boko Haram terrorist group constitute serious security threats to effective implementation of the National Security Policy of Nigeria. Thus, between 2009-2018. This group has killed so many residents in Nigeria, destroyed property of both the government and citizens and subjected millions of Nigerians to IDP camps. The criminal activities of this group and their implications on the implementation of National Security Policy of Nigeria are put to clear perspectives by some scholars who bluntly argue that:

*...the recent surge of the Boko Haram through series of bombings that have killed several innocent Nigerian citizens is a serious breach and challenge to national security. The bombing of the United Nations building in Abuja on Friday 26<sup>th</sup> August, 2011, killing not less than 22 people and wounding scores of others has further demonstrated not only the wickedness of the group, ... these bombings are serious crimes against the Nigerian State and threaten national security... (Ekanem et al., 2011:33).*

The activities of Boko Haram which has raised critical questions among investors on the safety of their investments in Nigeria range from killing of innocent Nigerians/residents, raping of women, to indiscriminate bombing of major cities, churches, police stations and public gatherings, especially in the northern parts of Nigeria. As some analysts argued, these criminal activities have not only gained Nigeria a poor image in international political arena, but also impacted negatively on the economy of the Nigerian State.

It is imperative to note that the Boko Haram group may have executed other terrorist attacks against the Nigerian State apart from those presented in this study. Also, some of the criminal attacks by the group against the Nigerian State and its citizens may not have been effectively reported to the public by the media. This situation makes it difficult to have accurate data of the activities of this anarchist movement against the Nigerian State and her citizens.

Beside the security challenges posed by Niger Delta crises, Jos crises, kidnapping in the South-East, Boko Haram terrorist group and crises by Fulani Herdsmen in some part of the Northern Nigeria, the Nigerian political space also witnessed other forms of security threats or what could best be described as criminality. Some of the security threats were violent in nature like the case of rape, armed robbery, ritual killing, murder, child stealing/baby factory making venture etc, while others like HIV/AIDS, Ebola, cholera, Lassa fever, etc were non-violent. These security threats appear to have adversely affected the Nigerian economy, the image of the country at the global arena and social relations among the Nigerian citizens. The magnitude and severity of these crimes differ sharply from major security challenges witnessed in Nigeria in recent times, such as Niger Delta crises, Jos crises, kidnapping, Boko Haram insurgency and Fulani Herdsmen crises. However, the magnitude, severity and concerns generated by some internal security challenges in Nigeria is represented in fig. 3 below:



**Fig. 3: Presentation of Minor and Major Internal Security Problems in Nigeria.**

Source: Nwagboso's field survey, 2018.

From Fig. 3 above, it is evident that categories of crimes that posed threats to internal security governance of Nigeria. They are grouped as major and minor security threats in Nigeria. Thus, the minor security threats are criminalities that may have impacted only the economy of Nigeria. They include, rape, armed robbery, ritual killings, car theft, murder, child stealing/ 'baby factory making venture', advanced free fraud, among others. The major security threats are those that impact negatively on both the economy and statehood. They include, the Niger Delta crises, Jos crises, kidnapping, Boko Haram crises and crises by Fulani Herdsmen. However, the Jos crises and kidnapping are included in these categories as a result of their implication on the image of Nigeria in global politics.

#### v. Crises by Fulani Herdsmen

Recently, another ugly internal security challenge that currently perturbs the government and the people of Nigeria is the incessant mayhem launched by Fulani Herdsmen mostly in the Northern part of the country. Thus, "Fulani" is an ethnic nationality found in core northern states of Nigeria, such as Borno State, Kano, Jigawa, Bauchi, Zamfara, Yobe, Adamawa, Katsina, Sokoto, Gombe among others. Their traditional occupation prior to the current wave of globalization and western civilization is cattle rearing. Indeed, the 'Fulanis' usually move their cattles from one geographical location to another. However, available evidence shows that due to poor climatic condition in the Northern Nigerian, which most often delays rainfall in the region, the 'Fulanis' move their cattles from the Northern part of Nigeria to Southern part of the country, especially during dry season (October to March).

This nomadic movement and its attendant implications as widely acknowledged by some Nigerians is occasioned by the fact that between October and March, the 'Fulanis' find it difficult to feed their cattles as grasses usually die during the period. Hence, they move to Southern part of the country in search of green pastures for their cattles. It is significant to note that the Fulanis move back to the Northern part of Nigeria during raining season.

Historically, Fulani Herdsmen usually encounter clashes with farmers in the Northern Nigeria due largely to destruction of their crops and farm lands by their cattles. On the other hand, the herdsmen often face severe challenges from cattle rustlers (armed cow thieves) who often launch attack from neighbouring countries like Niger Republic, Chads, Cameroon, among others.

However, both the crises from the perspective of Herdsmen- farmers and Herdsmen- cattle rustlers undoubtedly have long historic antecedence. There was never a time the clashes by Herdsmen and farmers as well as Herdsmen and cattle rustlers posed threat to the authority of the state and corporate existence of Nigeria as sovereign nation-state.

Recently, there appears to be a paradigm shift in threat perception and conceptualization of internal security challenges in the Northern part of Nigeria. This is because, what used to be a common internal security challenge in the region such as Herdsmen-farmer clashes and Herdsmen-cattle rustlers, have significantly metamorphosed into a more perturbing internal security challenge in the country. Consequently, available documented evidence has shown that in 2012, Herdsmen started

to move around for grazing of the cattles with guns and ammunition and frequently launch attacks on civilian population (Aminu, et al, 2018). Indeed, such barbaric dispositions on civilian population, particularly farmers resulted in the destruction of lives and property of most communities in Benue, Kaduna, Zamfara, Borno, Yobe, Adamawa, Taraba, etc. Thus, between 2012 and 2014, the clashes between Herdsmen and farmers persisted and this resulted to most communities running away from their homes.

However, government responses to this ugly internal security situation in the Northern Nigeria were the establishment of Internally Displaced Persons (IDP) camps in most states ravaged by Herdsmen-farmers clashes. Also, government responded to this pathetic internal security situation by swift implementation of a critical component of welfare policy such as the distribution of relief materials to the Internally Displaced Persons (IDP) at various camps in the affected Northern States of Nigeria. Thus, such relief materials include food items, building materials, drugs and money among others. The menace of armed Herdsmen-farmers conflicts are mostly witnessed in the following Northern states as presented in table 1 below:

**Table 1: States in the Northern Nigeria mostly affected by Herdsmen-farmers crises**

S/N	State	Geographical zone
	Benue	North-Central
	Kaduna	North-Central
	Adamawa	North-East
	Yobe	North-East
	Taraba	North-East
	Borno	North-East
	Zamfara	North-West
	Nassarawa	North-Central
	Jigawa	North-West

Source: Nwagboso's field survey, 2018.

From table 1 above, the Herdsmen-farmers crises mostly affect states in the North-East geo-political zone of Nigeria. This is followed by the North Central and North-West. The reason why the North-West is mostly affected as some analysts have argued is duely largely to the long historic internal security challenges occasioned by the activities of the Boko Haram in the region (Obi, et al, 2018). In table 1, we found out that the barbaric activities of Herdsmen have spread to some other states in the North-Central, such as Benue, Nassarawa and Kaduna. Similarly, the dastardly acts exhibited by the Herdsmen became a source of worry to some states in the North-West such as Zamfara and Jigiwa.

As a response to this new phase of internal security challenge in the Northern part of Nigeria, the Federal Government considered the enactment of Open Grazing Law. Thus, the Open Grazing Law seeks for the establishment of grazing areas in all parts of the Nigerian States. The aim is to ensure that state governments across the 36 states of the Nigerian Federation provide land for Fulani Herdsmen to move their cattles in those states and openly graze/feed them without hindrances.

Consequently, some advocates/proponents of this view (Open Grazing Bill), immediately sponsored a bill at the Nigerian Senate for possible passage into Law. This strategy by Buhari-led administration to clandestinely coerce State Governments in Nigeria to cede part of their territories for open grazing agenda in favour of Fulani Herdsmen (his kinsmen), was welcomed by few (State Governors from the Northern Nigeria. For instance, the Governors of Benue (Samuel Ortom) and Kogi State (Yahaya Bello) did not hesitate to accept the idea without considering its devastating implications on the internal security governance of their states, particularly and Nigeria generally. Paradoxically, Benue State is currently the worst hitherto devastated or destroyed by the dastardly acts of the Fulani Herdsmen.

Interestingly, the Governor of Abia State, Okezie Victor Ikpeazu, Ph.D, did not hesitate to raise objection to Open Grazing view in Nigeria. This was after Dr. Ikpeazu had carried out empirical and scientific studies on the activities of Fulani Herdsmen in communities they have previously cohabited. Thus, several available documented evidence has demonstrated that Fulani Herdsmen often engage in expansion agenda, ultimately aimed at driving away, their host communities wherever they are allow to live (Olaniyi & Nzeagwu, 2018; Akor & Iwok, 2018).

Indeed, the position and argument of the Governor of Abia State that the idea for the enactment of Open Grazing Law by the Federal Government of Nigeria as welcomed by Governors Ortom of Benue and Yahaya Bello of Kogi States was later accepted by many State Governors in Nigeria as best option for the country. According to some State Governors, Governor Okezie Ikpeazu of Abia State was right in his arguments over objection to Federal Government's proposed Open Grazing

Law. Thus, the supporters of Dr. Ikpeazu in this regard such as his colleagues from other states eminent Nigerians from academia, businessmen, traditional institutions, among others, increasingly resulted to stiff opposition by many Nigerians against passage of Open Grazing Bill into Law by the Nigerian Senate.

It is, therefore, pertinent to note that Benue State Governor, (Samuel Ortom) who was the First Senate Governor in Nigeria to welcome the idea of Open Grazing Law, is currently at the fore-front criticizing the idea, working assiduously to suffocate any move or ploy to cede parts of Benue territory to Fulani Herdsmen for grazing ventures. This is largely due to the fact that his state (Benue) is deeply devastated by the menaces of Fulani Herdsmen.

Unfortunately, the 'farmers-herders' crises in the Northern part of Nigeria have taken pathetic and vexing dimension. The crises which have received condemnation from regional and international communities not only appear to be transnational, but also seems to be sponsored by foreign non-state actors. This is because, what some observers and analysts describe as "Killer Herdsmen" operate from Nigeria's immediate borders and other countries like Libya as recently asserted by the Nigerian President, His Excellency, Muhammadu Buhari. The mercenaries intrude into Nigeria from neighbouring countries such as Niger, Chad, Cameroon etc, attack defenseless communities, kill, maim and rush back to their base. From intellectual point of view, these mercenaries do not move with cows like the conventional Fulani Herdsmen that used to engage in conflicts with farmers in Northern States of Kebbi, Katsina, Bauchi, Sokoto, Yobe, Zamfara, among others.

To be sure, the crises between the farmers and herdsmen in the above states and many parts of the Northern Nigeria were largely due to the invasion of farmer's lands belonging to farms by the Herders. This behavioural pattern of Herders ultimately destroys crops and sometimes results to hunger in many parts of Nigeria in the subsequent year. Precisely, the current face-off between most communities in the Northern Nigeria and the so-called killer Herdsmen is undoubtedly different from the traditional threat perception that frequent occur between farmers and herdsmen in the northern part of Nigeria.

According to the Nigerian Watch Organization, the crises between farmers and Fulani Herdsmen/or Killer Herdsmen and rural communities in the Northern Nigeria has claimed about 14,000 lives in 2018 alone (Nigerian Watch Organization, 2018). This latest development in threat perception in Nigeria has raised different debates. To some, the crises between the killer herders and communities in the North are a continuation of Boko Haram onslaughts in the North-East Zone of the countries. This includes Borno, Yobe, Adamawa and Taraba. However, other analysts and observers argue that the crises in the Northern part of Nigeria are well planned, articulated, conscious and deliberate action, strategically aimed at wiping away some ethnic nationalities. This position is supported by the assertion by Former Military Leader and Minister for Defence, under Chief Olusegun Obasanjo's administration, Lt. Gen. T. Y. Danjuma. Recently, Danjuma categorically stated in press release that the current killings in Taraba State (his state of origin) and several other Northern part of Nigeria, is undoubtedly an "ethnic cleansing", systematically aimed at 'wiping out' particular ethnic groups in Nigeria. The retired Army General further urged Nigerians "to rise up defend your state against herdsmen attack".

Thus, the above statement by Danjuma has continued to attract criticisms from certain segments of the Nigerian State, particularly the military. This is because; the retired Army accused the Nigerian Armed Forces of colluding with bandits (Killer Herdsmen) to kill people (PM News, 2018). However, General Danjuma analytical disposition captured pathetic feelings of some security experts who bluntly argue that 'any insurgency that lasts more than four days implies that the military/or Armed Forces has a hand in it' (Oyedele, et al, 2018; Adeyemi, et al, 2018).

Generally, all these claims and counter claims point to the fact that the killings of innocent Nigerians by either Fulani Herdsmen or killer (hired) Herdsmen in the Northern part of Nigeria have continued to be on increase despite purport efforts of the Nigerian Military, particularly in the North. The analysts' positions are further justified by the recent killing of two Reverend Fathers and several parishioners by killer/herdsmen on their return from burial of their members. Thus, these religious leaders and their members were murdered by the armed bandits despite the existence of troops deployed to Benue State by the Buhari-led Federal Government.

The killing of the two Reverend Fathers and their members attracted protests by Catholic faithfuls across the 36 states of Nigeria and Federal Capital Territory (FCT) Abuja (Adeyemi, et al, 2018). These internal security challenges are still taking place despite claims by the Federal Government that Boko Haram has been defeated. The pathetic internal security challenges in Nigeria, particularly in the northern part of the country has not only militarized the Nigerian political space, but has also resulted to the recent abduction of Dapchi school children, suffering of large number of families in IDP camps, destruction of numerous lives and property of Nigerians, deterioration of the image of the country at global arena, and suffocation of economic development of Nigeria, particularly since 2015. Consequently, the Nigeria's internal security architecture has been bastardized and the capacity of the state to justify her fundamental responsibility of protecting lives

and property of the citizens are currently questionable.

The internal security situation in Nigeria is currently more worrisome as some public functionaries serving under President Muhammadu Buhari-led administration are calling on states in Nigeria such as Benue and Taraba to suspend Open Grazing Law which their State House of Assemblies have already passed into law. It is evident that Benue and Taraba States are mostly affected by nefarious activities of Fulani Herdsmen. Similarly, both Christian and Moslem faithfuls cohabit in these two states. However, observers have asserted that in view of killing of Christians and bombing of churches in these two states (Benue and Taraba) by Fulani Herdsmen, depict deliberate attempt to stamp out christianity in both state. For some security experts, suspension or withdrawal of Anti-Grazing Bill implies the killing of more Christian population in the two states.

### **Conclusion**

This paper has attempted with fair degree of objectivity, to expose the Nigeria's internal security challenges in the 21st Century. The study exposed the inadequacies of the internal security policies of Nigeria and the Nigerian Police Force (NPF) to tackle internal security challenges in Nigeria. However, the high level of unproductive disposition of the Nigerian Police and gross inadequacy of institutional manpower resulted to the involvement of the military in internal security architecture of the Nigerian State, which is mostly conceived as aberration. Thus, its aberration is rooted in theorization that continuous deployment of the military in internal security governance is capable of encouraging military intervention in any social formation.

Thus, this pathetic situation has resulted to multifariousness of several criminal groups agitating one thing or the other against the local, state and federal governments in Nigeria. These criminal elements/groups include the Niger Delta militants, the Islamic extremists in Jos, the kidnapers in the South-East, the Boko Haram, Fulani Herdsmen, terrorist groups, among others.

Consequently, the activities of these unregistered group, and unlawful armed men and non-state actors which could not be effectively controlled/handled by both the internal security policies and security agencies have continued to impact negatively on the economy of the Nigerian State, particularly since 2011-2018.

This ugly scenario partly explains why Nigeria witnessed serious economic recession, unable to pay public workers' salaries, exodus of foreign/multi-national companies, closures of indigenous manufacturing companies, low investment outlook in Nigeria, hunger/malnutrition among Nigerians, poor health status, low expectancy rate, tension, civil uprising, violent agitations, religious differences, hate speeches among others.

This, however, calls for stringent approach by policy makers, not only to effectively implement Nigeria's internal security policies to redress the identified challenges, but also to salvage the country from imminent disintegration as a federation.

### **Recommendations**

To address the challenges posed by internal security in Nigeria, especially in this 21st Century, the following evidence-based policy recommendations are proffered:

The federal government of Nigeria should review the national security policy and include more robust ingredients capable of addressing the generational causes of internal security in the country such as poverty, unemployment, inequality, corruption, among others.

The Federal Government of Nigeria should adopt more stringent penalties for violent crimes such as those committed by Niger Delta militant group's avengers, kidnapers, Islamic extremists, Boko Haram groups, among others. This will serve as deterrent to youths that may form such criminal groups to intimidate government and her corporate existence in Nigeria.

Government at all levels in Nigeria should partner with corporate bodies to create employment for the Nigerian youths. This will discourage large number of idle youths from forming criminal groups against the citizens and the government in the Nigerian State.

Since agriculture can accommodate large number of unemployed citizens in Nigeria, government should stop playing politics with it and give Zero Interest Loans (ZIL) to youths to embark on poultry farming, fish farming, cattle farming, snail farming, piggyery, cassava farming, vegetable farming, among others. This will boost food production and further reduce hunger, unemployment, poverty and insecurity in Nigeria.

Federal, State and Local Governments should establish a more robust relationship with international institutions such as

World Bank, Agricultural Development Bank, African Development banks, World Health Organization, UNDP, USAID, among others. This will enable these agencies empower large number of Nigerians in various fields of human endeavours. This will further reduce the spate of insecurity in the contemporary Nigerian State.

The National Assembly in Nigeria (Senate and House of Representatives), should enact a Law to address the citizenship debates in Nigeria. The new law should ensure that 'residency' rather than 'origin' of where one comes from, must be the basis of citizenship in Nigeria. This will address the internal security problems in Jos, and many parts of Nigeria.

The Nigerian Government should assist cattle farmers (both from Northern and Southern) Nigeria, with zero-interest loan facilities to establish ranches across the country. This will reduce the fiasco between farmers, Fulani Herdsmen and cattle rearers from the Southern part of Nigeria.

The appointment of Service Chiefs (Police, Army, Navy, Airforce, DSS and other Para-military services) in Nigeria should not reflect sectionalism or being perceived by Nigerian as ethnic-based, as evidenced from the actions of Mohammedu Buhari-led administration in his first tenure of office as the Nigerian President. This will ensure that Service Chiefs will see their positions as crucial, to protect lives and property of all Nigerians, irrespective of their origin, rather than a particular segment of the Nigeria State.

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# The Relationship Between Experiential Marketing and Corporate Reputation: a Research on Turkish Operator Companies

**Ph.D. Osman Özdemir**

Şırnak University, Faculty of Economics and Administrative Sciences, Şırnak

**Prof. Şakir Erdem**

Marmara University, Faculty of Business Administration, Istanbul

## Abstract

The main purpose of this study is to investigate whether the experiential marketing components are related to corporate reputation. It focuses on the relationship of sensory, emotional, cognitive, behavioral and relational experiences to corporate reputation components. In addition, the mediator effects of environment and social media on this relationship has been examined. In the qualitative research part of the research, a large study was done in the literature. Afterwards, negotiations were held with academicians and managers who are experts in the field. It was pretested with validity and reliability and accepted scales. After making the necessary changes, the survey collection phase was passed. In the quantitative research part of the study, face-to-face interviews and survey data filled by 464 people were used. The relationship between experiential marketing and corporate reputation has been tested by structural equation modeling. According to this, path analysis between experiential marketing and corporate reputation was established and relations were found meaningful and positively. While there is a significant effect of the environmental variable, the effect of the social media variable was not found.

**Keywords:** Experiential Marketing, Corporate Reputation

## 1. Introduction

Reputation provides for businesses positive perception by economic, political and social environment allowing the business to grow both locally and globally. Today, developed markets are reaching saturation and emerging markets gain importance. In emerging markets, businesses will have the experience and reputation that will enable them to take place with low risk and high control. (Dima vd., 2013: 52-53).

The desired outcome for businesses is to have a strong corporate reputation. In this context, businesses need to focus on emotional appeal, quality goods and services, vision and leadership, reliable business environment, financial performance indicators and social responsibility activities. (Fombrun ve Shanley, 1990, 233).

## 2. Theoretical Background of Experiential Marketing and Corporate Reputation

### 2.1. Experiential Marketing

In experiential marketing there are goods, services and experiences aimed at providing sensory, emotional, cognitive, physical and social experiences to consumers. Today, it is stated that customer experience management concept is needed instead of customer relationship management concept in marketing activities. Emphasis is placed on the importance of employees' experiences and the need to give importance to employee experiences for their reputation (Torlak, 2007: 50).

Sensory experience is perceived experiences with five sensory organs. It implies that experience is perceived as different and beneficial. It is evaluated in this context that businesses experience contact with consumers at the contact points. For example, P&G brand of detergents are keeping on odor, whiteness and softness reveals the importance of senses in consumer preference (Deligöz, 2016: 35-37).

Consumers have psychological and sociological characteristics, and their behavior is also based on emotional reasons. The research on corporate reputation emphasizes the importance of the emotional experience of businesses. It is desirable that businesses are reliable, honest, ethical, helpful, hospitable and responsive (Zaltman, 2004: 203-204)

Businesses need to understand and meet the needs, desires and fears of consumers. Therefore, corporate reputation can be increased by interaction and empathy. Employees with an empathic sense make customers feel better and increase their commitment to business (Freemantle, 2000: 143-144).

The preference of the businesses depends on being an advanced technology, reliable, innovative, creative and proactive. The fact that businesses differ from their competitors because of their presenting experiences. Experiences affect the rational decisions of consumers (Zaltman, 2004: 188-189).

Businesses want consumer to change life positively with experiential marketing. For example, Starbucks positions itself as an alternative to home, office or library. Since consumer are motivated not just for coffee, but sitting for hours to chat, meet or study (Kalyoncuoğlu, 2017: 69).

Relational experience is an experience that includes other experiential marketing components. In this experience, which focuses on the social relations of consumers with their business and other customers. Since customers are associated with goods, services and experiences. For example, consumers who adopt the Harley-Davidson brand, see themselves as members of a group and live their sense of belonging with a lifestyle (Schmitt, 1999: 173). On the other hand, businesses increase their earnings through the size of the community while customers can consume together with the community (Yaman - Zerenler, 2018: 78).

## **2.2. Corporate Reputation**

Admiration, esteem and trust towards businesses are features that enhance emotional appeal. Another feature that enhances emotional appeal is that businesses are included in donation campaigns. These increase profitability, market share and corporate reputation (Fombrun - Shanley, 1990: 251).

High quality goods and services provide for businesses significant advantages. It increases not only corporate reputation but also a long-term advantage with repayments maintenance and profitability is long-lived. The sharing of goods and service provision with word of mouth will cause those who want to experience them. In particular, social media are influencing and directing consumers in search of experience (Caruana, 1997: 110).

The people who set the vision in the business are seen as the leaders. It is stated as a successful talent that the leaders have the ability to act, maintain and give experience to his employees. In addition, employees who believe in their leader can relate between today and the future. Leaders with a high level of communication skills are also involved in understanding the vision, relating it to values and achieving it. (Morden, 1997: 668).

In today's management concept, the business environment has changed in recent years. The adoption of an open system in the business environment is aimed at increasing the relations among employees and creating synergy. Leaders want to increase the motivation of employees. Therefore the business environment is shaped. The vision of the business is also seen as a motivating tool and is used to achieve long-term goals (Bareket, 2012: 433-434).

Consumers behave cognitively and emotionally when evaluating businesses' past and present financial strengths. Strong businesses that have financial power indicates have strong reputation. In corporate reputation scales, the evaluations are based on the financial indicators of the previous years. The evaluation of financial performance is about comparing with businesses and competitors's past and present situation. Sustainable competitive advantage can be seen in this context. (Inglis, 2006: 936).

Businesses' social responsibility activities in global markets are handled with a balanced approach to the values of different cultures. Experiences are presented should take into account the aims of the business, the needs of the community and cultural pressures. The return of these experiences to business is an increase in economic performance and a positive corporate reputation. In this context, social responsibility activities are not considered as a cost but as a strategic investment (Dima et al., 2013: 53-54).

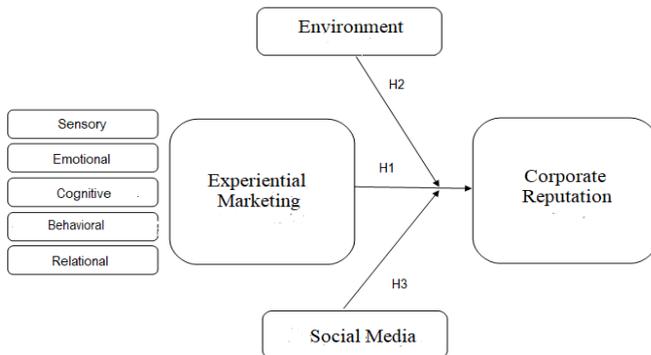
## **2.3. The Environment and Social Media**

The environment and social media affect business relations. Corporate reputation of businesses in the globalizing world depend on their environment and social media activities. The environment have features economic, politic, technological, culturel and competitional. On the other hand, consumers' knowledge and motivation of social media to use social media are also affecting businesses today.

## **3. Conceptual Framework and Hypotheses**

Based on the previous research the following hypotheses have been listed to be tested.

- H1: Experiential marketing is significantly related to corporate reputation.
- H1a: Sensory experience is significantly related to corporate reputation.
- H1b: Emotional experience is significantly related to corporate reputation.
- H1c: Cognitive experience is significantly related to corporate reputation.
- H1d: Behavioral experience is significantly related to corporate reputation.
- H1e: Relational experience is significantly related to corporate reputation.
- H2: Environment affects the relationship between experiential marketing and corporate reputation.
- H3: Social media affects the relationship between experiential marketing and corporate reputation.



**Figure 1. Conceptual Model**

Based on these hypotheses, the research model is structured to explain how sensory, emotional, cognitive, behavioral, relational experience affect corporate reputation through environment.

## 4. Methodology

### a. Measures

A review of the literature yielded a number of measurement instruments that were employed to test the hypothesized model and each scale has a history of reliable measurement (See Table 2). All scales employed in this study were measured on five-point Likert scales ranging from 1 (strongly disagree) to 5 (strongly agree). In the process of translation, the techniques of back translation and parallel translation have been adopted with the help of a group of academicians fluent in English and Turkish. The final Turkish version of the questionnaire was further verified by the authors of this paper.

**Table 1. Measurement items**

E x p e r i e n c i a l	M	<p>The communication activities of the brand are visually and audibly influential</p> <p>The brand has distinctive activities according to its competitors</p> <p>The communication activities of the brand address all sense organs</p> <p>The communication activities of the brand provide charm to this brand</p> <p>The communication activities of the brand are making my feelings positive in the act</p> <p>The communication activities of the brand affect me emotionally</p> <p>The communication activities of the brand strengthen emotional dependence on the brand</p> <p>This brand is a brand I think about from time to time</p> <p>This brand has an intriguing and interesting feature</p> <p>I see this brand as a creative and innovative brand</p> <p>I see this brand as a brand that solves my problems</p> <p>This brand encourages me to enter my own website</p> <p>This brand evokes research requests about the services it provides</p> <p>I would recommend this brand to people around</p> <p>I follow traditional communication channels to get information about this brand</p> <p>I follow the brand regularly on the social media</p> <p>I follow the brand from social media to communicate with other users of this brand.</p>	S c h m i t t (1999)
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C o r p o r a t e R e p u t a t i o n	I have positive feelings about this brand I trust this brand This brand is a respected brand I am proud to use this brand This brand stands behind the services it offers This brand offers innovative services This brand offers high quality services This brand offers valuable services for the fee I pay This brand has a clear and understandable future vision This brand has a strong leader and valuable executives within the organization This brand has the ability to see market opportunities This brand is managed well and correctly I think this brand has good and qualified employees I think this brand has the ambience to create a work request I think this brand has a very strong profitability history I think this mark does not invest in risky areas I think this brand has the potential for further growth in the future I think this brand has better economic performance than its competitors This brand offers people a high standard of quality This brand is environmentally responsible This brand supports charitable activities with social responsibility activities	F o m b r u n etc. (2000)
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E n v i r o n ment	Economic developments affect the brand Political developments affect the brand Technological developments affect the brand Cultural developments affect the brand Competitive developments affect the brand	P o r t e r (1990)
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S o c i a l M e d i a	I like to enter social media for information Social media is available for information Learning marketing communication activities of the brand from social media I keep track of developments, innovations and existing product updates on brands from social media I like to get social media information about brands and exchange ideas about them The feeling of self-motivation motivates me to participate and use in social media communities (Facebook etc.) To motivate me to participate and use social media communities to realize personal goals (to get information about products and brands etc.) Supporting other social media users in the direction of my knowledge motivates me to participate and use social media communities	C h a h a l and R a n i (2017)
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## b. Sampling and Data Collection

Data for this research was collected through a questionnaire survey. During four week period, more than 480 respondents completed the survey. After sorting and removing duplicate submissions, a net sample of 464 usable questionnaires remained. The major demographics of the respondents were listed in Table 2.

**Table 2. Demographic characteristics of survey respondents (N=464)**

<b>Gender</b>	<b>Female</b> %54,1			<b>Male</b> %45,9				
<b>Age</b>	<b>18-24</b> %16,6	<b>25-34</b> %51,7	<b>35-44</b> %19,4	<b>45-54</b> %9,5	<b>55-64</b> %2,8			
<b>Marital Status</b>	<b>Single</b> %56,3			<b>Married</b> %43,8				
<b>Education</b>	<b>Secondary</b> %1,3	<b>High School</b> %6	<b>2 year Degree</b> %13,6	<b>University</b> %33	<b>Graduate</b> %36,2	<b>PhD</b> %9,9		
<b>Occupation</b>	<b>Public sector</b> %45,9			<b>Private sector</b> %54,1				
<b>Income</b>	<b>Under than 1000TL</b> %3,4	<b>1001-2000TL arası</b> %12,1	<b>2001-3000TL arası</b> %24,6	<b>3001-4000TL arası</b> %26,3	<b>4001-5000TL arası</b> %18,5	<b>5001-7500TL arası</b> %9,7	<b>7501-10BinTL arası</b> %2,8	<b>More than 10BinTL</b> %2,6

The sample comprised of 251 Female and 213 Male. Ages of the sample ranged between 18 to 60. Data obtained from questionnaires will be analyzed through the IBM SPSS 23.0 and AMOS 22.0 statistical programs

## 5. Analysis and Findings

The main purpose of the study is structured to explain how sensory, emotional, cognitive, behavioral, relational experience affect corporate reputation through environment. To identify and test the underlying structure of the scales exploratory factor analyses (EFA) were employed to each measurement as the initial step. The EFA results were further validated with confirmatory factor analyses (CFA). Kaiser-Meyer-Olkin measure of sampling adequacy and Bartlett test of sphericity tests were performed to test the appropriateness of data for conducting factor analyses (Sharma, 1996)

The KMO test results are above the accepted limit of 0.50 for each factor. In the Bartlett test results, it is seen that p value is significant and below 0,05. In this context, it is appropriate to perform factor analysis with the existing data set.

Each factor has a Cronbach Alpha value greater than 0.70, which is the result of the reliability analysis.

Experiential Marketing	CMIN	DF	CMIN/DF	CFI	RMSEA
	416,287	108	3,855	,929	,079
Corporate Reputation	CMIN	DF	CMIN/DF	CFI	RMSEA
	568,036	174	3,265	,944	,070
Environment	CMIN	DF	CMIN/DF	CFI	RMSEA
	12,578	4	3,145	,992	,068
Social Media	CMIN	DF	CMIN/DF	CFI	RMSEA
	25,634	7	3,662	,988	,076

**Table 3. Results of CMIN/DF, CFI and RMSEA**

The results of confirmatory factor analysis seem to be consistent with the theoretical basis. CMIN / DF values are below 5.00. It is stated that values below 5.00 are acceptable (Marsh and Hocevar, 1985). CFI values are close to 1.00. This

Path Analysis	CMIN	DF	CMIN/DF	CFI	GFI	AGFI	RMSEA
	5,894	4	1,473	,998	,995	,981	,032

indicates that the compliance indices are very good and meaningful (Bentler, 1990). The RMSEA values are below 0.08 and represent a very good fit. (Browne - Cudeck, 1993)

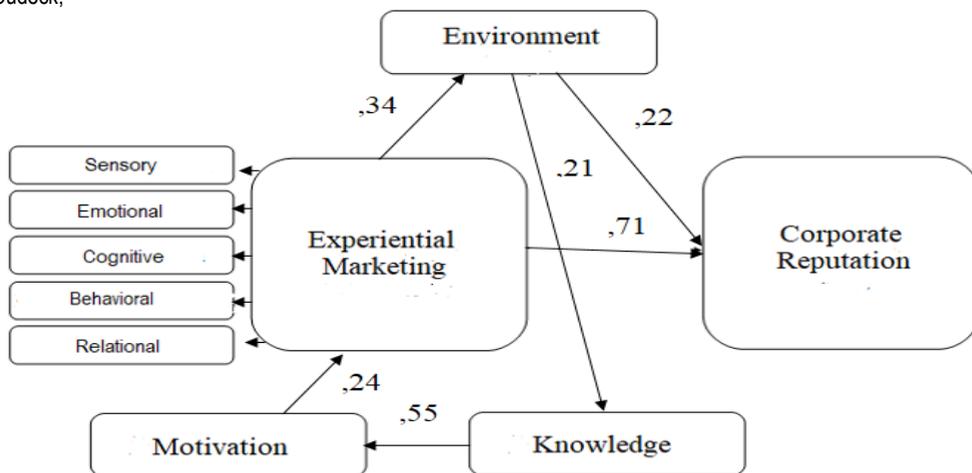
**Table 4. Result of Path Analysis**

As a result of the path analysis, it is understood that the fit and the predictive power are statistically significant. The CMIN / DF value has risen to 1.473 below the 5.00 value and is stated in the literature that values below 5.00 are acceptable (Marsh and Hocevar, 1985).

The CFI value is 0.988 and is close to 1.00. In this context, it can be said that it has a very good harmony value. NFI, RFI, IFI and TLI values are consistent with the values of 0,993, 0,982, 0,998 and 0,994 (Bentler, 1990).

The GFI value expresses the goodness of fit index and it is 0,995 and it shows perfect fit with the value close to 1.00 (Tanaka - Huba, 1985). The AGFI value is 0.981 and the value close to 1.00 with a good fit.

The RMSEA value is 0.032, which is lower than 0.08, indicating the perfect level of conformity in the model (Browne - Cudeck, 1993).



**Figure 2. Graphical representation of path model**

When the results for the standard direct effect in path analysis are examined, there is a 0.71 relationship between experiential marketing and corporate reputation; there is a 0.55 relationship between social media knowledge and social media motivation; there is a 0.34 relationship between experiential marketing and the environment. In this context, it can be said that the variables have significant relations with each other in the positive direction.

When the standard indirect effects are analyzed in the path analysis, it is understood that the effect of the environment is 0.022 on the relationship between experiential marketing and corporate reputation as the intermediate variable. The effects of social media knowledge and social media motivation as intermediary variables on experiential marketing were found as 0.073 and 0.040, respectively.

As a result, H3 is rejected while the study's H1 and H2 hypotheses are accepted. In other words, the experiential marketing approach is significantly related to corporate reputation. While environmental variable influences the relationship between experiential marketing and corporate reputation, the social media variable has no effect.

**6. Conclusion**

The paper finds that sensory, emotional, cognitive, behavioral, relational experience affect corporate reputation directly or indirectly through environment.

The importance of consumer behaviour and being active on social media via Youtube, Facebook, Twitter and others come to exist in the study. Companies reserve a share of advertising budgets, especially to reach the y and z generation and affect their purchase intentions. Consequently, in the study all variables are positively related to each other and shows

satisfactory levels. These results suggest that marketers need to take into account and manage actively experiential marketing activities, their environments, social media sites.

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## Exploring Foreign Language Communication Apprehension Among the English Language University Students in the English Language Classroom Setting

**Draženka Molnar**

PhD, Assistant Professor, J. J. Strossmayer University of Osijek,  
Faculty of Humanities and Social Sciences, Croatia

**Gabrijela Crnjak**

### Abstract

Over the past few decades the interest in communication apprehension has increased among researchers and teachers in the field of second/foreign language acquisition (SLA/FLA). The present paper is set between the macro perspective of the social-psychological period – by giving a general view of communication apprehension (CA) – and the situation-specific period – by taking into consideration the immediate educational context. The paper focuses on the phenomenon of communication apprehension among the Croatian university level students in a foreign language classroom setting. In particular, it investigates if there is a difference in the total level of communication apprehension between undergraduate and graduate students of English Language and Literature. Furthermore, it explores whether there is a relationship between different aspects of communication apprehension and the total level of communication apprehension and which background factor is the best predictor of communication apprehension among the students. The first part of the paper brings a theoretical background of the main concepts in this research, whereas the second part of the paper reports on the research itself. Two sets of instruments, questionnaires completed by the students and in-depth interviews conducted among the teachers, were used for the purpose of this study. The results show that the year of study is not a significant predictor of the communication apprehension level which students experience. Among all variables included in the analysis, the only significant predictors of communication apprehension are *evaluations*.

**Keywords:** in-class communication apprehension; English as a foreign language; university level; evaluations

### Introduction

Communication apprehension (CA) has often been perceived as one of the most important psychological factors that enters versatile interactions with other affective, cognitive and contextual factors in the process of second/foreign language acquisition (SLA/FLA). As such, it has been an attractive research topic for a number of decades but has lately gained wider attention among researchers due to its impact on foreign language learning (FLL).

The world of global English we live in has affected people from all walks of life, from teaching, business and health professionals, to those who simply want to improve their listening and communication skills. As a consequence, learning English as a foreign language (EFL) has become an inevitable part of education. The question how global trends affect EFL learners' (un)willingness to speak in the EFL classroom is at the centre of the present study<sup>1</sup>. In particular, we take a situative perspective by exploring the difference between the potential aspects of communication apprehension and its manifestations among the two generations of university students: undergraduates and graduates in the Croatian socio-educational context.

After a brief review of the CA terminology, selected related issues and relevant research findings, we report on the study carried out with the aim to better understand aspects and effects of communication apprehension on university level EFL students. In the final part of the paper the most important conclusions of this study are drawn, and implications and recommendations for future research are offered.

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<sup>1</sup> Cf. Crnjak (2017) – the present paper is part of the second author's unpublished Master's Thesis

### Apprehension vs. anxiety - Defining the terms

When looking into the terminology, it can be noticed that there is no clear distinction between the term *communication apprehension* the term *speaking anxiety*. In the existing literature the two terms appear in the same contexts, frequently denoting the same phenomenon. At the very beginning of this study the aforementioned terms were looked up in five prominent English online dictionaries and their definitions are presented in Table 1 and 2 respectively.

Table 1. Dictionary definitions of the term “apprehension”

Macmillan Dictionary	<i>a feeling of worry or fear that something bad might happen</i>
Oxford Dictionary	<i>anxiety or fear that something bad or unpleasant will happen</i>
Cambridge Dictionary	<i>worry about the future, or a fear that something unpleasant is going to happen</i>
Merriam-Webster Dictionary	<i>suspicion or fear especially of future evil</i>
The Free Dictionary	<i>fearful or uneasy anticipation of the future</i>

Table 2. Dictionary definitions of the term “anxiety”

Macmillan Dictionary	<i>a worried feeling you have because you think something bad might happen</i>
Oxford Dictionary	<i>a feeling of worry, nervousness, or unease about something with an uncertain outcome</i>
Cambridge Dictionary	<i>an uncomfortable feeling of nervousness or worry about something that is happening or might happen in the future</i>
Merriam-Webster Dictionary	<i>apprehensive uneasiness or nervousness usually over an impending or anticipated ill</i>
The Free Dictionary	<i>a state of uneasiness and apprehension, as about future uncertainties</i>

Although dictionary definitions (see Table 1 and 2) rarely use the terms *apprehension* and *anxiety* interchangeably, relevant research findings point to an occasional overlap of the two terms.

The concept of *communication apprehension* appeared in the United States where it was introduced by J. C. McCroskey in 1970. Early research related to the fear in a second, or a foreign language was conducted under the label of *foreign language anxiety*. Therefore, there are cases in which both terms denote the same phenomenon and are used interchangeably. In his later research findings on communication apprehension, McCroskey (1977) gave a brief overview of the previous studies on the topic offering a variety of terms different researchers would use to cover the notion of fear and anxiety in oral communication. Some of these terms are *stage fright*, *reticence*, *shyness*, *audience sensitivity*, and *communication apprehension*. Both McCroskey (1976) and Spielberger (1983, as cited in Horwitz, Horwitz, and Cope, 1986) could not avoid the term *anxiety* when defining *communication apprehension*. In his 1977 study, McCroskey uses the terms *speech communication anxiety* and *communication apprehension* interchangeably. According to his definition, *speech communication anxiety* or *communication apprehension* is an individual's ability to communicate with others. As an important variable, it has received considerable attention in communication, education and psychology. McCroskey defines *speech communication anxiety* as an individual's level of fear or anxiety associated with another person or persons. It could be concluded that the two terms partially overlap, which could consequently lead to the misconception that they are synonymous.

According to Allen and Bourhis (1995), communication apprehension refers to a family of related terms including: (a) *reticence*, (b) *shyness*, (c) *unwillingness to communicate*, and (d) *stage fright*. They claim that there are arguments for and against the appropriateness and applicability of various terms, although the terms have many elements in common.

However, McCroskey (1976) finds it extremely important to differentiate between the terms *communication apprehension* and *stage fright*. He identifies *communication apprehension* as a much broader term and a much more severe problem that

was faced by a smaller percentage of the population and overlooked because its manifestations were seldom observed except in public speaking settings. Research shows that although *communication apprehension* is often experienced both in public and private settings, it does not prove to be a widespread phenomenon. On the contrary, *stage fright* is claimed to be a rather common phenomenon experienced to some degree by almost everyone who engages in some kind of public activity, i.e. performance in front of an audience, such as singing, dancing, public speaking, and even oral reading. McCroskey (1977) also provides a reason for using the term *communication apprehension* for the purpose of his studies. He states that *communication apprehension* as a term more broadly represents the total of the fears and anxieties studied previously.

The value of McCroskey's (1976) work lies in its capacity to offer a clearer distinction between the terms related to the concept of communication apprehension and therefore serves as the starting point for our theoretical review.

### Related Research

Impelled by the observation that communication apprehension might be one of the most important factors influencing foreign language learning (FLL), over the past few decades the interest in empirical research in CA and the related concepts has increased worldwide. The studies have been rooted in different theories and methodologies, (most notably those advanced by McCroskey and Horowitz and their respective associates) that have given precedence to a number of variables assumed to play an important role in understanding the phenomenon of FLL communication apprehension.

The bulk of early research (Scovel, 1978; Horwitz and Cope, 1986; Krashen, 1987; MacIntyre and Gardner, 1989) suggested that the relation of anxiety to second/foreign language achievement was ambivalent and specific to language learning context, providing thereby evidence in favour of either negative, positive or no relationships.

McCroskey was the first to offer a clearer terminological distinction. In his research paper, McCroskey (1976) employed the correlation analysis in order to determine the relationship between CA and personality traits and intelligence. Furthermore, McCroskey examined some of the possible causes of CA such as intelligence, teacher expectations and students' attitudes. The findings showed that there is a relationship between students' attitudes and CA, which will be additionally confirmed by the present study.

The above mentioned research studies may have more or less unconsciously inspired most researchers to address the problem of CA with reference to EFL learners at the elementary level. However, the problem of CA equally affects more proficient language learners, in particular EFL learners at the university level. Frequently mentioned CA inducing factors at the tertiary level are as follows: language classroom requirements (integrative nature of the classroom and learner's need to communicate), high academic goals, learner's self-consciousness (associated with the image of learner's self).

The observation that the existing theories failed to incorporate all the variables of the communicative process inspired researchers worldwide to further explore and reconceptualise the construct of CA.

Thus, Mihaljević Djigunović's (2004) research was conducted in order to investigate if there is a relationship between language anxiety and a number of individual differences among Croatian students. Her study reveals that there is a correlation between language use anxiety and CA. In other words, individuals with high language use anxiety will also have high CA. In her 2006 study, Mihaljević Djigunović examined the role of affective factors in the development of productive skills. The results of the study point to language anxiety as one of the affective factors and suggest that language anxiety contributes to poor foreign language performance.

Kostić-Bobanović (2007) investigated intercultural CA among freshmen students at the Department of Economics and Tourism at the University of Juraj Dobrila in Pula, Croatia. Her longitudinal study supports the notion that a high level of CA negatively affects both the academic and the social success of an individual.

Toth (2006) explored the role of foreign language anxiety experienced during oral production of English in a qualitative study carried out among Hungarian advanced-level learners. The study shows how anxiety affects Hungarian first year English majors' speech production and performance in a conversation with a native speaker of English.

Lahtinen (2013) carried out a research among the Finnish-Swedish population in Finland and measured the levels of CA of two groups of Finnish upper secondary school students in order to find out if there is a difference in the levels of CA between them. The results showed that the Finnish-Swedes suffered less from CA than the Finns.

This section offered a brief overview of the previous studies conducted in Croatia and worldwide. Their findings contributed greatly to the investigation of CA, its relationship with individual differences, development of productive skills, as well as

academic achievement and success. The theoretical part of the present study rests heavily on McCroskey's work, whereas the study steps into the footprints of the aforementioned research conducted in Finland (Lahtinen, 2013). As the following sections will show, regardless of similarities in research methodology, the results would differ.

### **Types of Communication Apprehension**

Within the phenomenon of communication apprehension, two types of communication apprehension can be distinguished. The first type is usually referred to as 'trait' apprehension, and the second type as 'state' apprehension. This distinction was offered by McCroskey (1977), who based it on the previous work of Spielberger (1966) and Lamb (1973).

According to McCroskey (1977), *trait apprehension* is characterized by fear or anxiety regardless of the type of oral communication situation a person engages in, from talking to a single person or within a group of people to giving a public speech. He points out that it is not a characteristic of normal or well-adjusted individuals since people with high levels of trait communication apprehension experience very high levels of fear when engaging in any oral communication situation, both those which could be considered threatening and those which rationally could not. McCroskey (1977) reports on previous studies conducted among a college student population which suggest that about twenty percent of the students experience a high trait communication apprehension.

As opposed to trait apprehension, *state apprehension* is specific to an oral communication situation (McCroskey, 1977). The situation may vary from giving a public speech to being interviewed for a new job. A well-known manifestation of state apprehension is the so called "stage fright", the fear or anxiety a person experiences when communicating orally in situations where others are in a position to observe and evaluate their communication attempt. In situations such as acting or singing before an audience and giving a public speech many people experience stage fright, which is considered to be a normal response of people in a public setting. McCroskey (1977) even goes further and argues that it would not be completely unreasonable to suspect the emotional stability of an individual who never experiences state communication apprehension in a threatening oral communication situation.

### **Causes of Communication Apprehension**

McCroskey (1977) states that the causes of communication apprehension are not and may never be fully known. Some studies (Phillips and Butt, 1966, as cited in McCroskey, 1977) and surveys (Wheless, 1971, as cited in McCroskey, 1977) suggest that CA develops in early childhood. In line with the aforementioned findings, McCroskey and Richmond (1982) recognize heredity and environment as the primary causes of not only personality development, but also CA.

Based on previous research, Prusank (1987) proposes four approaches, i.e. four plausible explanations for the development of CA. Those are genetic predispositions, reinforcement, modelling, and learned helplessness. The genetic predisposition approach suggests that children are born with a predisposition to develop CA. McCroskey and Richmond (1982, as cited in Prusank, 1987) reviewed social biological research carried out with identical and fraternal twins and thus provided results in support of the genetic predisposition approach. While the genetic predisposition approach speaks in favour of inherited characteristics, other approaches (reinforcement, modelling, and learned helplessness) focus on the environmental aspects to which an individual is exposed.

All of the previous studies explored the possible causes of CA with children born and raised in different families. However, there are cases where children are born and raised in the same family, but only one of them develops CA. According to McCroskey (1977), some research findings did not succeed in providing an empirically supported theoretical explanation of why some children have higher/lower levels of communication apprehension than the other children in the same family, which leads to an assumption that the causes of CA are not completely known.

### **Effects of Communication Apprehension in the Classroom**

Although there are many different fields in which it appears, language classes are considered to be most affected by the phenomenon called language anxiety. As Horwitz (2004) points out, probably no other field of study implicates self-concept and self-expression to the degree that language study does. Besides, communication apprehension encompasses all aspects of communicating, that is, all language skills used in a language class.

When it comes to the classroom environment and the effects of communication apprehension on such an environment, McCroskey and Andersen (1976, as cited in Boohar and Seiler, 1982) have found that students with a high CA level prefer mass lecture classes to small classes, in order to avoid communication. Later research (McCroskey and Sheahan, 1977,

as cited in Boohar and Seiler, 1982) has shown that those students interact less with peers they are not close to and are more often dissatisfied with the college environment.

McCroskey (1976) claims that highly apprehensive students avoid taking speech courses and public speaking courses. When they enrol in such courses after all, they are very likely to drop them before the first performance, regardless of whether the course is required or not. In cases in which they do not drop the course, students experience very severe problems ranging from being absent on the day of an assigned speech, refusing to speak due to not being ready, fainting and escaping from the classroom (McCroskey, 1978).

Some studies (Young, 1986, Scott, 1986, Phillips 1992, as cited in Toth, 2006) have additionally confirmed the previous research findings (Scott and Wheeless, 1976; McCroskey and Daly, 1976, as cited in Miller and Edmunds, 1992) suggesting that there is a negative relationship between the anxiety level and academic achievement. The results indicate that students with a high anxiety level do not perform on tests as well as their peers with a low anxiety level. Consequently, because of the teachers' low expectations of high communication apprehensive students, those students were less likely to succeed in a formal education setting.

### **Communication Apprehension in the English Language Classroom Setting**

Despite a small number of previous studies identifying the need for more research on communication apprehension at the university level (Mihaljević Djigunović 2004, 2006; Kostić-Bobanović, 2007), this field still requires greater research impetus in the Croatian social-educational context. The present study sets out to fill that void. Moreover, it has been suggested that CA may become a serious problem for pre-service foreign language teachers in their attempt to incorporate as much communicative competence as they can into foreign language teaching at all levels.

#### **Methodology**

The aim of the quantitative part of this study is to determine and compare communication apprehension among the undergraduate and graduate university level students of English Language and Literature at the Faculty of Humanities and Social Sciences, J. J. Strossmayer University of Osijek, Croatia.

The aim of the qualitative part of the study was to explore the concept of CA from the teachers' point of view. The interview conducted among the university teachers provides some insights on how teachers perceive communication apprehension in the foreign language classroom setting and how they successfully overcome potential classroom management difficulties in practice.

The present study seeks to answer the following questions:

RQ<sub>1</sub> Is there a difference in the level of CA between undergraduate and graduate students of English language?

RQ<sub>2</sub> Which background factor is the best predictor of CA among the students?

RQ<sub>3</sub> Is there a relationship between different aspects of CA and the total level of CA?

RQ<sub>4</sub> Is there a relationship between the level of CA and students' behaviour in a foreign language classroom setting?

RQ<sub>5</sub> How do university foreign language teachers perceive CA and how do they cope with it in their classes?

#### **Sample**

A total of 97 subjects participated in the quantitative part of the research. All of the subjects were students of English Language and Literature at the Faculty of Humanities and Social Sciences, J. J. Strossmayer University of Osijek, Croatia. The research was conducted among four groups of students - first and second year undergraduate students and first and second year graduate students. The number of undergraduate and graduate students was unequal. There was a total number of 54 undergraduate and 43 graduate students.

As far as the qualitative part of the research is concerned, it included five participants, all of whom were teachers at the Department of English Language and Literature at the Faculty of Humanities and Social Sciences, J.J. Strossmayer University of Osijek, Croatia. The teachers were chosen carefully with regard to courses they teach (one teaching linguistics courses, two teaching literature and applied linguistics courses).

Because the participants were solely from Osijek, Croatia, this cannot be considered a representative sample of Croatian teachers and students.

## Instruments and Procedure

### Questionnaire

The first instrument used for the purpose of the present study was *A questionnaire on foreign language communication apprehension*. The first part of the questionnaire consisted of basic background questions (gender, age, year of learning English, year of studying English and grade in English after finishing high school).

The second part was the latest version of the *Personal Report of Communication Apprehension (PRCA-24)*, which consists of twenty-four statements. The instrument was designed by James C. McCroskey, according to whom 'it is highly reliable (alpha regularly >.90)'. Rubin et al. (1994) agreed that the questionnaire is one of the most frequently used and the most valid self-report measure for trait-like communication apprehension. Each of the contexts is represented by six items. The changes were made with regard to participants' age and English language proficiency. Considering the adaptations which were made, internal consistency was measured. Cronbach's alpha for internal reliability of the questionnaire in this study was .954, which indicates highly focused scales and homogeneity.

The third part of the questionnaire was adopted from a study on communication apprehension *Communication Apprehension in the EFL Classroom: a study of Finnish and Finnish-Swedish upper secondary school students and teachers* conducted in Finland (2013). The original questionnaire had two versions, one of which was in Finnish and the other one in Swedish, thus it was translated in English for the purposes of this study. According to Lahtinen (2013), the purpose of this part of the questionnaire was to map out the intensity of different aspects in the EFL classroom environment that can contribute to the emergence of CA. It consisted of 31 statements. Apart from Principal component analysis extraction method, Oblimin rotation with Kaiser normalization was used and provided the best-defined factor structure. All items in this factor analysis had primary loadings over .4.

After conducting factor analysis, which crystalized three relevant factors and therefore defined three subscales within the scale, internal consistency of the three subscales was measured. Two subscales showed high internal consistency, and one subscale showed slightly lower internal consistency (see Table 3). The first aspect of communication apprehension is labelled *evaluations* because the belonging questionnaire items described situations where self-evaluations and peer evaluations were present. The second aspect is labelled *teacher* due to its strong direct or indirect connection with the teacher, his or her characteristics or class management. Finally, the third aspect is named *atmosphere*. It is considered to be an umbrella term for questionnaire items covering different foreign language classroom situations which contribute to the atmosphere created in the foreign language classroom environment.

Lower reliability coefficient was interpreted as a result of fewer items in the category, as well as a result of a broader area which is covered by the statements. The third theme area was retained but the results gathered shall be interpreted as not completely reliable.

The five-point Likert scale was used for both the second and the third part of the questionnaire. The participants were asked to indicate the degree to which a statement applied to them using (1) = completely disagree, (2) = disagree, (3) = neither agree nor disagree, (4) = agree, and (5) = completely agree. In the first part of the questionnaire 12 items had to be reversed prior to statistical analysis.

Table 3. *Aspects of communication apprehension (subscales, questionnaire items, and internal consistency coefficients)*

Aspect of communication apprehension	Questionnaire items	Cronbach's alpha
Evaluations	Q26, Q31, Q32, Q33, Q38, Q41, Q42, Q45, Q47, Q49, Q50, Q52	.93
Teacher	Q27, Q29, Q30, Q34, Q36, Q39, Q43, Q44, Q51, Q55	.82
Atmosphere	Q25, Q28, Q37, Q40, Q48, Q54	.57

The fourth and the last part of the questionnaire, adopted from the above mentioned Finnish study, reports on participants' feelings about communication in English in the English language classroom setting. Two open-ended questions from the original questionnaire were omitted as redundant as they had been previously covered in the quantitative part of the research. It consisted of two yes or no questions, a scale ranging from 4 to 10 where participants were asked to assess

their English language skills, two questions about attitudes towards school and English language with a five-point Likert scale (1 = very negative and 5 = very positive), one question about the strength of participants' feeling of excitement or shyness in English classes as well with a five-point Likert scale (1 = very strong and 5 = very weak), and the last four open-ended questions.

### Interview

The second instrument was an interview which was designed for the purpose of the present study. The interview consisted of 24 questions. Each question was followed by one or more sub-questions. Questions were divided into three categories. The first category was related to the phenomenon of CA, the second category examined errors and error correction, and the third category dealt with interviewees' own experiences with CA.

Both questionnaires and interviews took place at the Faculty of Humanities and Social Sciences, J. J. Strossmayer University of Osijek. All the participants were familiarized with the aim of the research. The data collected in the form of questionnaires were analysed in IBM SPSS Software Version 23. The interviews conducted with the teachers themselves were recorded and transcribed afterwards.

## Results and Discussion

### Quantitative results – questionnaire

As previously stated, the collected data were analysed in SPSS. First of all, basic descriptive analysis of the items connected to the participants' feelings about communicating in English language in the English language classroom setting in different situations (questionnaire items 1 – 24) showed that mean values do not vary a lot. They are slightly lower for questionnaire items which express CA and slightly higher for the ones expressing lack of CA. Descriptive analysis of questionnaire items connected to the reasons why participants feel nervous and timid to speak English during English classes (questionnaire items 25 – 55) showed that the highest mean values concern *evaluations, teacher, and expectations*.

To answer the first research question and to test the hypothesis stating that there is a significant difference in the total level of CA between undergraduate and graduate students of English language, a one-way analysis of variance (ANOVA) was conducted. Significance level was set at  $p < 0.05$ . The statistical analysis was performed using SPSS (Version 23). The students were divided in four groups with regard to their year of study: 1<sup>st</sup> year undergraduates, 2<sup>nd</sup> year undergraduates, 1<sup>st</sup> year graduates, 2<sup>nd</sup> year graduates. The results in Table 4a have shown that there is a statistically significant difference at the  $p < 0.05$  between groups [ $F = 2.933$ ;  $df = 3/85$ ;  $p = 0.038$ ].

Table 4a. *Difference in the total level of communication apprehension between undergraduate and graduate students (ANOVA)*

	Sum of Squares	Df	Mean Square	F	Sig.
Between Groups	4.911	3	1.637	2.933	.038
Within Groups	45.767	82	.558		
Total	50.678	85			

After establishing a statistically significant difference in the total level of CA between groups, Scheffe's post hoc test was conducted to verify where exactly this difference lies. However, the results of the post hoc test presented in Table 4b do not show where the difference between the groups is.

Table 4b. *Scheffe's post hoc test results*

(I) Year of Studying	(J) Year of studying	Mean Difference (I-J)	Std. Error	Sig.	95% Confidence Interval	
					Lower Bound	Upper Bound

1st year undergraduate	2nd year undergraduate	-.12103	.54070	.997	-1.6644	1.4224
	1st year graduate	-.04117	.19117	.997	-.5868	.5045
	2nd year graduate	.56647	.21047	.072	-.0343	1.1672
2nd year undergraduate	1st year undergraduate	.12103	.54070	.997	-1.4224	1.6644
	1st year graduate	.07986	.54984	.999	-1.4896	1.6493
	2nd year graduate	.68750	.55685	.678	-.9020	2.2770
1st year graduate	1st year undergraduate	.04117	.19117	.997	-.5045	.5868
	2nd year undergraduate	-.07986	.54984	.999	-1.6493	1.4896
	2nd year graduate	.60764	.23294	.087	-.0573	1.2726
2nd year graduate	1st year undergraduate	-.56647	.21047	.072	-1.1672	.0343
	2nd year undergraduate	-.68750	.55685	.678	-2.2770	.9020
	1st year graduate	-.60764	.23294	.087	-1.2726	.0573

As for the third research question, a Pearson-product-moment correlation was used to explore if there is a relationship between the total level of CA and different aspects of CA (*evaluations, teacher, and atmosphere*). The test shows that the total level of CA is positively correlated with two aspects of CA (*evaluations and teacher*), both at the 0.01 level.

The correlation analysis in Table 5 reveals that the total level of CA exhibits a weak but statistically significant positive correlation ( $r=.325, p<.001$ ) with regards to students' perceptions of their *teachers*. This indicates that the more negative the attitude the students will have towards their EFL teachers, the higher the total level of communication apprehension in class.

There was also a strong significant positive correlation ( $r=.779, p<.001$ ) between the total level of CA and students' *evaluations*. This correlation indicates that the students who experience higher levels of CA fear being less competent than their peers and tend to evaluate themselves negatively.

*The atmosphere* in class exhibits no statistically significant correlation with the total level of CA. Evidently, the participants' perception of the in-class atmosphere (number of students, ability to speak) does not impact their total level of CA.

Table 5. *Pearson Correlation between the total level of communication apprehension and different aspects of communication apprehension*

	Evaluations	Teacher	Atmosphere
PRCA-24	.779**	.325**	.079

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

In order to find out which background factors predict the total level of CA, regression analysis was conducted. The total level of communication apprehension measured by PRCA-24 was the dependent variable and various background factors such as *gender, age, year of study, and grade in English after finishing high school* were independent variables in the analysis. The results show that there is a weak significant negative correlation between *grades in English after finishing high school* and the total level of CA (see Table 6a). This indicates that students with higher grade in English after finishing high school exhibit lower total level of CA in class.

Table 6a. *Results of regression analysis (dependent variable: PRCA-24) with background factors as predictors of total level of communication apprehension*

Dependent variable	Independent variable	B	$\beta$	t
PRCA-24	Gender	.104	.064	.606

Age	-.043	-.114	-.654
Year of study	-.068	-.110	-.633
Grade in English	-.463	-.319	-3.006**

\*\*p<.01; R=.403; R<sup>2</sup>=.162

However, after including other aspects of CA as independent variables (evaluations, teacher and atmosphere), the results showed that there is only a strong significant positive correlation between *evaluations* and the total level of CA. The results can be seen in Table 6b.

Table 6b. Results of regression analysis (dependent variable: PRCA-24) with background factors and aspects of communication apprehension as predictors of total level of communication apprehension

Dependent variable	Independent variable	B	$\beta$	t
PRCA-24	Gender	-.042	-.026	-.372
	Age	-.019	-.050	-.439
	Year of study	-.129	-.208	-1.831
	Grade in English	-.011	-.008	-.101
	Evaluations	.605	.780	10.200**
	Teacher	.028	.023	.296
	Atmosphere	.023	.020	.282

\*\*p<.01; R=.816; R<sup>2</sup>=.666

In the first step, the results of regression analysis (R=.403; R<sup>2</sup>=.162; F=3.726; p<.01) show that background factors explain only about 16% of the total level of CA measured by PRCA-24. Only *grade in English after finishing high school* proved to be a significant predictor of CA ( $\beta$  = -.319; p<.01).

On the other hand, when three different aspects of CA were included in the second step of the regression analysis, the results (R=.816; R<sup>2</sup>=.666; F=37.245; p<.01) show that all factors together explain about 67% of the total level of CA measured by PRCA-24. With both background factors and aspects of communication apprehension included in the analysis, only *evaluations* ( $\beta$  = .78; p<.01) proved to be a significant predictor of the total level of CA.

Additional Pearson Correlation test (see Table 7) was conducted to investigate if there is a relationship between the total level of CA and students' choice of seat in the classroom. The test results show a positive correlation at the 0.01 level. It indicates that the students who have a high level of CA choose a remote seat in a foreign language classroom in order to avoid oral communication in class.

Table 7. Pearson Correlation between the total level of communication apprehension and students' choice of seat

	Students' choice of seat
PRCA-24	.398**

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

Finally, when students were asked about the causes of the excitement and shyness in English classes, the majority of them (forty-one of ninety-eight students, i.e. 42%) wrote that the main cause for this is the fear of being evaluated by their teacher, as well as being evaluated or even laughed at by their peers. They stated that they are mostly afraid of being negatively evaluated or being embarrassed in cases of making a mistake. That confirms the results emerged from the third part of the questionnaire. Apart from the aforementioned, students also listed some other causes such as teacher and class atmosphere, lack of knowledge or low language skills, lack of preparation and student's personality.

When it comes to students' suggestions, students (forty out of ninety-eight, i.e. 41%) consider good preparation to be the key for alleviating communication apprehension in classes. Minority thinks that communication apprehension can be alleviated by positive encouragement by the teacher, smaller, less formal, and more relaxed classes.

### Qualitative results – interview

This section focuses on the findings emerged from the interviews conducted with five teachers from the Department of English Language and Literature at the Faculty of Humanities and Social Sciences, J.J. Strossmayer University of Osijek, Croatia. They set out to examine how English teachers perceive communication apprehension in the foreign language setting and to investigate how they cope with it.

The interview results show that the interviewees are not quite familiar with the term communication apprehension. The responses range from the misuse of the term to the complete lack of awareness of its actual meaning. The interviewees consider CA to be a very negative phenomenon which has a great influence in the foreign language classroom setting. They particularly notice CA causing problems during students' oral presentations, regardless of the preparation. However, all of the interviewees consider good preparation to be the key to alleviate CA. The participants thought of CA mostly as a personality trait. When it comes to the causes of CA and different aspects of the phenomenon, they notice that the main source of fear lies in peer evaluations, which speaks in favour of the quantitative results of the study. Surprisingly, interviewees' expectations of the relationship between year of study and the level of CA overlap with the principal hypothesis of the study. In other words, the participants expected that first year undergraduate students experience higher levels of CA than their graduate colleagues. The participants also revealed some techniques they employ while dealing with CA in classes, such as creating a very positive and easy-going atmosphere, encouraging students to speak, giving students time to prepare, etc. The interviewees also choose error correction strategies with extra caution in order not to cause their students' level of CA to increase. Some interviewees admitted having personal experiences with CA, as well as noticing the presence of CA even among some of their colleagues.

### Discussion

Regarding the first research question, the results of the regression analyses showed that there is no difference in the level of communication apprehension between undergraduate and graduate students of English. Furthermore, *year of study* as a background factor does not influence the level of communication apprehension at all and therefore it cannot be interpreted as a predictor of apprehensiveness students experience in the foreign language classroom setting. With regard to those findings, our first hypothesis is refuted. Before research was conducted, it was assumed that the oral communication apprehension decreases with experience and that first year undergraduate students experience a higher level of anxiety and apprehensiveness while speaking in class than their graduate colleagues. However, the research did not confirm those assumptions. The reason for these findings could lie in the ratio of undergraduate and graduate students, which was unequal. Although the discrepancy was not that large, it could be assumed that the results would be different if the ratio was equal. On the other hand, the results could be explained in another way. The only instrument for measuring the level of CA for the purpose of this study was PRCA-24, which measures only trait CA. If we observe communication apprehension only as a personality trait, then the background factor such as *year of study* cannot be considered as a predictor of CA and expected to influence the level of anxiety or fear which high communication apprehensive students experience in a foreign language classroom setting.

When other background factors were taken into consideration, the analysis showed that students' *grade in English language after finishing high school (High School Leaving Exam)* is a significant predictor of the level of CA students experience in a foreign language classroom setting. It partially confirms our second hypothesis and speaks in favour of previous findings about the relationship between the level of CA and academic achievement. If we observe students' *grade in English language after finishing high school* as a kind of indicator of pre-university achievement, it can be assumed that lower grade in English language predicts higher level of CA.

However, when aspects of communication apprehension were included in the analysis, students' *evaluations* turned out to be the only significant predictor of the level of communication apprehension that students experience, which again partially confirmed our third hypothesis. It means that the students who experience higher levels of communication apprehension fear being less competent than their peers (tend to evaluate themselves negatively) as well as being negatively evaluated by their teacher or their peers. The existing research findings support the claim. Horwitz (1986) argues that fear of negative evaluation, also called "apprehension about others", is a special type of anxiety related to foreign language learning, very similar to test anxiety. However, according to Horwitz, it is much broader in scope because it is not limited to test-taking situations. Furthermore, it can occur in any evaluative situation very common in foreign language classes. Students who

experience high level of fear of negative evaluation tend to avoid evaluative situations and often expect that others would evaluate them negatively. The nature of foreign language classes, in which evaluation is inevitable, represents a problem for the students who are faced not only with the continuous assessment by the teachers but also by their fellow students. These findings are further confirmed by the results of the qualitative part of the research. Interviewees consider the presence of other students and peer evaluations to be one of the greatest causes of CA in their classes. Moreover, students list "others" and the fear of being laughed at as the main cause of CA.

The hypothesis that the level of communication apprehension affects students' behaviour in a foreign language classroom setting, such as choosing a seat, is confirmed by Pearson Correlation test. It can be concluded that students who score high on PRCA-24, i.e. who have a high level of CA choose a remote seat in a foreign language classroom in order to avoid oral communication in class. As opposed to them, students who score low on PRCA-24, i.e. who experience a low level of CA do not tend to choose seats from which they would not be seen or asked to respond in English. The results speak in favour of McCroskey's (1976) research which indicates that, compared to people lower in CA, high communication apprehensive students choose seats in a small group where they are less likely to be forced to interact. Furthermore, research indicates that high communication apprehensive students are four times as likely to sit outside the interaction area in the classroom as they are to sit in it.

## Conclusion

This research which included the total of 97 students and 5 university teachers was carried out primarily in order to investigate if there is a difference in the level of CA between undergraduate and graduate students of English Language and Literature, at the Faculty of Humanities and Social Sciences, J. J. Strossmayer University of Osijek, Croatia.

The main purpose of the study was to investigate the relationship between the level of CA experienced by undergraduate and graduate students and their *year of study*. The results of the research show that *year of study*, as one of the background factors, is not a significant predictor of CA. Moreover, no difference in the levels of CA between undergraduate and graduate students was found, so the principal hypothesis of the study was refuted. However, other background factors such as *grade in English after finishing high school* proved to influence the level of CA thus confirming the previous research findings that suggest the correlation between CA and academic achievement. The relationship between the level of CA and three different aspects of CA emerged from factor analysis was also investigated. The results showed that the correlation at a significant level exists when it comes to *evaluations* and *teacher*. These findings also speak in favour of the previous research findings, especially when it comes to the correlations between the level of CA and *evaluations*.

There are more than a few limitations of this study. Although we are aware that the limited number and the ratio of the participants as well as the restricted research area do not capture the full complexity of learners' communication apprehension, we believe that a study like the present one offers a valuable snapshot of the EFL learners' CA in the situational context. The present findings may serve as a springboard for future research which should seek to incorporate both learners' and teachers' perspectives and mixed-method approach in providing some more reliable in-depth analyses into such a complex and omnipresent phenomenon.

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## Albania's Challenging Path to EU Integration in the 21<sup>st</sup> Century

Lumnis Çela

"Aleksandër Xhuvani" University, Elbasan, Albania

### Abstract

It is more than a quarter of a century that Albania has abandoned self-isolation and embarked on a *quasi* Europeanization pathway. While significant progress has already been achieved on many fronts, considerable roadblocks have been faced and others still lie ahead. Indeed, a multifaceted array of problems among which, a distorted democratization panorama, a divisive political environment, fragile institutions, and a lagging economy, are noticed along transition years while the country is still hobbling on the weary road to EU. Albania's application for membership to the European Union nearly a decade ago was a major landmark for its future aspirations, but the long awaiting question that needs to be addressed is whether Albania can meet minimum EU accession requirements in the context of persisting domestic gaps and deficiencies that characterize the environment where its integration mode operates. In the above context, this paper focuses on the trails of Albania's journey towards the EU membership goal especially during the 21<sup>st</sup> century. Given the slow pace of integration encountered so far, where internal and external factors share their own pieces of responsibility, the paper aims to analyse and assess certain critical junctures which deem to have had more impact on Albania's delayed EU prospect, as well as underline some of the challenging issues that still need to be faced.

**Keywords:** Albania, transition, perspective, EU integration.

### 1. Introduction

After the fall of the communist system, Albania has been undergoing many complex transformations, moving gradually from the initial numerous difficulties of the transition phase towards the later challenges of the European integration pathway. The country's trajectory of developments has not been an easy one, indeed, concerning the persistence of a wide array of political, economic, legal, and social problems throughout the years. However, despite Albania's troubled reputation, especially noticed over (but not confined solely at) the first post-communist decade, when certain domestic legacies continued to have a negative impact on the country's integration mode, the turn of the 21<sup>st</sup> century opened a new page of perspectives. The European Union began to express its unequivocal support for all the Western Balkans countries, coupled with a region-tailored enlargement policy which was widely promoted as the anchor of future reforms (Elbasani, 2013) that would lead to an eventual accession to the common 'club'. This friendly open-doors support coming from the neighbouring Europeans, accompanied by an ever increasing domestic interest for integration, led to Albania's formal engagement to the EU membership goal.

To date, many years after having embarked on the Europeanization pathway, Albania still has a long way to go despite the roadblocks that have already been surpassed. In this context, the long existing issue that still needs to be tackled concerns not only the past, but also the present, and if possibly the future peculiarities and challenges of the country's trajectory of developments where internal gaps and deficiencies, accompanied by an external scepticism, keep shaping its (delayed) pace and (poor) quality of EU integration. Therefore, in order to shed more light on this panorama, the first part of the paper provides a chronological description of the EU integration process of Albania, highlighting the key moments from the early beginnings up to date, by focusing mostly in the 21<sup>st</sup> century developments when the EU perspective of the region became increasingly articulated by both sides concerned. In addition, the second part of the paper focuses on some background domestic factors that are thought to have had a deterring effect on the integration mode of the country, not only during the first years of the transition period, but also further than that. And finally, the third part of the paper generalizes on Albania's challenging integration journey that it has embarked upon, by focusing mostly the current setting where intermingled internal and external elements need to be well considered in order to adhere to the EU requirements properly, and thus eventually achieve the long-aspired accession goal.

## II. Pursuing the traces of Albania's integration journey

Albania's diplomatic relations with the European community were established in 1991, after many years of international isolation and self-reliance approach. Indeed, this historic step towards the long-expected opening process was not simply of diplomatic value but also practical one, as it hacked the pathway for the subsequent signing of the Trade and Cooperation Agreement a year later, and make Albania eligible for funding under the PHARE programme (Abazi, 2008; Veshi, 2012; Kalemaj, 2016). In the upcoming years, due to the political developments that the whole Balkan region faced as a result of ex-Yugoslavia's dissolution and the subsequent creation of a set of new states, the European Union was urged to adopt a Balkan policy called "Regional Approach" in 1996. In the context of a significant threat to European security, the aim of this step was to develop and strengthen relations between Balkan countries and the EU, where the fulfilment of political and economic conditions was of paramount importance. Unsurprisingly, as far as Albania was concerned, the noticeable 'democratic deficit' encountered in the new pluralist context; the politics' inefficiency to hold free and fair elections during the mid 1990s; and the state institutions failure and economic collapse of 1997 (Jano, 2008, p.59; O'Brennan & Gassie, 2009, p.64; Biberaj, 2000, pp.471-494), prevented the consolidation of Albania-EU strategic relationship, which had been epitomised earlier, since 1990, in the calls of the country's youth "We want Albania like the rest of Europe" (in Varoshi, 2012, p.332).

In a broader context, however, the European perspective of the Western Balkans, where Albania belongs, was not particularly accentuated until Kosovo's conflict near the end of the decade. Indeed, the Union policies towards this region changed in a positive direction when the EU leaders finally reached the consensus that in order to achieve stability in the region and consequently in Europe, there was a need for faster integration (Vesnic-Alujevic, 2012, p.29; Varoshi, 2012, p.238). Thus, it was in May 1999 when the European Union proposed a new Stabilization and Association Process for those countries that had not concluded any agreement with the EU earlier, and Albania became part of this initiative since its launch. The process aimed establishing closer relations between the EU and each respective country by specifying commitments with regard to political, economic, trade, and human rights reforms fulfilment, as well as promotion of regional cooperation (Hoffmann, 2005, p.59; Abazi, 2008, p.239). However, in November 1999, the European Commission report on the feasibility study for opening negotiations with Albania for the signing of the Stabilization and Association Agreement concluded that Albania did not meet the conditions for such an agreement (O'Brennan & Gassie, 2009, p.64; Xhuvani, 2013). Given the noticeable problems that the country encountered during the first post-communist decade, the EU question would remain pending even at the turn of the 21<sup>st</sup> century.

At the Zagreb Summit organized in November 2000, the EU emphasized its interest in the Balkan region by considering the Stabilization and Association Agreement as a starting point for the accession perspective of any aspirant country (Vesnic-Alujevic, 2012, p.32). In order to support the process the European Council established in December 2000 the "Community Assistance for Reconstruction, Development and Stabilization (CARDS) as a new financial instrument for the region (Hoffmann, 2005, p.60; Abazi, 2008, p.248). As for Albania, the Union decided to intensify cooperation through the creation of a High Profile Taskforce which aimed to assess the country's capacities, as well as point the areas where improvements were needed, in order to meet obligations arising from an agreement with the EU. After a series of meetings held in Tirana, the Commission concluded that although much remained to be done, the prospect of opening negotiations for a Stabilization and Association Agreement with Albania was the best way to maintain the pace of political and economic reforms in the country (Elbasani, 2004, p.38; Xhuvani, 2013). After certain technical discussions and necessary preparations, negotiations were formally opened on January, 31, 2003, by the president of the European Commission, Romano Prodi, whose notable stance was about building bridges, not destroying them; opening borders, not closing them; and restoring relations and trade links, not severing them (Prodi, 2003).

Indeed, a clear integration perspective was officially stated within a few months time, at the Thessaloniki European Council Summit held in June 2003, which confirmed that the Western Balkans countries, including Albania, were identified as potential candidates for EU membership. One important element of the Thessaloniki Agenda and the progress towards European integration concerned the political and economic dialogue (Vesnic-Alujevic, 2012, p.33). While relatively rapid progress during the first years of the new decade (especially in comparison to the chaotic and struggling 1990s) strongly confirmed the necessity and inevitability of EU support and guidance in conducting successful post-communist reform, and thus defined the essence of Western Balkan states' and people's motives to accede to the EU, it also confirmed the rightness of the EU's motivation and policy to expand into this region (Petrovic, 2009, p.44). As a result, in June 2006 Albania signed the Stabilization and Association Agreement, which was finally ratified on January 2009 by all the EU member states of the time, after a continuous grappling with an image problem and unstable environment. This historical

and important moment for the country, in fact marked transition towards a new stage, where Albania moved on to a more concrete footing in its relationship with the European Union (O'Brennan & Gassie, 2009; Goxha, 2016).

Compared to the first post-communist decade of the 1990s, in time there could be observed a major shift in EU's strategic priority, from an approach aimed at reconstruction and economic development to one of integration (Hoffmann, 2005, p.64). Indeed, the beginning of the 21<sup>st</sup> century appeared to have opened a much prosperous pathway in terms of Albania's future EU accession goal. Immediately after the Stabilization and Association Agreement entered into force on April 1, 2009 Albania applied to become an EU candidate country on April 28. Despite this daring step, in the next two upcoming years the European Commission did recommend neither the candidate status nor the opening of accession negotiations for Albania as a result of the country's failure in fulfilling the required reforms with respect to the 12 key priorities, put forward by the Commission Opinion of 2010. However, the lifting of the visa regime in November 2010 finally made Europe a touchable reality for many Albanian citizens who had dreamt about their freedom of movement for many decades in a row (Xhuvani and Kane, 2012, pp.448-449).

Although this act can be interpreted very positively from the point of view of symbolic integration into Europe, in terms of economic and political development Albania kept being hindered by the lack of basic preconditions, e.g. weak institutions and governance, political instability and polarisation, high emigration rates, weak rule of law, corruption allegations, underdeveloped infrastructure, high dependency on foreign aid etc. Indeed, even during the second decade of the new century, Albanian developments were rather unsatisfactory considering the slow pace of general progress. Nevertheless, recognizing the need to address 12 priorities identified by the European Commission's Opinion for Albania the government and opposition embarked in a joint endeavour in November 2011 that led to some concrete results, such as the adoption of electoral reform, the adoption of important pieces of legislation, etc. Consequently, in October 2012, the Commission recommended that Albania be granted EU candidate status subject to completion of certain reforms, thus by reinforcing the EU's transformative power and its role as a catalyst for positive change in the country as well as the region as a whole (Xhuvani, 2013, European Commission, 2016).

On June 24, 2014, Albania finally received the candidate status after a series of failed attempts. In the subsequent years, despite a number of problems, there was a notable progress in the integration journey of the country, whose changes have been mostly due to impositions by the EU representatives rather than by the Albanian political elite, which has frequently hampered this process due to lack of political dialogue between political forces (Goxha, 2016; Mirel, 2018, p.4). In order to lead the country to the next station, which is the opening of accession negotiations, Albania continued to actively participate in high level dialogue meetings as well as in related joint working groups especially regarding the 5 key priorities namely: corruption, organized crime, judiciary, administrative reform, and human rights. Undoubtedly, the consecutive yearly Progress Reports for Albania did note on each of the improvements made while at the same time pointing at those that still had some way to go.

The 17th of April 2018, finally marked another important date in Albania's path to EU membership as the Commission recommended for the first time an unconditioned opening of EU accession negotiations with the country. Two months later, on June 26, after a marathon session, the European affairs ministers followed-up with a prominent decision to open the accession talks within 2019, while launching an immediate screening process in the meantime (Deutsche Welle; Politico; Reuters, 2018). Referring to the past experiences, it is worth reminding that despite a positive Commission recommendation in 2012, it was not until 2014 that the Council decided to grant candidate status to Albania. A similarly negative decision was taken even in 2016, after a conditional recommendation on future reform by the Commission to open accession negotiations that year. Yet, taking into account the EU's belief that the perspective of a closer integration is strong enough to induce reforms and consolidate transformation in any aspirant country, there is still enough room for optimism regarding Albania, which now seems to be 'a big step closer to the European family' (Goxha, 2016).

Indeed, the end of this EU Commission's term has been accompanied by an increased political momentum for enlargement towards the Western Balkans. Both the EU High Representative, Mogherini, and Commission President, Juncker, visited this region in February 2018. Likewise in April, the Union's President, Tusk, started a regional visit from Albania with the message that there is a clear EU future for the Western Balkan countries. On one hand, it is true that Albania remains much behind the EU average in terms of economic development and good governance, and it is ranked partly free by Freedom House in 2018 (Kajsiu, 2018). However, on the other hand, the country has also made considerable progress in the rule of law, especially after Albanian political parties unanimously voted for the first time in 2016 to change Albania's constitution, in line with demands from the EU and other Western partners (Barbullushi, 2018). In view of such developments, the EU focus on the region is expected to be maintained, but it is also in the hands of each respective country, including Albania, to accelerate (or not) the pace of integration and catch up with the wasted time.

### III. Does the background matter? Assessing some domestic factors

Generally speaking, the integration agenda during the transition years has been characterized by a mixture of achievements as well as limitations and failures. Considering the Union's expressed interest in bringing all the Western Balkan countries into the EU family, the case of Albania can exemplify some of the typical features that explain the slow pace of integration, given the long time span that this country has needed in order to reach the upcoming station of accession negotiations. In this context, it is worth pointing at three factors that had to be confronted and coped with in the course of Europeanization processes during transition, namely: (1) the role of domestic elites; (2) hindering historical legacies; (3) weak stateness (O'Brennan & Gassie, 2009, p.72; Elbasani, 2013, p.9). These factors were not insuperable obstacles, indeed, but their restraining impact has been noticeable throughout the transition years among the Western Balkan countries, including Albania, which is part of the same spectrum.

As far as the first factor is concerned, Albania's break with the totalitarian past was rather ambiguous in the early 1990s and many old apparatchiks managed to survive the regime change and take hold of key political and governing positions by converting some of their previous power into new political and economic clout, thus managing to resist the EU's reformation agenda in the subsequent years. However, compared to the vicious circle of the first post-communist decade, when the aforementioned phenomenon was quite evident, the new century brought a much better atmosphere indeed (Jano, 2008). The country moved towards accumulating more 'liberal capital', be they individual leaders, political parties, and social groupings that were more favourable to the project of European integration. Still as anywhere else in the Balkans, even in Albania these reformists often proved too weak to pursue deep-seated change, embedded, as they were, amidst hybrid institutions and complicit old networks that had everything to lose from substantial reforms (Elbasani, 2013, p.10). Consequently, such roadblocks served to impede the Europeanization processes of the country and unavoidably slow down its EU integration pace.

As regards the second factor mentioned above, the post-communist Western Balkans undoubtedly was not a very fertile ground for the introduction of the political culture of liberal democracy primarily because of its past legacies (Biberaj, 2000, p.119; Jano, 2008, p.59). This heritage has been rather problematic for the respective countries of this region, 'which share a general weakness of reformist coalitions, but also next-to-no prior democratic experiences, long-term patrimonial state-society relations, poor socio-economic development, former totalitarian regimes, and predominantly violent and chaotic modes of transition' (in Elbasani, 2013, p.11). Given this context, the eventual violent breakdown of Albanian state authority in 1997, and the quasi-destabilization in 1998, due to the conflictual political culture demonstrated by the parties, proved that they were as 'infected' as their communist predecessors since political opponents were considered as 'enemies' (Biberaj, 2000, p.498; Radovanovik, 2012, p.209; Sabriu 2013, p.75). This background, on one hand exemplifies the dramatic impact that the above mentioned factors had on the country's transition pathway during the first post-communist decade, whereas on the other hand, it explains the difficult nature of the democratization, Europeanization and integration trajectory that was to be pursued in the years ahead.

As far as the third aforementioned factor is concerned, the problem of weak stateness is related to the lack of infrastructural capacities to exercise state authority and enforce the rule of law. Along the basic challenges in the political, economical and social sphere, other problems came to the fore, among which the most challenging ones were corruption and organized crime (Jano, 2008, p.63; Mirel, 2018, p.7; O'Brennan, 2018, p.4). Indeed, the disorderly transitions across the Western Balkan states, including Albania, created great opportunities for ruling elites to emasculate the state by 'privatizing' decision-making mechanisms as well as exercising government prerogatives on behalf of clientelistic interests (Elbasani, 2013, p.12). This type of state, partly captured by particular interests and quite often subject to elites' predatory projects of extracting state resources, was generally short of necessary capacities and willingness to carry out the necessary reforms and implement policy visions, such as the EU integration goal. As a consequence, the process of building institutions capable of overcoming every single problem mentioned above was not only an issue that delayed the integration steps for so long, but also a challenge that keeps determining the future EU perspective of the country.

### IV. The EU test for Albania: handling the ongoing challenge

There exist many concerns and doubts on Albania's capacities and eventual readiness to join the European Union. Indeed, this issue gets more and more complex as the conditionality keeps standing, the screening keeps growing and the standards keep elevating. However, it is of great importance that significant measures are taken especially by the political ruling elite since complying with EU standards depends first and foremost upon them. This is easier said than done, though, as far as the problems of integration do not rest only on the formal compliance to the EU requirements. Indeed, Albanian's

greatest challenge is to abandon many practices of the past and become "behaviourally Europeanized" (Jano, 2008, p.67; Radovanovik, 2012, p.211). Therefore, it is of great importance that every relevant actor in the country keeps the prospect of EU membership intact in order to proceed with accomplishing all the reform processes needed, because any other option would seriously undermine stabilization and instigate a vicious circle of disappointment, frustration and destruction (Xhuvani and Kane, 2012, p.450).

Indeed, 'the rift between formal commitments made by the leaders and informal practices is still a challenge' for Albania's EU perspective (Mirel, 2018, p.8; O'Brennan, 2018, p.4). The European guiding rhetoric of integration does not count much unless it is put into practise by undertaking deep-seated political, economical, legal and social reforms. The EU, on its own initiative, has already put into practice the use of 'the sticks' (i.e. punitive) and 'carrots' (i.e. rewarding) principle in order to push forward any aspirant country to comply with the set of membership requirements known as 'Copenhagen Criteria'. Such mechanism have been Union's most powerful tool in inducing changes and accelerating reforms in order to bring laggard countries like Albania closer to the EU trajectory. Within this context, by following the practise of transformation prior to accession, the EU normative model has automatically turned into a necessity (Abazi, 2008, p.240), that has to be replicated sooner or later in order to achieve the manifested membership goal from any possible candidate.

However, a whole set of questions do constantly come to the fore concerning the Europeanization capacity of states like Albania. In view of the great number of challenges that exist in this geo-political area, convergence would still require time, patience, and persistence on the side of the aspirant but also a constant and firm support by the EU (Radovanovik, 2012, p.212), which is not short of its own internal problems too. Indeed, during the recent years the European Union has been finding itself in a critical situation, since, on one hand, it has been continuously putting conditions to every country that seeks to become part of the club, whereas, on the other hand, it is facing many internal challenges regarding self consolidation. The articulation of the so-called "enlargement fatigue" and the questions raised over the EU's "absorption capacity" has led to further tightening of the terms of membership for every potential candidate. (Petrovic, 2009, pp.45-47; O'Brennan, 2018, p.2), leading to the perception that the Union aims to keep the Western Balkan countries within Europe, but outside the EU institutional core.

Despite what is mentioned above, Albania still has a long way to go before it can realistically expect to be accepted as a full member of the Union. Therefore, in order to maintain the integration trajectory safe, combined efforts from both sides are vital, as long as it is in the common interest to implement reforms and to create a framework for long-term stability which can counteract any negative trends that may stem from lack of peace, security, and prosperity (Sabriu, 2013, p.72; O'Brennan 2018, p.12). Indeed, despite all existing uncertainties and difficulties regarding the EU integration process, what is of great importance is that it is rather irreversible (Jano, 2008, p.66; Radovanovik, 2012, p.211). The variety of factors at large, are likely to influence only the speed but not the general course of integration. This means that joining the Union stands as the only long-range vision not only for Albania itself but also for the rest of the Western Balkan region. Truly, due to the geographic proximity the EU integration course is a strategic necessity and destiny as long as it serves to complete the European geo-political jigsaw where both parties happen to be.

## V. Conclusion

Albania's a-quarter-century-old integration journey, starting from the early Trade and Cooperation Agreement in 1992, and heading towards the memorable beginning of the EU's led Stabilization and Association Process at the turn of the 21st century, by reaching at the current desirous stage of accession negotiations scheduled opening in 2019, has been marked by a multifaceted array of challenges. On one hand, the country had to adapt to the Union's pattern which has ranged from an initial shaky reaction to regional events culminating with Kosovo's war in 1999, into a later crystallized strategy that embraced all the Western Balkan countries as prospective EU member states. On the other hand, Albania had to engage in a long, deep, tiring, and sometimes even defiable EU-oriented self-reformation process in order to become an eligible, credible and promising EU aspirant. For this small Western Balkan state, indeed, the European Union remains the primary focus of its diplomatic and political activity, and the only game in the town as regards its geopolitical orientation (O'Brennan and Gassie, 2009, p.81). However, evidences have shown that Albania has faced many difficulties on its long and weary journey towards meeting EU's norms and standards.

Along the ups and downs encountered during the years, the paper has highlighted a set of internal factors such as: the role of elites, the past legacies, and the weak stateness that are believed to have had a restraining impact on Albania's Europeanization and reformation processes, by weighting heavily on many political, legal, economic, and social sectors of the country. Besides this, the EU perspective of the Western Balkans, including Albania, has also been affected by the occasional external articulation of the so-called "enlargement fatigue", and the issues raised over the EU's "absorption

capacity" help to explain why the accession process of any aspirant country of this region, is not to be considered as an easy one. Indeed, the Albanian experience up to date testifies that the EU integration has been a highly complex process that resembles the pieces of a puzzle that need to be considered all, in order to give the true picture of a country, with its many transformations, challenges and causalities (Jano, 2008, p.68). Nevertheless, despite the uncertainties of the integration journey noticed so far, Albania should keep accelerating the momentum for deeper reforms, and renew its commitment to a profound restructuring and change according to the best EU model, as long as this continues to be the only gravitating force that can make the country a success story.

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## The Cultural Identity Construction of Temples for Tourism

**Puttharak Prabnok**

Department of Humanity, Faculty of Humanity and Social Science,  
Khon Kaen University, Thailand

### Abstract

This study presents Buddhist temples' cultural identify construction to serve a tourism purpose in Thailand. Qualitative data were collected by in-depth interviews with 20 key informants who represented the temples and the tourism organizations. Research findings: The Buddhist temples, which are considered to be the main religious organization, had changed their role to fit the new social trend. In the past, temples were the heart of community lifestyles and the center of religious activity practice. In this present time, however, Buddhist temples become religious tourist places. Carrying such new role, it appears that temples have been trying to establish five cultural identifies with the aim to best serve the tourism. Those five cultural identities are increasing cultural capital value, capturing the tourists' faith through the presentation of respected monk or abbot, combining Buddhist beliefs to the local faiths, setting up the temple' tourism landmark, and building a unique tradition of the temple and the community.

**Keywords:** Cultural Identity Consturciton, Buddhist temples, Religious tourism, Cultural Capital Value

### Introduction

Tourism industry has grown constantly over the last decade. Under the environmental, economical and social changes as well as the natural disaster, tourism industry could adjust itself to the situation and could eventually develop itself and become the biggest and fast growing business sector in the world (Tran, Thanh Ha, 2014). In addition, it has brought large number of employment. This indicates that tourism industry plays a key role in economic and social systems of both developed and developing countries. This is due to the fact that tourism industry is the source of incomes, new job creation, and people life improvement opportunity.

Religious tourism is a form of an industry originated from differences in traditions and religious faiths. It is a trip to explore religious places, and study historical- religious story of such places. Religious tourism also facilitates the spreading of beliefs and religious teaching principles. At present, religious tourism is not only for a devout pilgrim but also for traditional and cultural study. It is also for religious activity participation in a community of destination.

As Thailand has prominent tourist heritage, both in concrete and abstract forms, it becomes the popular destination for tourists across the world. From this popularity, it is suggested that transforming the national religion—Buddhism—into traveling identity could be the potential strategy encouraging cultural tourism, particularly the ones related to religion, for the country. An example of important travel destination is a temple which is considered one main organization of Buddhism (Department of Religious Affairs, 2014).

A Buddhist temple is a spiritual center of Thai people. It is closely connected to ways of life of people from the first day to the last day of their life. However, under the changing world, the importance of temple has diminished. This leads to its realization of adjusting itself to the new social trend. From the holy place of ritual ceremonies and traditional activities, a temple is now a travel destination. Many temples in Thailand are trying to create significant spots to attract more travelers. These significant spots creation could range from constructing architectural and sculptural sites to establishing center of religious practice.

This study aims to present the cultural identity construction of Thai temples for tourism purpose. In this respect, the paper elaborates how Buddhist temples in Thailand adjust themselves in the changing world by transforming the cultural religious heritages which are the non financial value into ones with financial value to serve tourism.

## Religious Tourism in Thailand

Religious tourism emerged from devout pilgrims who have faith on religions or gods (Timothy, 2011). The common practice of a devout pilgrim is travel to a holy place. The routes of religious tourism has constantly developed and adjusted to meet the travel goal of travelers. Now, religious tourism is included in cultural tourism. People who do this type of travel might not be the followers of a religion. Rather, they might be ones who want to learn and see different traits of different religions via their trips. Religious tourism can respond to the spiritual and learning needs of those people. For them, religious tourism offers peaceful mind from attending religious festivals which usually take place in their travel destination. Many travelers could also enjoy the sightseeing to holy places as well as explore the cultural experiences (Shackley, 2002).

Many religious tourist destinations like temples, monasteries, and churches could immensely attract large numbers of tourists due to their spiritual and entertaining values. Educational and cultural opportunities are also offered in this type of tourism (Woodward, 2004). At this point in time, the value and significance of religious places make them popular in the tourism market attracting more and more tourists (Francis et al., 2008).

There are factors encouraging people to join a religious trip. The first factor is experience of feeling or spiritual experience they received when visiting a holy place or when attending religious-related activities offered during the trip. These activities are such as participating in a ritual ceremony, praying, asking and receiving blessing, and making wishes. The second factor urging people to travel is culture. Recently, religious traveling is similar to a holiday trip or a cultural trip due to its cultural significance and value. Not only the aforementioned factors, some people travel to religious-related places to pay respect to their ancestor, to study historical story of a particular holy place or a beautiful architect. From this, it could be clearly seen that different people are differently motivated to join the religious tour.

In Thailand where national religion is Buddhism, different people join the religious tour with different travel pattern, behavior and purposes. They could be put into five categories proposed by Wong et al. (2013). The first category includes people who enjoy the beauty of holy places, while people in the second group are ones who have certain adherence to Buddhism. They travel with faith to pay respect to a sacred item. The third category covers tourists who, when being compared with tourist in the second group, have higher level of faith and respect to Buddhism. For them, traveling to pay respect to Buddha image will bring them a spiritual fulfillment. For people who are categorized as the fourth group, they are not only tourists of a religious tour but also the strong believers of Buddhism, comparing with people in three previous groups. For them, the important aims of traveling to a holy place are to pay respect to a sacred item, to study the principles of Buddhist philosophy, and to appreciate the teachings of Buddhist monks.

In general, religious tour in Thailand is usually centered in the temple which is the heart of the Theravada Buddhist doctrine. A temple is important symbol of Buddhism. It is a place that holds the ritual activities. Usually, a temple includes areas of building or permanent architecture used for worship or conducting of ritual ceremonies. Monk's residence is also a part of a temple.

In ancient time, when Buddhism firstly emerged, religious practice or activity was not usually held inside a permanent building. Rather they took place in designated open natural area or in existing building suitable for the practice or activity. At present, when the religion has been widely known, there have been increased numbers of followers and priests. Religious places become essential. This led to the increasing numbers of permanent buildings of fine architect and artistry style of decoration presenting the tradition and ideology of the religion. Furthermore, power of a person who financially supports the construction of a religious building seems to play a big role. The building that was financially supported the construction by powerful person such as ruler of the country or the king, would be enormous in size; its fine decorating style was usually completed by skillful craftsman.

It could be seen that a temple is the place that gathers the mind of Thai people from past to present. It is the source of various arts and academic as well as a hub of invaluable fine arts. This is invaluable cultural heritage and is the identity of Thai society. Arts and culture in a temple reflect Thailand's civilization and prosperity. Therefore, temple is a good source for the tracing of history, archaeology, architecture, the relation of culture and community, as well as the establishment of a community.

All cultural assets in Buddhist temples are the hearth of Buddhists. They have no financial value, but they are spiritually invaluable. However, at the present time, social change forces people ways of life into a trap of economic system. From such phenomenon, many social organizations realize the necessity to adjust themselves to suit the changing world. A temple, as a religious organization, also changes its role. This change has been completed via the concept of transforming cultural assets to salable products proposed by Karl Polanyi (1944, 2001) as elaborated in the following section.

## **Fictitious Commodities**

As previously mentioned, religious tourism is a phenomenon that religious organization tries to put itself into the economic pond by changing the spiritual invaluable places and objects to be the financially valuable ones. In that, spiritual-cultural assets are transformed into salable products. This phenomenon can be clearly seen through the lens of fictitious commodities proposed by Karl Polanyi (1944). Polanyi was a famous Hungarian economist, politician and historian who postulated that workforce, land and money are not originally for financial benefits (1944, 2001). They are not true commodities for selling. According to Polanyi, true merchandise must be fabricated for selling purpose. For workforce, land and money, they are not produced for sale on the market. Workforce is only a word used to call human activity that occurs simultaneously with life cycle: it is not produced for marketing purpose. Such activity could not be taken away from human life: it could not be separately stored to be sold. Land is the name human use to call a natural space. Money is a symbol that indicates the buying power of a person. Strictly speaking, money is not fabricated. It is a mechanism in banking and governmental financing systems.

In summary, workforce, land and money are not for sale on the market. They are then positioned as fictitious commodities so that they could be sold. Sharing similar traits with workforce, land and money, the religious-cultural heritages, which are found in Thailand, are invaluable assets that originally not for sell in tourism market. However, in the current capitalist world, the industry becomes more complex. More complexity of industrial manufacture means more numbers of industrial components, and religious-cultural assets are important components. Therefore, it is necessary to turn these non financial value places and items to be the financial value ones so that they could be added into the industrial system. This could be managed by the process of transforming them to the salable products using the concept of fictitious commodities. In this study, the concept of fictitious commodities is used as the analytical framework examining identity construction of Thai Buddhist temples for tourism purpose.

## **Identity Construction and Culture**

Identity refers to human realization. It is how we understand who we are and who others are. It is the state of knowing about ourselves and how others' realizing about us (Berger and Luckmann, 1967). In Thai language, the word 'identity' refers to specific quality of a thing that makes it recognizable (The Royal Society of Thailand, 2003). In English, the word 'identity' has its root from Latin word 'identitas' which means similar (Jenkins, 1996). It could be noticed that the meanings of 'identity' from the two languages are quite different. Thai language presents identity as specific quality of a thing which is dissimilar to other thing. In English, however, identity means the similarity of things within the same community which is different from things in other community. Therefore, identity could mean the similarity and specific uniqueness that are different.

Identity is the act exhibiting human symbol and internal dimension. These are such as emotion, feeling and thought. Identity could be classified into two types: the first is personal identity and the second is social identity (Pheungphoosakul, 2013). From this, identity can be put into individual and social levels. In individual level, identity includes gender, ethnic group, social status, career and religion. In social level, identity is built upon similarity found in one community which is different from the other (Princess Maha Chakri Sirindhorn Anthropology Centre, 2004).

Identity usually relates to society and culture. In this respect, culture is the main determiner of identity, while society is factor influencing change or adjustment of that identity. Culture which includes belief, value, and world view plays a key role in mediating nature and human to build a person traits. Hence, culture is important factor of identity construction. It takes major part in molding identity of a person in both individual and social levels (Padungchewit, 2007) as it is the overarching frame that control the production, consumption and supervision of an identity (Curtine & Gaither, 2007). Hence when one identity is constructed, culture is usually involved so that the construction can yield identity that has specific quality different from other who is from different culture: and most importantly such quality must be recognizable.

In Thailand, the identity construction of Buddhist temples cannot be completed without the involvement of culture. This study examines how Buddhism temples in Thailand construct their cultural identity.

## **Methodology**

This qualitative study investigates how Buddhism temples in Thailand build their cultural identity to serve the tourism market. Data were obtained via an in-depth-interview. The key informants were the representative of major temples and tourism organizations in Thailand. The obtained data were analyzed using thematic analysis. Polanyi's concept of fictitious commodities was the analytical framework of this study.

## Findings and Discussion

The analyzed data revealed that Buddhist temples—the main religious organization—have been significantly influenced by the growing world of capitalist economy. From the holy places that money was hardly spent, the temples currently have spent money to keep activities running. Such expenditure were electricity bills, or meals prepared for people attending the regular activities like meditating, listening to a sermon. Accordingly, most of Buddhist temples put themselves into tourism industry selling what they had to the tourists with the hope to earn more money.

Data also revealed that Buddhist temples have tried to turn the spiritual-religious places and objects into the salable products. In doing this, they constructed their cultural identities with the main aim to utilize those constructed cultural identities as the merchandises ready to be sold in tourism market. The obtained data reported five ways that those temples in Thailand chose to build their own identity. Those five ways included increasing cultural capital value, capturing the tourists' faith through the presentation of respected monk or abbot, combining Buddhist beliefs to the local faiths, setting up the temple' tourism landmark, and building a unique tradition of the temple and the community.

Data also reported that these five ways were used by temples across Thailand. However, it could be seen from data that each temple chose to follow one of the five ways depending on their potential. Followings are the elaboration of the five ways of cultural identity constructions and how each way has been implemented in the temples.

### Cultural Identity Construction of Buddhist Temples in Thailand

#### Way1: Increasing Cultural Capital Value

Cultural capital value is the asset that embodies stores and provides cultural value in addition to its existing economic value (Throsby, 2001). Such asset can give rise to both economic and cultural benefits. According to Throsby (2001), there are two main forms of cultural capital. The first form is intangible cultural capital which covers idea, intellect, belief and value (Throsby, 2003). Another form is tangible cultural capital. Buildings, locations, and sites are examples of this cultural capital (Throsby, 2001). In a Thai context, tangible cultural capital can be archaeological site, antiquities as well as buildings in a temple. It appears that Buddhist temples in Thailand have both intangible cultural capital and tangible cultural capital. The intangible cultural capital frequently found in the temples is the faith that tourist have on the temple they visit, while the tangible cultural capital includes all holy items found in the temples. In this regard, data showed three attractions that could offer both intangible and tangible cultural capital to the visitors. Followings describe each attraction:

#### 1.1 Buddha statue

Buddha statue is one of a sacred object in Buddhism. It has long been worshipful for all followers of the religion. It is considered important cultural capital because Buddha statue is the representation of Lord Buddha—the founder of Buddhism. Buddhists strongly believe that worshipping and paying respect to a statue of Buddha, particularly the ancient one, will bring them happiness and prosperity. In addition, they will be safe from all dangers. Accordingly, worshipping and paying respect to a statue of Buddha is a common practice among Buddhists. There are large numbers of temples in Thailand. In Bangkok there are more than ten important temples housing significant ancient Buddha statues (Policy and Planning Division, 2012). Different Buddha statues have different origins, creation myths and styles of presentation. In addition, revered Buddha statues can also be found residing in major temples of each province. Such large numbers of Buddha statues, Buddhists can conveniently visit principal temples in their area to worship and pay respect to the holy Buddha statues. Comparing to local temples, Buddhists prefer to visit the temples that house the ancient Buddha statues. This phenomenon suggests that temples with cultural capital tend to attract more visitors. Such cultural capital covers both the tangible one (the statue of Buddha) and the intangible one (the faith for the ancient Buddha statue)

#### 1.2 Pagoda

One mission of Buddhists in Thailand is to build pagoda to house sacred relics of Buddha. This is due to the belief that Buddha relics are major sacred objects that bring peaceful to Thailand. This type of pagoda is called 'Phra Taat Chedi.' The creation myths of some of the phra taat chedi are told through local literature in the area which in turn leads to more respect from people in community and across the world. Examples of phra taat chedi which become widely respected by people are Phra Taat Phanom (residing in Nakhon Phanom province), Phra Taat Choeng Chum (residing in Sakon Nakhon province), Phra Taat Kham Kaen (residing in Khon Kaen province), Phra Taat Na Doon (residing in Maha Sarakham province), The Golden Mount (residing in Bangkok), Phra Pathom Chedi (residing in Nakhon Pathom province), Phra Maha Chedi Chai Mongkul (residing in Roi Et province) (Policy and Planning Division, 2012). They are places to keep the sacred relics or cremated ashes of Buddha. As the sacred relics or cremated ashes of Buddha are representations of the venerated

Buddha, worshiping and paying respect to them will bring happiness and prosperity. From this, a temple housing 'phra taat chedi' becomes a popular destination for many tourists. All the phra taat chedi are regularly visited by visitors who hold strong faith on the holy relics or cremated ashes of Lord Buddha.

### 1.3 Aesthetic architecture

Beautiful architecture in Buddhist temples is one cultural capital. Most temples in Thailand tend to build beautiful monastery and sanctuary with aim to make them the cultural heritages of the country. Essentially, Buddhist sanctuary which is a place for conducting ritual ceremony is the significant spot of individual temples. In this regard, different sanctuaries are built with different architectural styles representing local architecture of each area. In addition, some temples build a monastery to place a prominent Buddha statue together with the principle Buddha image of the temple. Furthermore, some temples even build a Tripitaka Hall to house the Tripitaka (Buddhist Scriptures). These aesthetic architectures are important cultural capitals that bring faith to local. And now they are transformed to the destination of religious tourism.

#### Way 2: Capturing the Tourists' Faith through the Presentation of Respected Monk or Abbot

The popularity of a respected monk or abbot is also an important identity that attracts more travelers to visit the temple. Most Thai people give importance to Buddhist monks because of the Buddhist teachings they have ingrained. According to one of Buddhist teachings, monks are who lead good deed and good practice. They are superior to ordinary people. Therefore, making merit with monks and paying respect to them will bring fortune. Paying respect to Buddhist monk becomes one major identity that attracts people to visit a temple. This practice is in line with the concept of paying respect to the major Buddha statue. Only one difference is that the target is a human monk. In many cases, Buddhists sometimes visit a temple to pay respect to their revered monk even after he passed away. In doing this, they worship his portrait or picture. Some temples choose not to cremate body of the great monk. Instead, the body is kept in a glass coffin so that it could be seen by his followers. The body in a glass coffin becomes the signature of the temple which in turn draws a lot of attention from visitors. An example could be from a case of Wat Wang Wiwekaram where the body of Luang Phor Utama (the venerable father Utama) has been placed in a coffin. Although the venerable father Utama has passed away, he is still highly admired by the Thai and Mon people living in Songkhla Buri District—a big Mon community in Kanchanaburi province, Thailand. He is also known as 'God of Songkhla Buri.'

Similar to the case of Wang Wiwekaram Temple, there are numbers of temples using the fame of revered monks who passed away as the signature attracting tourists. One temple is Wat Rakang Kositaram, Bangkok, a home of the venerable father Dto Phromrangsri. The venerable father Dto Phromrangsri is known as the monk who conducted great deed: he is also considered the one with great magic chanting. Another example is Wat Ban Rai, Nakhon Ratchasima province which is the home temple of the venerable father Khun. The venerable father Khun is one of the most famous revered monks who usually helped his followers by way of magic chanting. Wat Pa Ban Tat, Udon Thani province is the home temple of the venerable uncle Maha Bua whose great conduct has been widely known by all Thai people. Many hospitals, airports and schools received financial support from the venerable uncle Maha Bua. Another important temple is Wat nong Pha Pong, Ubon Ratchathani province where the venerable father Cha, the founder of the temple lived. He is known for respective sermon.

Of these major monks, some are an example of great deed and some are known as using magic chanting to help people. Thai people are closely connected to Buddhism, particularly when it comes to their revered monks who lead their spirits. Thus, it is not surprising that even when the monks passed away, their devotees are still give them high respect and still want to make a visit to the temples that hold their bodies. This phenomenon becomes one cultural identity of the temples which in turn brings more tourists.

#### Way 3: Combining Buddhist Beliefs to the Local Faiths

Combining Buddhist beliefs to the local faiths can be one possible way that a temple can use to create its cultural identity. For example, in the northeastern part of Thailand, the respect of naga derives from two different practices of different group of people. The first practice is of ethnic groups living by a river bank whose holy common practice is worshiping serpent. The second practice is of a Buddhist-Hindu belief. The combination yields an invented tradition (Siriwong, 2013) which is named by local 'bung fai paya nak' (naga fireball festival). This tradition is based on the belief that nagas fired the glowing ball from under the water to worship Lord Buddha while he was descending from the Tavatimsa Realm, on the day which the rain-retreat ended.

Apart from the naga fireball festival, people's respect of naga is also seen through the building of naga-like stairs which are seen in many temples. The naga-like stairs present two connotations about Buddha teaching. The first connotation is taking the naga-like stairs will lead followers of Buddhism to Lord Buddha: the second connotation is the naga-like stairs is a path to virtue. This can be a part of the temple's identity construction.

Another example of how a Buddhism belief is combined to a local faith is when Buddhists in Thailand name temples using words of fortune and happiness. These temples with propitious names could be found in many provinces like Chienmai. There are such as Wat Loikroh (means throw away bad luck), Wat Dap Phai (means get rid of all danger), Wat Duang Dee (means fortunate), Wat Sri Kerd (means fortunate), Wat Chai Prakiat (means the king's glory), Wat Meunngenkong (means propitious), Wat Meunngelan (means wealthy), Wat Prasat (means glory castle), and Wat Chiang Man (means eternity). These temples with fortunate names advertise themselves to the public on the basic concept that travelers who visit them will have fortunate life. This could be seen that they successfully mix the religious-related context (temple) to the local belief of good luck in building a strong identity to serve tourism.

#### **Way 4: Setting up the Temple's Tourism Landmark**

Temples that have no cultural capital like archaeological site, antiquities or cultural resources, have to set up their own landmarks. These landmarks can be a place or building that becomes identity of the temple. Tentatively, most landmarks are such as Buddha statue, pagoda or Buddhist sanctuary. They are usually in big size and are beautiful. For example, in Roi Ed province, the biggest standing Buddha statue under the name 'Phra Rattana Mongkol Mahamunee' has become a symbol of the province and has received high respect from tourists. Another example is a case of Wat Saman Rattanaram Temple, Chachoengsao province where the giant Ganesha statues are the signature of the temple. Ganesha is an elephant-headed Hindu god known as the deity of fortune and success. This brings large numbers of people who search for happy and fortunate life to visit this temple. One interesting example is a temple that has a Sky Walk (named Wat Pha Tak Suea) in Nong Kai province. The long sky walk, which was built overlooking a cliff, has glass floors and walls can attract a lot of visitors. In visiting Wat Pha Tak Suea, visitors can attend the religious activities and enjoy overlooking the Mekong river. Surprisingly, the setting up the temple's tourism landmark is increasingly popular in Thailand as it is believed to bring mass of tourists to visit temples that do not have existing cultural capital.

#### **Way 5: Building a Unique Tradition of the Temple and the Community**

One important way that a temple can build its cultural identity is creating a unique tradition of the temple and the community. This unique can be an invented tradition (Siriwong, 2013). This can be done by adjusting or reinventing the existing tradition. Inventing a new tradition (based on Buddhist teaching or local legend) is also included. These traditions can earn economic benefits from tourist activities. Examples of invented tradition are Phra Uppakut Buddha image procession, the Vessantara Jataka, the festival of the Illuminated boat procession, candle festival, floral offerings festival. Although these traditions are not in itself valuable in terms of religious importance, they are invaluable cultural assets for the country. The building of unique tradition for temple and community creates economic cultural value.

#### **Conclusion**

The changing world has immensely affected all parts of human society. The religious organization has also been influenced by this growing world of capitalist economy. A Buddhist temple which is a major religious organization is undergoing self-adjustment to meet the new social trend. From a center of Buddhists' soul and a major location of the holy practice, a temple now is transforming itself to the significant tourist attraction. This study presents five ways of how Buddhist temples in Thailand construct cultural identity to enhance the cultural capital.

First is to add financial value of the cultural capital. In doing this, temples charm tourists by commercializing their existing Buddha statue, pagoda or aesthetic architecture. On basis that worshiping sacred object or place brings fortune and merit, temples that have cultural-religious heritages can attract huge numbers of tourists, particularly the followers of Buddhism. For them, they not only can enjoy the journey to the temples but they can also show respect to the holy Buddha statue, pagoda as well as absorb beauty of architecture inside the temple of destination. However, it is worth mentioning that, this way of constructing cultural identity cannot be applied by all temples. It could specifically happen to temples that have long history and that have cultural-religious heritage.

The second way to create cultural identity is through the faith that Buddhists have on their revered monks. As one important of Buddhist teaching principle is to give respect to monks, visiting and asking for blessing from the monks is commonly seen in Buddhists community. People particularly give highest respect to the monks who exhibit great deed or ability to

regulate magic chanting to help people. Their faiths never fade away even after their holy monk has passed away. They continue visiting the temple he used to reside. One thing they usually bring back home is the sacred symbol or sacred item representing their revered monk. Thus, the home temple of the great monk can endlessly charm a large numbers of tourists.

Next, some temples choose to create their cultural identity by combining religious belief to community faith. Such combination brings about unique tradition which can enormously grab tourists' attention.

The fourth way that Buddhist temples can build their cultural identity is to establish a unique landmark. This landmark is created directly for the tourism purpose. It becomes the most popular way among the five cultural identity constructions as it can be a good choice for temples that do not have existing cultural-religious heritages or great monks. However, when choosing this way of cultural identity construction, the temple has to be certain that its landmark is religious-related. Further, it has to be distinctive, enormous and beautiful enough to catch people's attention.

One last way to create a cultural identity is to invent tradition that temple and community can specifically share. Those invented tradition is usually related to religion, so it becomes the cultural product that is a selling signature in the tourism world.

In summary, it could be stated that the cultural identity construction of Buddhist temples in Thailand can be seen as transforming the non-financial value things to a financial value ones. This is in accordance with Karl Polanyi's concept of the construction of fictitious commodities. Like Polanyi's idea about labor, land and money (1944, 2001), holy statue, holy place, great monk, religious belief and local tradition are not true commodities. They were originally not for selling. However, they can be transformed to be fictitious commodities which in turn can be sold in the tourism market. Although tourism is not related to religion and culture in all aspects, the capitalist economy establishes the strong relationship between them. In Thailand, Buddhist temples are now aiming to transform themselves to be popular tourist destination due to the necessity to earn more incomes. This phenomenon lessens their previous role of being a spiritual center for religious practice and a heart of the community.

From abovementioned, the cultural identity construction of Buddhist temples in Thailand is for the tourism purpose. This is derived from the economic system of the current world which affects not only people way of life but on all corner of human society. Temple, as an important religious organization cannot survive in the world without making change. Therefore, temple has to put every effort to change itself to be one of tourism spots. This change can be viewed through the lens of Polanyi's fictitious commodities.

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## Problems of Language Education in Pre-School Children

Prof. As. Dr. Edlira Troplini (Abdurahmani)

“Aleksandër Moisiu”, University Durrës

Faculty of Education, Department of Albanian Language

### Abstract

In Albania, work on shaping a good communicative competence is unfortunately not starting in the preschool cycle. Even the legal framework for this cycle leaves much to be desired. It gives more importance to other study cycles, such as primary, ninth grade, high school and university. In this paper we will first deal with the description of the real situation of language competence in the age group of pre-school children, to see then how much the so-called legal framework has been met for this cycle and how the objectives set up by it have been fulfilled. After that, we are going to set out some important milestones regarding the teaching of the Albanian language, which should be taken into account in the law on preschool education and then propose their implementation successfully based on strategies and methods practiced earlier from developed countries. All this will be done by taking into account some conclusions of certain language disciplines regarding the children's ability and language capacity, shaping the basics of their communicative competence which are very important for good language education in this age group.

**Keywords:** preschool cycle, real situation, legal framework, suggestions, improvements.

### Introduction

A good language education should always take into account all kinds of linguistic variation. *Psycholinguistic, sociolinguistic, ethnolinguistic, pragmatic or stylistic* aspects are very important aspects for the development of the language competence by children of different age groups. Although Chomsky's findings are already known, he, besides, as a common part of our biological heritage, rarely calls language as a unique human kind of property ... which interferes decisively with thought, action, and social links. (Chomsky, 2007, p. 2)

Sociolinguistics requires language recognition throughout its *diatomic, diastratic, diaphatic, diamatic* dimension. It is already known how rich and varied it appears in these perspectives ... Its "free" variation is conditioned by these important factors from which they originate and from diverse variations of language variants (Berruto, 1994). All of these should be taken into account in the didactics of a language.

Styles of use, variety of spoken registers, cultural differences by different communities, the role of all fluxes, visible or invisible, whether they are, require support from a good education and in our case from good teaching and learning of the Albanian language. On the other hand, to respond to these challenges, but also to problems with the standard languages today, where everything goes in the course of globalization, the didactic language models applied to both teachers and students should not be raised on the basis of what is included in the traditional linguistics, but in those must be felt the interaction of all the aforementioned disciplines.

Considering the sociolinguistic, psycholinguistic, pragmatic view ... etc the language or the viewpoints of other disciplines, students understand that the greatness of what we call language goes beyond: it is not merely a part of human being, but it must serve this being throughout life.

As such, the language poses to the scholars and the people themselves difficult tasks related to maintenance, development, proper adaptation with generations, to the context in which they live (economic, political, social and cultural) etc. All of this is done so that in our everyday life, the language will represent us dignitously, adapting to our requirements, situations, circumstances, written and unwritten rules in order to properly cultivate its functions ...

All of this shows that language is one of the most important challenges of today's education. If it comes to developing countries, this challenge is many times more difficult because of the fact that these countries are still destabilized. So if we

were to refer to Chomsky's assertion that "*ordinary discourse does not repeat the same things, but produces new language forms, so ordinary language use is free ...*" we would say that in these places, in accordance with their social contexts, with the phrase "ordinary discourse" are also implied unmanaged language uses which are difficult to respect a target or limit and go to an unusual linguistic anomaly. These are also part of the regular lecture too, but if language is subject to the pressure of language rules that derive from the precise policies a country designs, then they do not have longevity and pass on the wastage. For this reason, the alarm signal must be heard in the early stages of language preparation. That is why we started our research in the preschool cycle.

### Objectives of the Paper

How and how much is the Albanian language learned in the preschool cycle? Did language preparation ever exceed linguistic knowledge? What is the result of the linguistic knowledge acquisition in increasing the language capacity and practical language skills?

All these are questions that rightly disturb every researcher. In Albania this concern is much greater, as the answers do not speak for satisfactory results in this regard. Below we will present facts and arguments that will first inform us of the real situation in which we are and then convince us of the reality in which our education system is located. It is obviously a matter of highlighting the unquestionable importance of a language learning base that should start with the pre-school cycle, which will follow, in coherence with the next cycles of study. Our primary objective is to improve the current results in the future.

### Results

The real situation of language competence in pre-school children.

Before explaining the real situation of language competence in the pre-school cycle, let us first recall some data regarding competence. The term *competence* in language literature was introduced by Chomsky (Chomsky, 1965; according to Robins, 1997). Specifically, he shares in *competence* and *performance*. Of course, this division has been done either in continuity or as a response to Saussure's earlier division (Saussure, 1916), in *inner and outer linguistics*. The division of *competence* and *performance* will advance further with the division, *microlinguistic* and *macrolinguistics* from Lyons (Lyons, 1977) and so on... (Hernandez Campoi, [www.ja.scribd.com](http://www.ja.scribd.com)).

For speech psychology, when talking about good language competence we mean a phonological competence, morphological competence, syntax competence, semantic competence, pragmatic competence, textual, lexical, discourse, etc. (Marini, 2001).

Language competence models expanded due to the basic assumptions of transformational generational linguistics (Chomsky, 1957) which insisted that:

- discourse is a competence, a system of rules and mechanisms in the mind of the one speaking and the one who understands
- there are some universal linguistic principles rooted in the genetic inheritance of our beings.
- The linguistic task is to build formal models that can describe these rules, mechanisms or principles

Language competence models conceptualized the syntax as the basic mechanism of speech and attributed each phrase or sentence to two syntax structures: one superficial (directly accessible) and the other deep (which is more abstractly explained by transformation rules) ([www.treccani.it](http://www.treccani.it))

In sociolinguistics the term *linguistic competence* corresponds to the term *communicative competence* (Hymes, 1966; according to Shkurtaj, 2009, p. 269), and sociolinguists go even further by calling it the lecturing competence or sociolinguistic competence. (Holmes, 2015, p. 516)

For the sake of truth in this paper, we have always had this example of competency-forming because having the skills and the linguistic capacity means first of all having a good communicative competence.

To Shkurtaj having language competence means having a knowledge and practical use, having creative skills through language units both in spoken and written form; knowing and using language codes and sub-codes; to have good linguistic and non linguistic communication; your written and spoken discourse is up to you. (Shkurtaj, 2009, p. 269-271).

Naturally, to achieve all this, work should start from the preschool cycle. But, what is the real state of communicating competence of children of this age group and what is specifically observed at this stage?

If we describe their competence, we will certainly describe their unformed competence and, for the sake of truth, in this paper we are seriously considering such a thing, since we think this is the time to put it in the right way, in order to model it best for the future.

First, at this stage, it is noticed that the greatest contribution to the modeling of competence is provided by the child himself, as he feels deeply within himself the need for accurate communication and argument for this is the fact that whenever we speak to children with the language babies, they get angry. The child feels and suffers the lack of a full vocabulary like the one of the most adults. At this point, the so-called *baby-talk* phenomenon helps us to somehow shape the children's language properly and enrich it.

*Baby-talk* tells how we should behave linguistically with young children, as their speech is not only modeled, but also needs to be modeled. It is unconsciously modeled, so naturally and must be thoroughly modeled by adults in a professional way. For the latter, parents together with pre-school teachers should be the first providers in this regard, thus the first contributors to the formation of the basis of their communicative competence, but unfortunately, this does not happen properly either in our kindergartens, neither with parents, nor with adults (Tropini, 2017).

In the language of children is also evident linguistic variation by social class. From our observations, it is clear what Chomsky claims, (...) *the difference between a rich and stimulating environment and a poor environment can be essential both in language acquisition and physical growth, or more precisely in some aspects of physical growth, being capturing the language, just one of these aspects. Skills that are part of our common genetic wealth can flourish or be restricted and suppressed under the conditions they have for their growth* (Chomsky, 2007, p. 135).

Children's language is also influenced by another important factor such as *imitation*. Regarding this feature, in their spoken language is evident the dialect variation.

From the collected data on the ground it is noticed that their language is initially modeled according to dialect models with which the child is in constant contact. Wilkins does not question the pedagogical importance of language varieties (Wilkins, 1983, p.147). A factor that significantly affects children's speech is the life experience they have. For example, dialect variation is more apparent in children of rural origin and less visible in children of the same origin but living in urban areas. The most noticeable this variation is in children belonging to the top dialect of Geg and less visible is in the children of the Tosk top dialect (for the fact that the latter was lucky to choose and get the size of a prestigious speech). The same logic is followed if we do an analysis that goes even further into the dialectal subdivisions.

Of course, the model that your child learns faster is that of the family. We think this is quite apparent in our social and family context (we do not exclude other similar family contexts in the world, but are not motivated equally). Regarding this, our children, in addition to their family language, maternal dialect, or grandparents (if the mother works and lives in the community) are good simulators of the friend's or companion dialect if he is a guest of host community, teacher's dialect also, in case of trainee teachers who do not speak the standard well, but also vice versa. There are children who, although originally from the country's most remote rural areas, are able to speak the standard language standard due to the hard work of the teacher to promote awareness of the correct and accurate mother language or the fact that the teacher himself speaks the exact standard. These are the phenomena we face in our context.

Another example of imitation is the imitation of sophisticated adult language. In our everyday language there is the phrase "this child speaks great words". Thus, in the kindergartens, children who speak with "great words" like their parents or adults surrounding them. It is understood that such a luck is a favor that have only children whose parents are educated and enjoy some status in society. However, an ordinary child in the impossibility of such imitation (of sophisticated words) mimics words and common expressions from adults.

Another model that we can see through examples is the imitation of the media language, mostly of cartoons, not excluding advertising, various advertising slogans, special musical refrain for the child's ear ... etc. Of course, it is another matter if we need to measure how much the degree of these imitations reaches. For now, we can only be satisfied with the fact that imitations are greater in children spending more time in front of the television, the computers and the phones.

After dealing with these examples, it is clear that the child to reach his goal becomes more and more conformist with the group or adult person. A typical example embodied in this age is *the field of abnormal morphology* addressed by many sociolinguists. We must say that in all the examples discussed above, the phenomenon of socialization is evident.

Regarding children's speech there are some issues that need to be taken seriously in our context, such as the phenomenon of discrimination or linguistic prejudice.

In our kindergartens we have children who do not speak properly, babies who stutter, children who do not know well Albanian, children who come from the most remote variations, children from uneducated parents, and so on ...; children with poor material well-being, children from divorced parents etc. Nevertheless, all adults need to understand well that the child is the wisest being of this world. Here we are faced with a phenomenon that we have often called linguistic discrimination, but we all know it derives from the social phenomenon of discrimination. Thus, in the struggle against linguistic prejudice, unwilling to contribute to the prevention of racial, ethnic prejudices, etc., and vice versa, through linguistic prejudice, we may unintentionally encourage the opposite. It is unforgivable when the teacher even unpremeditated, become the source of these discriminations. The teacher should be very attentive to how he or she behaves with the children, even when he does a compliment to dress (which has recently become fashionable to us), because unwittingly he insults what is not so beautiful for certain reasons. But this is just an example ... Teachers should be attentive to the gender differences we have noted in this age group, perhaps through the selection of colors, dress, selection of same sex partners to play etc. All of these are also reflected in the language, because language is also an activity, even a specialized activity (Malinowski, 1923; according to Hudson, 2002, p. 127).

All of these have serious consequences that affect the child's growth. Sometimes they have become a cause for the appearance of pathological diseases. Thus, we have discovered some instances of stuttering just because of the psychological violence exercised by the teachers or by the presence of a sister or brother of the family better than oneself.

The teacher should be very attentive in identifying pathological diseases such as aphasia, dyslexia, dysgraphia, etc.(Cacciari, 2011, p. 278-293). These and other phenomena are easy to avoid with professionalism, but in order to achieve professionalism, work has to be done in many ways, which we will consider a little bit.

Let's go back to the linguistic aspect again. How should we strive for laying the first bases of a good communicative competence in coherence with the following education, in view of its continuous improvement?

Unfortunately, as we will see below in the discussion phase, strategies, programs, methods and objectives have not helped us so far; the teachers themselves should do so, but they not having a properly guide, surely have failed in many aspects that are very important. Consequently, the child has come to primary school with a lingering language deficit. The first grade of the elementary school where the rigorous learning of the ABC book begins and then reading, continues to be a major disaster for children and in their mind is compared to a kind of drudgery where all that starts is experienced with many difficulties.

How can the teaching of Albanian language in our kindergartens be improved?

*It has long been confirmed that in order to satisfactorily develop the expressive and linguistic capacities of students in schools, it is important for teachers and people of culture to summon together and unite to this goal all their knowledge about linguistic reality, it is understood for the useful part that serves the didactic goals (Soravia, 1980).*

Positive attitudes during the learning process should be a priority of the teacher so that student outcomes serve the future and challenge any need to communicate.

In this age group, during the design of the curriculum, when designing the methods to be used for their implementation, when designing the daily objectives to be achieved during the Albanian language classes, planning this lesson, and to provide coherence with other lines of study, teachers should consider:

*Language act* factors that are very important at this stage of development. The child should not know the theoretical factors, but must practically understand when this act is accomplished and when it is not. The child at this stage needs to understand whether the message of what he says is realized or not; the linguistic act remains as such or is carried out in a communication act. The child should select the right situation or context to say something. He should be able to connect through a chain of coherence several communication acts. But first of all, the teacher at this stage needs to have clear the method he should use in order to achieve this goal. He has to understand how successful a student is to successfully engage in a discourse, who is more capable and who does not. How can they work to improve them in this regard? If we have done so, we have achieved two of the most important goals such as *"To get a student to hear stories and to participate in conversations with ever-growing attention"* or *"To participate and to have an initiative to discuss in the learning environment not only with peers, but also with older adults "* but above all, the teacher has contributed to the teaching of conversational rules.

Every teacher should ask himself to the very questions that Chomsky had about the cognitive ability of language such as: What is the system of recognition of every child within this age group? What's in their mind? (Such questions are raised by having the fact that some of the knowledge and the way of understanding is genetically born.) We must understand, "says Chomsky, how and how much children understand, how they hear, read, interpret, produce ... etc. (Chomsky, 2007, p. 3).

In this way the teacher connects very well the *psychological* aspect with the *linguistic* one, so the line of thinking with the communication line.

So some data in the field of psycholinguistics are quite valuable. Some Chomsky values regarding language acquisition in children would help many specialists and drafters of the methods to be used.

Learning the language, he says, is not exactly what the child does; it is something that happens to the child who is placed in a suitable environment, much as the baby's body grows and breeds in a predetermined way, when provided with adequate nutrition and influence of the environment. This does not mean that the nature of the environment is not about this issue. The environment defines the way in which the parameters of universal grammar are configured, thus giving different languages... (Chomsky, 2007, p. 134).

Psycholinguistics, sociolinguistics - ethnolinguistics, pragmalinguistics, etc., come to the aid of didactics. To avoid problems related to these areas, we should orient our children towards a common Albanian. As we pointed out above, children are in constant socialization process. This means that they are confronted with ready-made models, family and society around them, in neighborhoods, villages, cities, kindergartens, etc. These models can be even quadrupled wrong. So it is necessary to work hard with the children of this age group to inject love for mother language and to form the responsibility to speak and write as accurately as possible.

Teachers need to work hard on this cycle with some typical orthography rules. Mainly with rules related to the words they have chosen to write or read. But first, it is required to increase the teacher's responsibility to themselves to properly learn some orthography rules. Teachers are therefore not allowed to write spelling mistakes that children will write while learning languages such as: Shqipëri (Albania), atdhe (homeland), shqiptar (Albanian), flamur (flag) etc.

Language competence models conceptualized the syntax as the basic mechanism of discourse and attributed every phrase or sentence two syntax structures: one superficial (directly accessible) and the other deep (which is more abstractly explained by transformation rules), ([www.treccani.it](http://www.treccani.it)),

So, teachers should practice their children in formulating sentences, expanding them, or simplifying them. This would greatly help them properly appropriate their mother language.

Teachers should work with children during Albanian language classes, especially for distinguishing between two language codes: restricted code and extended code. Children always tend to speak with a truncated code, while teachers should contribute to a more elaborate language code. In this way, teachers contribute to enriching the vocabulary of children and not only, but they also increase their agility of speaking (this is not the only way).

Bernstein clearly recognized that children from rich layers have a richer syntax and semantic vocabulary than poorer children. Then with the children of these layers, more work should be done to fulfill this linguistic deficit.

With the child, work must be done in all respects. The teacher should also intervene when the child fills his sentences without criteria. He needs to understand the right lines of good communication. So it's a norm for all the kids. Those who do not meet this norm, without doubt, will carry this deficit even in the future.

Teachers should apply the *baby-talk* method to children. *Baby-talk* is able to control the behavior of children and maintain interaction with them (Wells and Robinson, 1982; according to Shkurtaj, 2009, p. 95). We are facing a "*special registry*" that an adult is best to use deliberately, adapting to a small interlocutor, or more specifically to adequately respond to the child's immaturity (Shkurtaj, 2009, p. 95).

The method we must pursue is well expressed through Cross's citation that *such a speaker has two levels of complexity, much closer to that of the child so that he can process and understand the meaning; the other, something in advance in its syntactic features, so that the child can understand the message, as well as gather the reactions between his specific mode of expression and the most elaborate version proposed to him* ( Cross, 1977; according to Shkurtaj, 2009, p. 96).

Parents, teachers or "adults" contribute occasionally to improve all levels of language in the child's speech, but this is always done to the appropriate extent according to their age, intellect ... etc. After this day-to-day use of language, children

undoubtedly earn from most adults, a great deal of linguistic wealth at the syntax and semantic level, and are therefore more likely to develop speech quickly and properly shape the communicative competence.

Teachers should instill children of the value of their mother language. Indeed, language is a means of communication that serves people, but through language we are identified. Language is part of our national identity. So let's not just teach children the rules, but teach them the value of language; not to teach the children only the presence of two top dialects (or sub-divisions), but to teach them the value of the dialect of origin. By doing this, by learning everything from the base, it is difficult for them to move towards the pre-integration of the host communities by deliberately abandoning the values of the country they are coming from, as is commonly the case with immigrants.

Teachers should teach children the rules of good behaviour. During this process, the child needs to separate two different realities, standard language and dialect of origin. Children need to learn to have respect for both of these varieties by cultivating the basics of bilingualism early on. This issue should be treated with great care and in the same way even if we are dealing with minority children.

The teacher should make it possible for the child to understand the infinitely creative aspect of the language. The cognitive system of language in young children is incomplete and consequently it needs to be modeled properly. Chomsky says *learning (something of a person) should not be compared to bottled water, but rather to the process of helping a flower to grow in its own way* (Chomsky, 2007, p.173).

We have come to the conclusion following the observations we have made mainly in the city of Durres (a city very close to the capital and considered a center of development), and then, following Shkodra (a developed city that belongs to the north of Albania) , and finally Vlora (one of the developed southern cities of Albania) (it is understood that the term development here is used based on the comparison we make with other cities). During this process we have reviewed their annual work and focused mainly on teaching Albanian language.

If all these points are not taken into account in the design of language methods and moreover, if the latter did not exist, then teachers would find it difficult to properly form the children's communication competence. This is also why we find today a superficial work in our kindergartens, where the mechanical teaching of knowledge is prevalent rather than logical. Learning through the practice or the slogan of the Ministry responsible for education "Learn by doing" so far has not been achieved.

This is noticed in how it works to increase the level of conversation; in how it works to strengthen awareness of mother language; in working on fixing some typical spelling rules (for example in important words that teachers and students use everyday, such as: *Albania, homeland, carrot, beetroot*, etc.). It is noticed that teachers do not possess the right knowledge about how to work for the daily enrichment of the child's vocabulary; how can they work to introduce new concepts every day; how to proceed in formulating sentences by passing from simple sentences into extended sentences and vice versa; or in the proper imprint of ethical rules of conduct, etc. (it is noticed that the teachers have focused solely on the embedding of some "magical words" such as: *good morning, goodbye, thank you* etc. and this results in a mechanical one, because from a test that was made to children during summer holidays, in most cases, they are not used by them). The letter can not be taught without learning its value, or the word without learning the meaning further, the sentence without understanding and constructing it nicely, the rules of conversation without understanding the essence of the conversation ... etc.

## Discussions

Other factors responsible for the real state of competence

Despite the slogans of the ministry responsible for education which have always been present and persisted in the practical training of the individual, and consequently in the formation of a good communicative competence, in reality, this effort has remained simply in letters and resembles drafted laws quite straightforward, but never implemented.

As for language education, attention has been focused more than ever on acquiring knowledge rather than on their practical training. In the 9-year cycle, much is done in terms of language knowledge and the learning outcomes have been relatively good in this regard. But on the other hand, the fruits of a tedious job for both teachers and students are likely to be seen only for a short period of time, specifically during the time of acquisition of the knowledge of that cycle and this is done only in certain angles that are directly related to the assimilation of language knowledge. Their language competence has no strength to be transformed into capacity and communicative competence. This work crowned with this cycle of studies is very tedious and hard-pressed for the fact that its beginnings are in the primary cycle (Troplini, 2015, p. 99, 171).

However, to reach a conclusion on the causes of the real situation of the language competence of children in the pre-school cycle, it is quite difficult to take into account many other factors such as:

Differences in the individual language behavior of each child, depend among other things, on the social variability of each of the parents or other family members with whom the child lives. This includes parents age, education, ethnicity, economic background, religious differences, family, etc.

Another important factor is the early development of the child as a process, so the physical development, motor development, emotional development, social development, the ability of each child to write, read, speak, listen, cognitive development the development of a learning mechanism, etc.

Another factor can be related to the kindergartens and programs they follow. State kindergartens are unified in this regard (although this does not mean that everything is correct), while private kindergartens often come out of state programs by introducing second language acquisition or by using more sophisticated methods in order to increase interest.

The difference can also be seen between rural and urban kindergartens of the same city or between the kindergartens of urban areas of different cities and so on. So the unification of programs cannot avoid differences as these factors obviously find their reflection in the language of children. Even if we borrow similar programs from developed countries, they could fail if they don't fit the context, as countries do not enjoy the same development and, consequently, the same cultural and mental emancipation.

#### Panorama of Albanian education in pre-school and language learning

As mentioned above, the way of caring for a child after childbirth varies depending on many factors, both on an individual and social level. This means that even though the child's healthy growth is in the center of attention in all respects, certain contexts that are inextricably linked to economic development or emancipation of societies, significantly affect the way children grow within these communities.

And if we were to deepen this argument, the development and emancipation of a society reflects on the development of relevant institutions such as nursery, kindergartens or schools with which the child faces immediately after the family. The latter have a great responsibility because they must adhere to a common pattern that children have to follow to practice, but in these circumstances, this is a tough job. However, we have referred to a general average by describing those phenomena and concerns that are observed in all our kindergartens, referring to the Albanian context described above, and subsequently to generalizations regarding the linguistic development of this age group.

Pre-school education programs have been developed by the Education Development Institute (IZHA). Although there are some attempts to change with the new Albanian Law on Education (2015), which is published in the official journal only in 2018, the pre-school curriculum has so far implemented the long-standing program designed by IZHA. We briefly summarize what this program is, and then analyze the changes that are expected to take place in the future.

*The curriculum area* for the language is the same for three age groups (3-4 years, 4-5 years, 5-6 years). It consists of:

1. Language Development, 2. Mathematical Development, 3. Social and Personal Development, 4. Artistic Education, 5. Physical and Health Education.

Linguistic development curricula are also the same, with only one distinction in the age group 5-6, including handwriting. They consist of: Language for communication, Thinking language, The bound between sound and letters, Reading, Writing, handwriting (only for 5-6 years), (IZHA, 2007).

Although attempting to change objectives is noticed, it is also apparent that this program is not different for different age groups. The curriculum area is the same, the curriculum lines are the same, with a change for the age group 5-6 who should start practicing in writing.

To understand more, follow the program in more detail (IZHA, 2015-2018), so, with the linguistic formation by lines, objectives and concepts.

Here too we see the same thing: the difference between objectives by age groups is small. The objectives are almost the same, with only some changes in the elaboration (so in form and not in content). In the age group 5-6, it is noticed that just a point on the lines is added, such as intonation to the communication line (*Uses the intonation, clear communication rhythm, which is understandable to others or Use different intonation, structuring his sentences and ideas when he speaks.*)

The concept of the Intonation has also been added, which is the *Intonation*, although it should be said that there are many flaws in this, both in the definition of concepts and in the way the difference between age groups is make it negligible.

To be clear, we take as an example only the first objective and the concept in the first line (communication) according to three age groups. Thus we have:

3-4 years old

*Ask simple questions*- The objective (the goal);

*Question* - Concept.

4-5 years old

*Use and guide simple questions*- Objective;

*Question* - Concept.

5-6 years old:

*Use often sentences and simple questions through gestures*- Objective;

*Question* - Concept.

In order not to extend too much, the same thing happens with other points according to the lines or the other lines as a whole.

Problems also arise in how are designed the objectives that, among other things, have to be achieved during linguistic development. So ambiguous appear to be objectives such as: The student *should answer with simple sentences when asked, Speak in short sentences, Keep a written material in hands pretending to read it*, etc. (3-4 years). And, for the sake of truth, every objective needs to be improved, since specifically these examples we have just quoted (that are few, but we are not quoting other examples) are not goals as the child at the age of 3-4 years has opted for the tendency to speak in short and incomplete sentences, while we must find a way to help those to form clear and complete sentences contributing to the enrichment of their vocabulary. The child at this age if he is read regularly by the parent and the teacher, keeps the book in hand and pretends to be reading, but to do so we must contribute to the reading to the children, because they can do so even mechanically and that's invalid.

All these phenomena and other things (mentioned but not being detailed) come as a result of the fact that teachers prepare the lesson based solely on the objectives of the programs, lesson plans, above all, to the respective lesson planning diaries designed by the teachers themselves, as all that is offered above for this stage of teaching is inadequate and sometimes quite unclear.

## Conclusions

After these analyzes, we have come to the conclusion that this stage of schooling has not been taken so seriously as to the learning of children for the following reasons:

There are no proper methods that help teachers achieve the goals for this age group. Even though some kind of mock-up from a foreign project or a current publishing house has been made to improve any program or publication of any method, it should be said that nothing has been implemented.

Language development is not seen enough in harmony with other lines. Such a thing is mentioned, but the concept of interaction that is undisputable is understood by the template and fails to be decoded properly by teachers. Whether it comes to race, religious beliefs or ethnic groups, it is understood that all these are reflected in language, so there is linguistic diversity, but we can also fight the phenomenon through the struggle we make against language peculiarities or some kind of discrimination. The texts of this cycle should be designed as such in order to be coherent with each other but also with the programs or standards to be achieved.

The new changes expected to be implemented are inadequate. In 2015, were published the *Development and Learning Standards for Children of 3-6 years* (IZHA, 2015), where awareness of learning in this cycle is discussed, a new approach to competency learning, models and incentives that serve to encourage children to achieve these standards for the role of

the game in promoting and gaining new knowledge or exploration through it; for developing skills that show curiosity and creativity; for the great expectations of children and the high potential that they have.

There is some kind of improvement in the standards to be achieved, especially in the indicators that help in achieving these many standards, and we can say that they also help to improve the respective objectives, but everything is expected so that the teacher can do it on his own initiative, as long as the methods or texts are missing; as long as the educational level has dropped in recent decades (it is in critical condition); or the teacher's deficit is deepening.

There is no clarity of what is required in the programs, and above all, there is no unique method which can explain to the teacher how to break down each point and implement them.

In the *Curriculum framework of pre-school education* (IZHA, 2015), although such concepts as *open society*, *globalization*, or the concept of *lifelong learning competences*, or the *socio-cultural context*, have been introduced etc (which obviously must be included), all others do not have any noticeable difference to what was previously drafted. For this reason, I think the problem does not lie in the proper design of strategies, standards, curricula, programs etc. but in ensuring the ways for their implementation. It's just like discovering the disease and not knowing how to determine the right course of treatment.

Another factor why this schooling stage is not taken seriously, we think it has to do with the fact that this stage of education is not legally required to attend.

However, something is moving (2015-2018), and such a thing belongs to the future, but the problem is the same: if everything written is not accompanied by specific trainings and clear methods for the teacher, it is difficult to apply by them (as has happened in these 27 years of post-dictatorship) and then we will go back to the start, as we discover and discover that we always have started the wrong way.

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# The relation between Corporate Social Responsibility and bank reputation: A review and roadmap

Antonio Lorena, PhD Student

University "Magna Graecia" of Catanzaro,

Department of Legal, Historical, Economic and Social Sciences – Italy

## Abstract

Over the past decades, scholars have paid greater attention to relation between Corporate Social Responsibility (CSR) and corporate reputation. However, despite a growing interest in this area, such linkages have remained relatively unexplored in the banking industry and the precise relationship is not clear. Moving from these considerations, this study proposes a systematic review of peer-reviewed scientific literature aiming to: 1) list, 2) classify and 3) compare existing studies. The review was carried out using the following databases: ISI Web, Google Scholar, and SSRN. I investigate a number of publishing academic works, summarizing main approaches, results and insights. I also provide a roadmap for future study and offer research questions about critical areas of this stream of research. The paper contributes to the ongoing international debates, and the preliminary results are encouraging.

**Keywords:** Corporate Social Responsibility, reputation, bank

## 1. Introduction

Over the past decades, scholars have paid greater attention to the relation between corporate social responsibility (CSR) and corporate reputation (Forcadell & Aracil, 2017). Recently, an increasing number of financial institutions are accepting the idea that there is room to increase their social and environmental responsibilities. The banking sector's commitment to more sustainable practices has interesting implications. The relationships between CSR and reputational risk in the banking sector can be interpreted via social-political theories, which recognize CSR as a tool available to companies to increase their legitimacy toward stakeholders and to improve their transparency toward investors (Carnevale & Mazzuca, 2014). Diverse stakeholders are requiring financial institutions to improve their social and environmental performance. As a result, some banks are developing CSR programs, corporate environmental responsibility (CER) policies, and management systems to reduce potential social and environmental risk, and improve their reputation and performance (Jo et al., 2015). However, despite a growing interest in this area, such linkages have remained relatively unexplored in the banking industry and the precise relationships are not clear (Lee et al., 2016). Moving from these considerations, this study proposes a systematic review of attempts in peer-reviewed scientific literature to analyze and synthesize past studies on the relationships between CSR and reputation in the banking sector. The aim of this study is to provide a complete picture of the research on these relationships by listing, classifying, and comparing existing studies. The review was carried out using the following databases: ISI Web, Google Scholar, and SSRN. I investigate a number of published academic works, summarizing the main approaches, results, and insights. I also provide a roadmap for future study and offer research questions about critical areas of this stream of research. The paper is structured as follows: in section 2 methodological details are provided; section 3 show a descriptive analysis; section 4 provides a discussion on the findings of the literature review; and in section 5 conclusions and future research directions are provided.

## 2 - Research methodology

A good systematic review should make it easier for practitioners to understand the research by synthesizing the extensive primary research papers from which it was derived (Tranfield et al., 2003). According to Mulrow (1994), "Systematic literature review is a fundamental scientific activity. Researchers use the review to identify, justify, and refine hypotheses." Its aim is a conceptual consolidation of a fragmented body of research. A systematic review can be seen as especially appropriate to conceptually assess and map the state of the art of a nascent field (Hoon, 2013). My review was carried out following Tranfield et al.'s (2003) three-stage procedure: planning, execution, and reporting.

## 2.1 - Planning

During the planning stage, primarily I identified key data sources, keywords, and search terms; finally I defined the initial selection criteria. The academic contributions were identified on the three most relevant existing databases: ISI Web of Knowledge, Google Scholar, and SSRN. The ISI Web of Knowledge database was chosen as a database of record, as it is one of the most comprehensive databases of peer-reviewed journals in the social sciences (Crossan & Apadyn, 2010). ISI Web of Knowledge is widely recognized as the most reliable, from a scientific point of view, for research scholars and academics (Paunescu, 2014). According to Harzing (2010), ISI Web of Knowledge is most often used to search for publications and citations for individual academics and has a complete coverage of citations in the more than 11,000 journal that are listed in it, going back to 1900. Furthermore, the study was carried out by integrating two further “open access” databases (SSRN and Google Scholar), with the explicit aim of providing better coverage of the research topics. Due to the fact that my research topic is fairly young, I also searched the SSRN for recent working papers. The review was undertaken using the following search strings: “corporate social responsibility and bank and reputation”; “CSR and bank and reputation”; “corporate social responsibility and reputation and banking industry”; “CSR and reputation and banking industry”. For all databases, the search options are provided in Table 1.

Table 1

Database	Search options
ISI Web of Knowledge	Search in: topic Document type: article Citation databases: all Date range: all years to March 2018 Language: English
Google Scholar	Search in: anywhere in the article Date range: all years to March 2018
SSRN	Search in: title, abstract & keywords Limit to: all SSRN Networks Date range: all dates to March 2018

## 2.2 - Conducting a review and reporting

The last stage of my systematic review process, execution and reporting, consists of three steps: (1) data collection: list and group the academic publications by databases and keywords; (2) reporting and descriptive analysis; (3) data extraction and data synthesis. First, all databases were searched using combinations of the selected keywords. The initial sample of all databases was of 44,463 results. Then, the titles and abstracts of the articles found were reviewed for an initial analysis of their relevance to the research questions, and those that were not relevant were excluded. All duplicate articles, within and across databases, were discarded. The results of these initial steps are reported in Table 2 with keyword combinations and databases. After this process, 131 potentially relevant articles were retained and included in the full-text research.

Table 2

Keywords	SSRN	ISI Web	Google Scholar	SSRN + ISI Web + Google Scholar
CSR Reputation Bank	5	13	10	
Corporate Social Responsibility Reputation Bank	7	16	9	
CSR Reputation Banking Industry	1	8	35	

Corporate Social Responsibility Reputation Banking Industry	3	10	14	
Total results	16	47	68	131

The aim of this last step was to identify the main articles that deeply investigate the relationship between CSR and corporate reputation in the banking industry. To ensure a comprehensive list, the cited references in the identified academic papers were screened as a secondary source, but did not yield many additional papers. At the end of the process only 33 papers remained, constituting the final list of works analyzed in this study.

In the second stage, I provide a descriptive analysis of the final sample relating to distribution across the time period and journal, year of publication, and research methodologies applied. Lastly, the different studies were grouped and listed as in Appendix 1. The studies have been synthesized and categorized according to the research methodology applied. These data included author(s), year of publication, title, research methodology (quantitative, qualitative, or mixed methods), purpose of the study, and results. The works that stood out from the extraction process were used to sum up the main approaches, results, and insights.

### 3 - Descriptive analysis

#### 3.1 - Distribution across time and main journals

Table 3 reports the names of the publications where the reviewed studies have been published. The journals where most studies included in the review have been published are *Journal of Business Ethics*, *Journal of Corporate Social Responsibility and Environmental Management*, and *International Journal of Bank Marketing*. All other journals contain one article each. The remaining works, five articles, are published as book chapters or papers given at international conferences.

Table 3

Publication name	Number of articles
<i>Journal</i>	
Journal of Business Ethics	4
Journal of Corporate Social Responsibility and Environmental Management	3
International Journal of Bank Marketing	2
Social Responsibility Journal	1
Journal of Transnational Management	1
Stanford Journal of Law, Business & Finance	1
Journal of Customer Behaviour	1
Journal of Business & Finance	1
Corporate Communications	1
Journal of Financial Services Marketing	1
Service Business	1
BRQ Business Research Quarterly	1
International Marketing Review	1
Management Sciences Letters	1
Economic Modelling	1
International Journal of Corporate Finance and Accounting	1
Public Relations Review	1
International Journal of Economics, Commerce and Management	1
International Journal of Economics and Financial Studies	1
World Academy of Science, Engineering and Technology	1
Liberec Economic Forum	1
uwf Umwelt Wirtschafts Forum	1
Books	4
International conferences	1
Total	33

Table 4 depicts the number of studies over time. The first study that analyzes the relationship between CSR and reputation in the banking sector dates back to 2005. Since then, there has been a fluctuating, but overall growing, trend in the number of studies published each year, with a quite rapid increase over the past four years. The peak of growth was reached in 2013 and 2015, with seven publications.

Table 4

Year	Number of articles
2005	1
2009	2
2011	2
2012	2
2013	7
2014	2
2015	7
2016	5
2017	5
Total	33

### 3.2 - Research methodologies applied

Table 5 reports the partitioning of studies based on research methodologies applied, divided into qualitative, quantitative, and mixed methods (employing both qualitative and quantitative methods). The results show that 5 studies (corresponding to 15%) are quantitative in nature and 15 (corresponding to 46%) are qualitative, whereas 13 (corresponding to 39%) are mixed methods. All quantitative studies used linear regression analysis. Most of the qualitative studies (7, corresponding to 47%) adopted case studies, whereas 5 of them (corresponding to 33%) adopted a literature review; content analysis (2, corresponding to 13%) and interview survey (2, corresponding to 7%) are the less adopted forms. Most of the mixed methods (7, corresponding to 54%) adopted a questionnaire and structural equation modeling, whereas 4 of them (corresponding to 31%) adopted a survey and structural equation modeling. Among these studies there are other mixed methodologies adopted, survey and maximum likelihood estimation and questionnaire and linear regression analysis, which correspond to 7.5% each.

Figure 1. Percentages of studies using different types of methodology

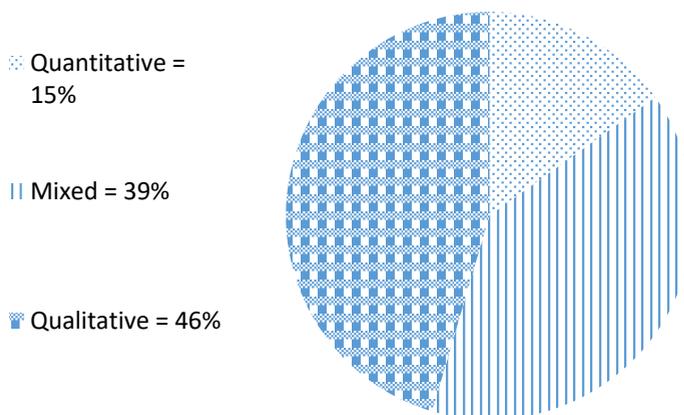


Table 5

Research methodology	Number of articles
<i>Quantitative methodology</i>	5
Linear regression analysis	5
<i>Qualitative methodology</i>	15
Case study	7
Literature review	5
Content analysis	2
Interview survey	1
<i>Mixed methods</i>	14
Questionnaire and structural equation modeling	7
Survey and structural equation modeling	4
Survey and maximum likelihood estimation	1
Questionnaire and linear regression analysis	1
Total	33

#### 4 - Discussion

This concluding section will point out the most important findings of the research and some directions for future research. To sum up, the different studies were grouped and listed as in Appendix 1. The analysis of these works reveals interesting aspects that are discussed below.

##### 4.1 - Quantitative research methodologies

The most-used methodology was quantitative, with five studies looking at the relations between CSR, reputation, and performance. According to the reputation-building hypothesis, good environmental management may provide firms with better reputations that subsequently help increase firm performance (Konar & Cohen, 2001). Dell'Atti et al. (2017), adopting a multiple econometric approach, highlighted that bank reputation is positively related to accounting performance and is negatively related to leverage and riskiness. The authors show positive relationships between reputation and social performance and negative relationships between reputation, corporate governance, and environmental performance. This last result is due to the fact that in the banking sector there is still no strong focus on the environmental impacts of banking activity. On the other hand, Sneekes et al. (2016) show that banks that perform highly on CSR indicators behave more transparently with regard to the presentation of earnings. Banks that engage in CSR activities to improve their reputation use managerial discretion to show socially desirable earnings numbers. For banks that value their reputation, pursuing societal trust is more important than the fulfilling of self-interest. In addition, bank managers should pursue CSR practice as a long-term survival strategy to enjoy different benefits, including enhanced reputation (Shen et al., 2016). Forcadell and Aracil (2017) show that banks' efforts to build a reputation for CSR benefits performance. Nevertheless, in periods of crisis, these efforts do not contribute to improved returns. According to the authors, investments in CSR can be justified as a way to boost both corporate reputation and firm performance, because CSR is a mechanism that contributes to restoring a tarnished reputation. In line with the reputation-building hypothesis, Jo et al. (2015) highlight that good environmental management provides firms with a reputational advantage that leads to increased marketing and financial performance. A major contribution of these quantitative studies is empirically testing the relationship between CSR and reputation and its impact on economic performance in the banking sector. In addition, these studies look at managerial behavior and its impact on banks' reputation.

##### 4.2 - Mixed research methodologies

All studies in this section were developed by subjecting customers or employees to a survey, interview, or questionnaire, validating the results with specific statistical models. Studies that apply mixed methodologies firstly show that the relationships between CSR and reputation depend mainly on the perceptions that customers and employees have toward the socially responsible policies implemented by banks (Pérez & Del Bosque, 2013; Ruiz et al., 2014; Pérez & Del Bosque,

2015). Among these, five studies show the same results but on five different areas of the world, respectively India, Chile, Iran, China, and the Basque Country (Mulki & Jaramillo, 2011; Saeednia & Sohani, 2013; Fatma et al., 2015; Zhao et al., 2016; Aramburu & Pescador, 2017). Banks not developing a CSR strategy in the current competitive scenario will surely face serious difficulties in recovering from the financial crisis and will quite surely undermine their own corporate image and reputation (Pérez & Del Bosque, 2015). According to Shen et al. (2016), "CSR is one of the approaches that can enhance the reputation of banks and acquire a greater sense of trust from customers. CSR is particularly important for the banking industry because banks sell intangible products to individuals who may not be equipped with financial knowledge. Banks sell financial products that mostly have similar risk and returns, resulting in difficulty distinguishing these financial products from one another. Brand recognition among banks helps differentiate financial products, particularly in wealth management." From the analysis of the studies presented in this section, it emerges that the aforementioned positive relations between CSR and the degree of loyalty and customer satisfaction exist also in relation to the maintenance and retention of employees. Mushtaq (2013), in a study on Pakistani banks, revealed that there is a positive impact of CSR on employee retention and corporate reputation. Encouraging employees to remain in the organization for a long period of time can be termed employee retention. It is a process in which employees are encouraged to remain with the organization for the maximum period of time or until the completion of a project (Das & Baruah, 2013). Engizek et al. (2017) focus on the relationships among corporate social responsibility (CSR), overall service quality, company reputation, and affective commitment. The authors show that both CSR and overall service quality influence affective commitment through the mediating role of company reputation. Affective commitment refers to the psychological attachment of an individual to an organization. It is the desire reflecting the extent to which an individual wants to be involved in an organization. It includes a sense of belonging and connection (Gozukara & Yildirim, 2015). In addition, according to Ruiz et al. (2014), CSR is a positive antecedent of bank reputation. Traditional corporate reputation models have principally focused on cognitive antecedents, but emotional aspects such as satisfaction and trust have also been shown to be important antecedents of reputation among customers (Raihel et al., 2010). These results have direct implications for CSR and reputation managers, since it has been demonstrated that customers care particularly about all corporate concerns that most directly benefit these stakeholders. These ideas should motivate companies to strengthen their bonds with customers so that the latter are less sensitive to market changes and competitive strategies (Pérez et al., 2013).

### 4.3 - Qualitative research methodologies

Most of the qualitative papers show that socially responsible conduct gives rise to positive reputational outcomes that contribute to increasing performance (Decker & Sale, 2009; Ostalecka & Swacha-Lech, 2013; Yen, 2014). Among these, four studies show the same results but on four different areas of the world: Italy, Peru, India, and the USA and Australia (Bihari & Pradhan, 2011; Bowman, 2013; Lambroglija & D'onza, 2015; del Brio & Lizaraburu, 2017). From these studies it emerges that banks operate within a social environment. The fact that banks are sensitive to the social environment in which they exist leads to increased reputation, and sensitivity to the social environment takes place in the form of supporting activities that benefit the public and are sensitive to the physical environment. Reputation that has emerged in this way contributes greatly to the intangible assets of the business (Okur & Arslan, 2014). With regard to other qualitative papers, three studies explicitly rely on relations between CSR reporting and reputation. According to legitimacy theory, CSR reporting is aimed at providing information that legitimizes a company's behavior by intending to influence stakeholders' and eventually society's perceptions about the company in such a way that the company is regarded as a "good corporate citizen" and its actions justify its continued existence (Guthrie & Parker, 1989). Among these studies, Arshad et al. (2012) examine the effect of Islamic CSR disclosure and corporate reputation as well as performance. The authors argue that CSR activities communicated in corporate annual reports are significantly positively related to corporate reputation as well as firm performance, while Bartlett (2005) demonstrates that adoption of CSR reporting is linked to higher reputation indices in a sample of Australian banks. The literature review presented by Pérez (2015) demonstrates that CSR reporting and corporate reputation are positively correlated. These results highlight that banks are proactively implementing and disclosing CSR activities that meet and strengthen the needs of multiple stakeholders. Other qualitative studies confirm a positive relationship between CSR and reputation in the banking industry (Xifra & Ordeix, 2009). In addition, Xifra and Ordeix (2009) illustrate Banco Santander's management of reputation and propose the bank as a paradigmatic case for the importance of dialogue and reputation during a crisis. Finally, in contrast to the methods and results described so far, I have found works that show conflicting opinions with respect to the results of the field under study. These studies reveal that the motivations behind CSR programs remain driven by profit-led strategies, defining the relationship between CSR and reputation as a paradox and a moral trap (Bowman, 2013; McDonald, 2015; Vogler & Gisler, 2016).

## 5 - Conclusions and future research directions

This study provides in-depth analysis and synthesis of the body of knowledge so far produced in field of the relations between CSR and reputation. From the analysis of the works of this present review, it stood out that CSR is a multidimensional construct. CSR is of particular relevance in the banking sector because it promotes several competitive advantages, the most important of which is the enhancement of the bank's reputation, which is a determining factor in attracting and retaining customers, increasing employee retention, and yielding better financial results. For the banking sector, CSR practices become a relevant reputation driver that can add value over time. This study has important implications for banks and managers, as well as for scholars. With regard to banks aiming at successfully developing CSR policies, this study highlights the positive relationships between CSR and reputation. Indeed, by developing CSR practices, a bank sends signals aimed at meeting stakeholders' expectations and thus increasing the value of its corporate reputation. From this review it emerges that CSR reporting and corporate reputation are positively correlated. Banks that engage in CSR activities to improve their reputation use managerial discretion to show socially desirable earnings numbers. When investigating how CSR impacts reputation, an important element is managers' ethical integrity. Zhu et al. (2014) conclude that when ethical leadership is weak, an increase in CSR will not be associated with an increase in reputation or performance. Regarding implications for scholars, this study provides a picture of the state of the art that can be a useful starting point for future research in this field. Nevertheless, this study presents some limitations. In this work I used three of the most important databases available (ISI Web of Knowledge, Google Scholar, and SSRN). The latter probably does not intercept all the most important works in the literature. Future studies may use other databases not queried in this paper and at the same time expand the keywords.

### Appendix 1

Author, Year, Title	Research Methodology	Purpose	Results
<i>Mixed methodology</i>			
Aramburu, I. A., & Pescador, I. G. (2017). The effects of corporate social responsibility on customer loyalty: The mediating effect of reputation in cooperative banks versus commercial banks in the Basque Country	Survey and structural equation modeling (SEM)	"This study seeks to contribute to the literature by examining the mediating role of corporate reputation on the relationship between perceived corporate social responsibility and customer loyalty. The study also takes into consideration the role played by bank type in mediation effect." (p. 1)	"Corporate reputation partially mediated the relation between corporate social responsibility and customer loyalty. Bank type is shown not to moderate the mediation effect." (p. 12)
Engizek, N., & Yasin, B. (2017). How CSR and overall service quality lead to affective commitment: Mediating role of company reputation	Survey and SEM	"The paper aims to focus on the relationships among corporate social responsibility (CSR), overall service quality (OSQ), company reputation and affective commitment. It investigates whether service quality or CSR is the prime driver of affective commitment. Also, the mediating role of company reputation was examined." (p. 111)	"CSR and OSQ influence affective commitment through the mediator role of company reputation." (p. 111)

<p>Fatma, M., Rahman, Z., &amp; Khan, I. (2015). Building company reputation and brand equity through CSR: The mediating role of trust</p>	<p>Survey and SEM</p>	<p>"The purpose of this paper is to investigate the effect of corporate social responsibility initiatives on the two marketing outcomes – corporate reputation and brand equity, based on the perception of consumers regarding banks in India." (p. 841)</p>	<p>"CSR activities can help banks in building corporate reputation and brand equity directly as well as indirectly. The mediating role of trust is found to be significant between CSR and CR [corporate reputation] and CSR and BE [brand equity]. Finally, CSR activities build consumer trust in a company which in turn positively impacts CR and BE." (p. 840)</p>
<p>Mulki, J. P., &amp; Jaramillo, F. (2011). Ethical reputation and value received: Customer perceptions</p>	<p>Survey and SEM</p>	<p>"The authors explore the role played by ethical reputation in amplifying the positive impact of customer value on satisfaction and loyalty." (p. 358)</p>	<p>"Ethical perceptions about the organization amplify the impact of customer value on customer satisfaction and eventually loyalty." (p. 358)</p>
<p>Mushtaq, N. (2013). Paramount role of corporate social responsibility in retaining employees and corporate reputation: An extract from Pakistan's banking sector</p>	<p>Questionnaire and regression analysis</p>	<p>"This study is aimed at finding relationship of CSR with employee retention and corporate reputation." (p. 127)</p>	<p>"Study revealed that there is positive impact of CSR on employee retention and corporate reputation." (p. 126)</p>
<p>Pérez, A., &amp; Del Bosque, I. R. (2015). How customer support for corporate social responsibility influences the image of companies: Evidence from the banking industry</p>	<p>Survey and SEM</p>	<p>"First, this paper is aimed at identifying a classification of customers according to their support for CSR activities in the banking industry. Secondly, the authors analyze how diverse levels of customer support for CSR initiatives influence the way customers process their CSR perceptions." (p. 158)</p>	<p>"The results confirm the relevance of motivational attribution when socially oriented and highly involved customers evaluate CSR." (p. 155)</p>
<p>Pérez, A., &amp; Del Bosque, I. R. (2013). Measuring CSR image: Three studies to develop and to validate a reliable measurement tool</p>	<p>Survey and SEM</p>	<p>"Literature regarding the measurement of CSR image from a customer viewpoint is revised and areas of improvement are identified." (p. 265)</p>	<p>"CSR includes corporate responsibilities towards customers, shareholders, employees and society. The scale is consistent among diverse customer cohorts with different gender, age and level of education." (p. 265)</p>
<p>Pérez, A., &amp; Del Bosque, I. R. (2015). Customer values and CSR image in the banking industry</p>	<p>Survey and SEM</p>	<p>"The authors of this paper aim to describe and test a reliable casual model to understand the way in which customers construct their perceptions of CSR image in the Spanish banking industry." (p. 50)</p>	<p>"The findings of the article allow the authors to anticipate CSR image based on (i) the congruence between the company and its CSR initiatives, (ii) the attribution of motivations for the company to implement CSR and (iii) corporate credibility in developing CSR initiatives." (p. 46)</p>

<p>Pérez, A., Martínez, P., &amp; Del Bosque, I. R. (2013). The development of a stakeholder-based scale for measuring corporate social responsibility in the banking industry</p>	<p>Survey and maximum likelihood estimation</p>	<p>"In this paper a new scale based on stakeholder theory is developed to evaluate customers' perception regarding the CSR performance of their banking service providers." (p. 459)</p>	<p>"CSR includes corporateresponsibilities toward customers, shareholders, employees, society, and all legal and ethical requirements of banking institutions." (p. 459)</p>
<p>Ruiz, B., Esteban, A., &amp; Gutierrez, S. (2014). Determinants of reputation of leading Spanish financial institutions among their customers in a context of economic crisis</p>	<p>Questionnaire and SEM</p>	<p>"This paper develops a bank reputation model, in an environment of economic crisis." (p. 259)</p>	<p>"Banks should focus their reputation strategies to convey reliability and to reinforce the leadership of their managers, paying special attention to consumer satisfaction and trust in order to achieve the maximum optimization of their reputation resources." (p. 259)</p>
<p>Ruiz, B., García, J. A., &amp; Revilla, A. J. (2016). Antecedents and consequences of bank reputation: A comparison of the United Kingdom and Spain</p>	<p>Questionnaire and SEM</p>	<p>"Identify the key antecedents and consequences of bank reputation and whether their relative importance varies across countries." (p. 781)</p>	<p>"The most important cognitive antecedent of banks' reputation is reliability/financial strength. The positive effect of bank reputation on consumer behaviour (loyalty and word of mouth) and the existence of cross-country differences as regards loyalty were also confirmed." (p. 781)</p>
<p>Saeednia, H., &amp; Sohani, Z. (2013). An investigation on the effect of advertising corporate social responsibility on building corporate reputation and brand equity</p>	<p>Questionnaire and SEM</p>	<p>"Empirical survey to measure the impact of CSR on increasing reputation as well as creating brand equity through customer satisfaction." (p. 1143)</p>	<p>"There is a positive impact of CSR on customer satisfaction (<math>\beta=0.84</math>), a positive relationship between customer satisfaction and firm reputation (<math>\beta=0.70</math>), and between customer satisfaction and brand equity (<math>\beta=0.98</math>)." (p. 1143)</p>
<p>Zhao, Y., Zhang, G., &amp; Hou, W. (2016, July). Will CSR pay in the financial sector? An empirical study of a commercial bank's CSR orientation, corporate reputation and customer loyalty in western China</p>	<p>Questionnaire and SEM</p>	<p>"This paper investigates the relationship between commercial banks CSR orientation, reputation and customer loyalty." (p. 1)</p>	<p>"A commercial bank's CSR orientation is significantly correlated to its reputation and customer loyalty, and that its reputation mediates CSR orientation's impact on its customer loyalty." (p. 1)</p>
<p><i>Qualitative methodology</i></p>			
<p>Arshad, R., Othman, S., &amp; Othman, R. (2012). Islamic corporate social responsibility, corporate reputation and performance.</p>	<p>Content analysis</p>	<p>"This study examines the effect of Islamic Corporate Social Responsibility disclosure and corporate reputation as well as performance." (p. 643)</p>	<p>"CSR activities communicated in corporate annual reports are significantly positively related with corporate reputation as well as firm performance." (p. 643)</p>

<p>Bartlett, J. L. (2005). Addressing concerns about legitimacy: A case study of social responsibility reporting in the Australian banking industry</p>	<p>Case study</p>	<p>"This paper investigates the relationship between social responsibility reporting and reputation at an industry rather than organisational level through a case study of the Australian banking industry." (p. 2)</p>	<p>"The findings suggest that while the adoption of CSR reporting is linked to higher reputation indices, it is not necessarily adopted as a strategy by members of the entire industry to address questions of legitimacy." (p. 7)</p>
<p>Bihari, S. C., &amp; Pradhan, S. (2011). CSR and performance: The story of banks in India</p>	<p>Case study</p>	<p>"This article maps the corporate social responsibility practices of major players in the Indian Banking sector and their impact on performance and image." (p. 20)</p>	<p>"Banks in India have increased their CSR activities, which also have a positive impact on performance of the business, apart from improving their image and goodwill." (p. 20)</p>
<p>Bowman, M. (2013). Corporate care and climate change: Implications for bank practice and government policy in the United States and Australia</p>	<p>Case study</p>	<p>"The authors investigate whether and how voluntary corporate action on climate change presents a redemptive opportunity for banks; and consider the implications for effective government intervention." (p. 2)</p>	<p>"The data reveal that the overarching lever for corporate change is business case logic, not ethical conceptions of corporate social responsibility. In particular, a new conception of 'corporate reputation' reveals important and subtle implications for how and why banks are motivated to change their behavior." (p. 1)</p>
<p>Decker, S., &amp; Sale, C. (2009). An analysis of corporate social responsibility, trust and reputation in the banking profession.</p>	<p>Interview survey</p>	<p>"The aims of this work are twofold. Firstly, it explores bankers' understanding of and approach to CSR in a global environment and in a variety of contexts. Secondly, bankers' involvement in CSR is analysed from a variety of sociological perspectives." (p. 136)</p>	<p>"Trust, reputational and regulatory risks have made some advancement in embedding CSR through reporting initiatives and at a firm strategic level. Such an approach has shortcomings when the role and place of the banking profession is considered from a wider sociological perspective." (p. 135)</p>
<p>del Brío, J., &amp; Lizaraburu, E. R. (2017). Corporate reputation and Corporate Social Responsibility and its impact in the financial sector</p>	<p>Case study</p>	<p>"This research seeks to study the influence of Corporate Social Responsibility (CSR) on the reputation of a corporation from a strategic point of view." (p. 91)</p>	<p>"CSR could affect both CR and investor confidence. In addition to this, it has been found that CR could act as a moderating variable between CSR and investor confidence." (p. 91)</p>

<p>Lamboglia, R., &amp; D'Onza, G. (2015). The relationship between CSR communication and corporate reputation in the credit lending process: A qualitative study based on Italian banks</p>	<p>Case study</p>	<p>"The aim of this study is to investigate the relationship between Corporate Social Responsibility (CSR) communication efforts and corporate reputation (CR) in the context of the credit lending process of Italian banks." (p. 129)</p>	<p>"Most of the authors' findings confirm the existence of two-way relationship between CSR action and CR. The interviews indicated that CSR projects increase CR. Simultaneously, reputation is considered as a prerequisite for the credibility of CSR communication, which often offsets the absence of other assurance mechanism." (p. 129)</p>
<p>McDonald, L. M. (2015). Corporate Social Responsibility (CSR) in banking: What we know, what we don't know, and what we should know</p>	<p>Literature review</p>	<p>"The aim of this review is to summarize the accumulated state of knowledge concerning the topic of interest and to highlight important issues that research has left unresolved." (p. 485)</p>	<p>"The studies investigating CSR motivations indicated that banks' CSR programmes remain driven by strategic or profit-driven motives, with only a sub-set of smaller banks having more altruistic motivations." (p. 497)</p>
<p>Ostalecka, A., &amp; Swacha-Lech, M. (2013). Corporate social responsibility in the context of banks' competitiveness</p>	<p>Literature review</p>	<p>"The main aim of the article is to present the idea of corporate social responsibility as a tool for supporting the competitiveness of banking institutions." (p. 425)</p>	<p>"The positive influence of CSR on a bank's competitiveness can occur in the following key areas: enhancing public image and reputation, ethical behaviors, improving relations with employees, strengthening community involvement, building environmental responsibility image and improving organizational governance." (p. 4259)</p>
<p>Pérez, A. (2015). Corporate reputation and CSR reporting to stakeholders: Gaps in the literature and future lines of research</p>	<p>Literature review</p>	<p>"The purpose of this paper is to provide a literature review of the underdeveloped stream of research that analyses corporate reputation as an outcome of corporate social responsibility (CSR) reporting." (p. 11)</p>	<p>"The literature review demonstrates that CSR reporting is especially useful to generate corporate reputation." (p. 11)</p>
<p>Pérez, A., &amp; Del Bosque, I. R. (2012). The role of CSR in the corporate identity of banking service providers</p>	<p>Case study</p>	<p>"The aim of this paper is to analyze the role of corporate social responsibility in the definition of the corporate identity of banking service providers." (p. 145)</p>	<p>"Although companies increasingly integrate CSR into their business strategies, there are some aspects of its management such as its communication or the measurement of its results that detract from its success." (p. 145)</p>

<p>Trotta, A., Cavallaro, G., &amp; Carè, R. (2013). Mapping the relationship between reputation and corporate social responsibility in the banking sector: a comprehensive literature review</p>	<p>Literature review</p>	<p>"The paper explores the nature of the relationship between corporate reputation and corporate social responsibility in the banking industry." (p. 1)</p>	<p>"Finding commonly accepted definitions and generally established metrics of corporate reputation and corporate social responsibility in the banking sector is still problematic." (p. 1)</p>
<p>Vogler, D., &amp; Gisler, A. (2016). The effect of CSR on the media reputation of the Swiss banking industry before and after the financial crisis 2008</p>	<p>Content analysis</p>	<p>"This paper examines the effect of CSR on the media reputation of corporations in crisis periods. As research object the media coverage of the Swiss banking industry before and after the financial crisis 2008 was selected." (p. 201)</p>	<p>"CSR got more important in the media coverage of the banks during the crisis and had a negative effect on media reputation. This research therefore strengthens the notion of the relationship of CSR and reputation as a paradox or moral trap." (p. 201)</p>
<p>Xifra, J., &amp; Ordeix, E. (2009). Managing reputational risk in an economic downturn: The case of Banco Santander</p>	<p>Case study</p>	<p>"The article illustrates Banco Santander's management of reputation and proposes the bank as a paradigmatic case for the importance of dialogue and reputation in these times of turbulence." (p. 353)</p>	<p>"Banco Santander offers evidence of a paradigm shift in action that offers a model for effectively addressing the economic downturn. The article concludes by suggesting the key role for public relations in managing reputational risk under contemporary conditions." (p. 353)</p>
<p>Yen, T. T. H. (2014). CRS in banking sector: A literature review and new research directions</p>	<p>Literature review</p>	<p>"This paper intends to develop a literature review on CSR of banks in order to study main areas of research and present status of CRS in the banking sector." (p. 2)</p>	<p>"This study makes a great contribution to developing a framework for a better CSR understanding about CSR research and CSR status in many countries all over the world in 5 main issues." (p. 18)</p>
<p><i>Quantitative methodology</i></p>			
<p>Dell'Atti, S., Trotta, A., Iannuzzi, A. P., &amp; Demaria, F. (2017). Corporate Social Responsibility engagement as a determinant of bank reputation: An empirical analysis</p>	<p>Regression analysis</p>	<p>"The aim of this study is to empirically test such relationships regarding the banking sector and for the sub-prime crisis period (2008–2012)." (p. 589)</p>	<p>"Bank reputation is positively related to accounting performance and is negatively related to leverage and riskiness profiles. However, while a positive relationship between reputation and social performance exists, relationships between reputation, corporate governance, and environmental performance are always negative." (p. 589)</p>

Forcadell, F. J., & Aracil, E. (2017). European banks' reputation for Corporate Social Responsibility	Regression analysis	"The aim of this study is to analyze the link between performance and reputation for CSR (RCSR) in European banks listed in DJSI." (p. 1)	"Banks' efforts to build a reputation for CSR benefits performance. Nevertheless, in period of crisis, these efforts do not contribute to improved returns." (p. 1)
Jo, H., Kim, H., & Park, K. (2015). Corporate environmental responsibility and firm performance in the financial services sector	Regression analysis	"The authors examine whether corporate environmental responsibility (CER) plays a role in enhancing operating performance in the financial services sector." (p. 257)	"The reducing of environmental costs takes at least 1 or 2 years before enhancing return on assets. The authors also find that reducing environmental costs has a more immediate and substantial effect on the performance of financial services firms in well-developed financial markets than in less-developed financial markets." (p. 257)
Shen, C. H., Wu, M. W., Chen, T. H., & Fang, H. (2016). To engage or not to engage in corporate social responsibility: Empirical evidence from the global banking sector	Regression analysis	"This study examines whether or not banks engaging in CSR can bring profits and reduce non-performing loans." (p. 207)	"Regardless of the methods used, CSR banks overwhelmingly outperform non-CSR banks in terms of return on assets and return on equity." (p. 207)
Sneekes, A., Georgakopoulos, G., Sikalidis, A., & Rodosthenous, M. (2016). Do bankers use managerial discretion with regard to CSR and earnings management to rebuild their reputation in the aftermath of the financial crisis?	Regression analysis	"The authors expect that when bank managers recognize the importance of societal trust they use their discretion to regain trust and to rebuild reputation." (p. 14)	"Banks that engage in CSR activities to improve their reputation, use managerial discretion to show socially desirable earnings numbers." (p. 14)

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## The Necessity of Formation and Transformation of Principals

**Magdalini Vampa**

University "Fan S. Noli", Korca

### Abstract

Nowadays, it is quite evident how the "age of information" is causing the school to lose its privileged role towards knowledge and its distribution. Paradoxically, the targeted decentralization of the education system - at the same time - is accompanied by the tightening of centralized control mechanisms. This is applied through the "action" of national testing, increasing demands for performance, professional and scientific competencies. In this context, the world of the educational leader is seen as one of increasing change, complexity, diversity, and intensity. It has also been portrayed as a world of great responsibility. The growing importance of educational leadership and management is evidenced not only by reference to the increase number of research on the leadership in education, but also to the increasing preparedness of governments to invest in the leadership of the education system. Information Technology has influenced the outbreak of ideas – somehow confusing approaches and policies related to borrowed or copied models – that have caused a diffusion of ideas in this field. Some quality issues in literature, the way of selecting (appointing) leaders in education, as well as the job training or organized training formats, will be addressed in this study. The purpose of this study, is to present the need for training leaders – the development and transformation to achieve leadership effectiveness – and to recommend some forms and methods to complete the leader's formation. Regardless of whether a subject, will graduate at a university or get certified at a training from a licensed institution, there is a common challenge to be addressed: what is the necessary set of knowledge, skills, values attitudes and competencies, that each program should address on the formation of educational leaders.

**Keywords:** educational leadership, leadership formation, educational leaders, school principals

### Introduction

School leadership is a field of interest nowadays. This is happening in a time when information technology is investing so much and so quickly on tracking information and knowledge, therefore is placing the school, its evaluation system and its teachers in a new position. On the other hand, the school is the institution that should prepare individuals, in order for them to be able to cope with the challenges that will be presented in the future, coupled with the rapid technological development. Increasing school accountability, the pressure of constant reform, and the challenge of continuous quality growth, require direction and administration of education, based on the concept of school management as a profession, and not the formation of leadership in the empirical way through the on-the-job training. This need arises because school management is a process that sets the leader ahead of a complexity of challenges that give him an important role in the success of a school. Today's leader needs to recognize leadership theories and raise his awareness of the competences he possesses and the modalities of influencing and managing different situations and different groups of people (teachers, parents, students, highly ranked leaders, etc.). He should recognize, implement and build protective mechanisms in relation to law enforcement and the protection of the rights of students and pedagogical staff. It should also focus on the common goal of quality education of student generations, knowledge transformation and continuous personal improvement as well as the improvement of its staff to maintain a cohesive performance with the demands of society.

The concept of leadership as a profession is a need articulated by many researchers in recent years, as well as a necessity, which is particularly notable in eastern European countries. In these states, patterns and rudiments of an authoritative style are still visible in the model of the school principal.

### Methodology

This paper was based on the review of literature and analyses of some research studies done by authorities and expert on leadership field. Also, a survey was conducted in the region of Korca, in the southeastern part of Albania to identify the need for the leaders in office to form and transform in relation to leadership skills.

This paper presents content analysis, as the basic method for this study. This method displays the research conducted by field experts, accompanied by an empirical field study about actual leaders and principals, along with their university trainings about leadership development. "Over the last half of the 20th century, a good deal of attention was devoted to the topic of preparing leaders for schools" (Murphy, J et al. 2009). The "Handbook of research on the education of school leaders" by Michael D. Jung, et.al 2009 and "The Second International Handbook of Educational Leadership and Administration", by Leithwood & Hallinger, 2002, provide this paper with the right orientation and guidelines, in order to properly address the issue of leader's formation and transformation. The expert's study and their conclusions are presented in this paper – the territory of the Republic of Albania has been used as study field - where there's an urge for a new philosophy for leaders, as well as for successful leadership models.

Albania is experiencing leadership models - even after two decades of transition - that pertain to the communist era. Leader's autocratic models - up to the last few years - are transmitted without having the opportunity to handle the formation and orientation of more appropriate models to professionalism and effectiveness. By 2013, MASH(Albanian Ministry of Education) programs (Standartet e Drejtorit (Principals Standard) MASH, 2013) have revealed this immediate need for changing the methodology. But "reading" the need for training in the direction of current leaders and new aspirants, has oriented the institutions - which are under the responsibility of the respective Ministry - only towards some fragmentit training seasons, by accredited agencies or universities outside the state standards set by the ministry. All the result achieved by this organization had little impact on improving the quality of the management. At present, the MASR(Albanian Ministry of Education, Sport and Youth) is carrying out some new development efforts, implementing a pilot project on organizing a "principal's school". These efforts are organized in the same form of trainings as the old model, the difference is that theresponsibleinstitution, is under the direct dependence of Ministry of Education.

So the empirical survey on Ministy documents, which will perform the inventory of state institutions' activities to form leaders in education, will continue by applying a survey to educational institutions in the region of Korça.

This study will serve: (1) to recognize the current problem, (2) to distinguish the sharpness and specific features that characterize the field of leadership, (3) to test the opinions and perceptions of the subjects affected from the educational institutions of leadership.

About 200 subjects underwent this survey over a period of several months in 2017. Their interviews were conducted through questionnaires, which were delivered through mail service and direct meetings. In the same way, questionnaires were gathered, and then their processing was carried out, through statistical analysis.

Why is the Korca Region, a representative subject, covering the entire Albanian Republic?

This region is a representative for the whole country, because it has common and general features such as: (a) owns all levels of education, from pre-school education to higher education; applies both types of education, both public and non-public, at all levels; (b) includes a significant number of schools as one of the most populous regions of the country, as well as an early education tradition (the first Albanian public school marks its birth in the city of Korca).

Subjects were interviewed on: (1) the need to develop leadership skills, leadership theories, as well as knowledge of legislation and its interpretation; (2) actual formation training methods: Have they met the needs of leaders;(3) favorable ways to meet the needs in forming the leader.

Semi-structured interviews - in relation to what has been mentioned above - will support the articulated hypothesis about the formation of leaders. Also, these interviews will serve to formulate some recommendations for the most effective forms in applying this "profession".

### **The need for leadership formation**

The concept of formation demonstrates that the learning process is closely related to the subsequent (later) realization of a particular engaging role. It emphasizes the importance of learning over the years, identifying an individual's career as a preliminary part of his socialization. Training is about the product of opportunities and ambition of the candidates. This ambition can appear in the formal (on-duty) and in the informal format of the leader. Based on a purely functional view, the mechanisms for realizing the formation, recruitment and selection of leaders, are necessary for the continuity of social systems and organizations, deriving from classical managerial theories (P.Gronn, 2002, p 1033).

Throughout the detailed research of the literature, with regard to theories of leadership, we can mention Miner's thesis (JB Miner, 1984, p 296-306), to fulfill the need for continuous empirical studies and encouraging initiatives for academic studies

in this field. The Miner is probably the only researcher who wants to abandon research related to leadership, criticizing the research methodology so far, which often results in contradictory conclusions and contradictory data.

Almost all scholars around the world argue the importance and the strong correlation between formation and success in carrying out tasks, as well as the community's influence on the formation of school principals and administrators. Even with regard to this issue, within the scope of leadership, March's observation (J. March, 1978, p 217-250) is presented in connection with his skepticism regarding the role of formation and preparation of leaders, especially when striving to relate its importance to the changes and in particular, to the progress of education. He presents his argument by doing this parallelism: "Any attempt to improve the educational system, starting to change its organization and administration, must be treated with skepticism. Changing education, by changing educational administration, is like changing the course of the Mississippi by "spitting" into Allegheny". But there are many scholars and authors who reject the skepticism of March. Thus, Huber (2004, p 174), quotes many other scholars in several continents in their research and reports, over a decade of time, from 1976 to 2004, and underlines that "the central role of the school principal - as a functional school factor - has been confronted and confirmed by data from the research results of school functionality in recent decades.

Numerous and deep empirical studies have shown that: "Leadership is a central factor for the quality of a school - in relation to what has been mentioned above - where we can distinguish leadership patterns in North America, Great Britain, Australia and New Zealand, as well as the Netherlands and the Scandinavian countries.

"Mulford (2003, pp. 35-36), after studying and observing a few years ago, reports the need to train school and education leaders at all levels. He starts arguing with this question: should not the direction in schools and in the education system - just like lawyers or doctors - be considered a profession? Nobody looks strange when lawyers and doctors, nurses and architects are subject to licensing examinations.

This exam continues to apply to some professions, consistently (Mulford, 2003, p. 35). In places like the UK, only 17% of school principals think they are "really prepared" for running the school.

Also, one in eight senior teachers agree with this section. The author quotes Bolam (Mulford, 2003, p. 36) in the OECD Report 2003, that in a study conducted with young leaders in Europe, 65% of them did not receive any informal or planned training for their tasks. In Canada, Hickcox (2002) reports that current trainings are sporadic and not coordinated for new candidates, in order for them to become leaders. Certifications of these trainings are realized on a volunteer basis and desire, and often are not archived or even protocol-based. Caldwell (2002), brings another, more disturbing look to other countries, such as Australia, Hong Kong and Sweden. He concludes: "The biggest concern, is not the problem of leadership formation, but the small number of candidates offered in this position and their quality".

These statistics are followed by very positive developments. Here we can mention Great Britain, where a great deal of specialists is devoted to the institutionalization of the National College for School principals. At the same rate, we can mention New Zealand, where initiatives are taken to establish and structure training and development centers for the formation of school principals. The professional development of managers remains a complex and widespread issue with regard to structuring and organizing the qualification or certification of school directors. Here one can see a lack of balance between the need for leadership formation and the interest shown by policymakers and the higher hierarchy of education systems.

Professor at Monash University in Melbourne, Peter Gronn (2002, p.1033) calls: "The whole problem of leadership training - and generally of maintaining and forming elites - should receive a high priority in scientific studies. This should work in conjunction with applied policies and organization of leadership formation ... All societies and cultures can be expected to regularize agreements for the production and reproduction of leaders and leader groupings in their key sectors".

Gronn (2002, p 1031-1070) adds an additional characteristic to the need for leadership formation, which should influence the acceleration of this process and the content of training programs. Gronn - using the opinion of other scholars of this field - underlines that "Management systems are very different, both from the cultural and historical point of view." In the process of leadership formation, the focus has been placed on seeking the appreciation and understanding of these cultural and national features (1991, 1994), which emphasize the importance of the value system of joint programs, based on the differences, that different societies have historically presented. Different cultural and national values are thought to define organizational problem solving strategies, as well as the diversity in management strategies and leadership. Therefore, they affect the capacity of these elites to solve issues that arise from cultural transitions and their following social developments.

The process of leadership formation is important because: (1) It enables management theories to synthesize two sources - amongst others - from which derives guidance information. These resources form the methods - or the ways - of the institutional leadership. They also show how individuals and leaders have walked along these paths. Studying the role of the institutions of a society is very important for the formulation and modeling of leadership in all its systems. It is also important to recognize the transformation of individuals' character, to abandon some roles and to acquire some others, and to be part of the dynamics of society. (2) Some theorists in the field of management think that the training process is the one that gives the recruitment opportunities to those members of the elites who are more receptive to democratic ideas and values, or those who are equipped with the ability to handle the complexity of recognition, which is constantly growing. The space and leadership training programs will shed light on recognizing these factors as well as highlighting the more appropriate temperaments and personalities desired to lead.

(3) On the other hand, the lack of these processes will hamper the work of researchers and the education system itself over the required management groups. Specifically, the control carried out by Avolio and Bass (the founders of transformational leadership theory) in the training processes of aspiring candidates to be leaders, as well as current leaders in charge of duty, brought evidence in: "Similarities of leaders regarding personality, intelligence, values, attitude, family background and education," (Gronn, 2002, p.1035).

Referring to the above authors, I think that in Albania an articulated idea for a new concept of leadership - from different scholars - should be added to the planning on the formation of school principals. This should be developed in relation to the need for the formation of education leaders in developed countries as well.

The continuous reformation of the Albanian school puts the leaders of education and all its institutions faced with many challenges in an effort to meet the contemporary requirements and standards. Continuous change and improvement requires quality management skills in the organizational and implementation plan.

But - most of all - it requires the leadership's political ability to clearly transmit the goal, as well as the methods to be used to motivate the staff steadily. This is accomplished by involving each member in a shared vision and promoting their professional and personal development.

One of the features of school reform - not just in the Albanian one - is school autonomy. "Although reforms have been going on for decades, school autonomy remains a key issue for the political agenda in most European countries," said Ján Figel, former European Commissioner for Education, Training, Culture and Youth (2007). This is a fact that shows that the process of decentralization takes time, due to the changes that the school and the education system will require. Auto-Management requires management and leadership skills for institutions that need to accomplish many indicators in terms of funding, selection of pedagogical staff, definition of assessment indicators, selection of literature, etc.

All this leader work cannot be accomplished by itself, with fragmented training in their content, nor left to the spontaneity of leadership skills. Past experiences, as well as scholars, underline the importance of training a leader as a profession.

This need and necessity is evident, at the moment when the MASR designs and plans the realization of leadership formation through licensing or certification. The time span of these programs throughout the school year is a factor that will influence the conception of this process by the leaders. Also, this factor provides a long-lasting help to their work and challenges during the fulfillment of the task.

Faculties of Education in Albanian Universities should be considered as training agencies for managers. This is an opportunity that should be addressed quickly and responsibly by the academic staff of these institutions, in order to develop this responsibility towards the design and completion of full-time study programs (legal obligation for regulated professions) (Law no.10 171, dated 22.10.2009 On regulated professions in the Republic of Albania, Article 5).

I think that this organization will also have its effects in highlighting management subjects and career leaders, avoiding the numerous appointments of school principals who follow every political switch. Individuals who will invest in the leadership career will exhibit consistency and professionalism, presenting themselves in the direction. Thus, the spirit of a "good school" will be created for its staff members and the entire community of the institution that this person leads.

At the end of this issue - on the need for leadership formation - should also be mentioned the "call for attention", transmitted by: John's studies (2002) in the study of the preparation of school administrators in India; Sommerbakk (1994), in the study on school management training programs in Norway; Ogunu (1999) in Nigeria; and Rakhshani (1998) in Iran (Lumby, et al, 2009 p 175). All the aforementioned scholars argue that the systems of their countries (where they conduct the study) differ in sharp contrast to Western standards and patterns that these countries intended to implement. The

criticism of the preparation of education leaders in developing countries failed to "live" according to the fully Western approach. They think that these Western models need to be adapted to overcome cultural barriers and national values that are undoubtedly part of their systems and the community they represent. These models nurture the forces of globalization, as well as the integration and harmonization of their direction and preparation. But to have a positive effect, the training needs must be carefully reviewed, together with their patterns and perceptual differences.

### **Ways used to form leaders. Overview of formal education of leadership skills**

In the "Research Manual on the Education of School principals" (2009, Young, Crow, Murphy, Ogawa, p.395-415), it is mentioned that the idea of formalizing training and preparing school principals is not a very new idea, although in many countries around the world it is still treated as a challenge. Specifically, Johann Sturm, the classical German Renaissance pedagogue, was recruited by Strasbourg officials in 1537 to organize the curriculum, choose teaching methods, select the right lecturers, to set up the city's high school. This activity started after he was selected in relation to the skills demonstrated in school management. He fulfilled his job in creating, designing and running this second level education institution in this city, only after a year of work. This is cited by Hart & Bredeson (1996) as "The Best Model of an Open Learning Institute"

In the other four centuries, the degree of formal studies and preparation for the position of the school principal was different in different countries, but the pattern of "informal socialization" was generally followed - teachers with enough experience and expertise were selected - displacing their teacher from class to administrative tasks. Throughout the 18th century, the term head-teacher was used to name the position and responsibilities, on the discipline and supervision of student life, of boys who attended school away from their family (Hart & Bredeson, 1996). In Western Europe and North America, the rise of cities throughout the industrial revolution was accompanied by massive social and economic reforms that influenced the mission, structure and number of educational institutions, especially public schools (while in Great Britain, including private ones). The increase in the number of schools and the complexity of their mission resulted in the need for school principals who would have to spend more time on school administration issues as well. Nowadays, in the same way, the demands of the post-industrial and technological revolution are the ones that are knocking on the school's doors as well as on its leaders.

Formal models of "professional socialization" and preparation programs emerged in most countries at the end of the 20th century. Bredeson (1996, pp. 251-277) writes:

"In the United States, for example, the first course on college management at college level was offered by Michigan University in 1879. Education departments existed in many colleges and universities. But in very few specific courses, the administration of the school was programmed and developed. "

However, it is the beginning of the 1960s, which prompted rapid growth in formal training and training programs, initially in North America, followed by countries from Europe, Australia and several countries in Asia.

Despite cultural differences, Hart and Weindling (1996, p.310) report that these programs tend to share these features:

1. Programs tend to emphasize the importance of learning before or after the appointment of a person as a leader.
2. The programs emphasize the importance of formal and informal learning (based on the ways in which the structures and agencies that develop the process use it).
3. The programs are dependent on the institutions, colleges or universities that develop it, based on the relevant teaching traditions and course organization.
4. Programs pay more attention to absorption by appointed directors.
5. Programs, more or less, rely on mentors to prepare school principals.

But, during the development of these programs, the coordination and the pace of holding training and qualifications are very important, along with the development itself and the developmental stages of the leaders.

Huber (2003) - cited by the authors of *The Design and Delivery of Leadership Preparation* (Grogan, Bredeson, Sherman, Preis, Beaty, 2009, p.407) - has identified four apparent stages in which the formation of leaders emerges: a) orientation, (b) preparation, (c) position occupation, (d) continuous formation. At the National College of School Leadership - the National College of School principals (UK) - the development and management frameworks plan their activity based on these five stages of a leader's career.

In the United States, the formation of leaders is based on these stages, while it is developed and supported by professional associations of school principals, state education departments, and university programs. To refer more clearly to the above authors, stages usually include: seasonal training of individuals aspiring to be leaders, formal education, certification programs or university licensing, trainings for leaders and principals, mentoring, continuous development and re-licensing (eg initial license, professional license, MBA).

I think it is important to recognize and appreciate this effort in relation to the development of school leadership skills, for a clearer picture of leadership formation, and the impact of informal learning on their performance. The daily contexts of the complex problems of the school leadership process are aimed at gaining new skills or new insights.

Informal development - day-to-day learning - is an important learning environment. But - referring to the knowledge and theories of leadership - the main weight in the formation and development of leaders lies in formal education. Knowledge of the leader's profession makes them aware of the personality and style they should use in accordance with this profession. Also, the staff situation and the problem that requires a solution should be considered.

In Albania - referring to the history of education development, as well as the Law on Education and various regulations - we can distinguish efforts to train leaders by participating in conferences or national meetings, creating the opportunity to exchange experience and collaboration between one another. The preparation of leadership manuals has been another effort to help their work, to facilitate the organization of work. This is especially noteworthy with regard to organization, planning and evaluation at school. Meanwhile, the guidance and decision on certification of managers from training agencies accredited by the MASR is a very important step in the development of Albanian education in relation to school management. Concretely, the opinion of the subjects of this study - composed of school principals, on the need for training - addresses the question: "How necessary are the trainings that assist the challenges of leadership"? Responses are listed below in Table 1.:

Table 1. Usefulness of training in leadership

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	A little	1	.5	.5	.5
	Somehow	4	2.0	2.0	2.5
	Useful	58	29.0	29.0	31.5
	Very useful	137	68.5	68.5	100.0
	Total	200	100.0	100.0	

From the table, it turns out that there are 97.5% of subjects who think that training on leadership challenges is much needed. This represents the need for qualification, recognition, information and training skills.

The question - "Do training modules address issues that disturb you during the leadership process?" - aimed at gathering information on the usefulness and validity of the trainings conducted with regard to leadership as well as the current issues that concern them.

Table 2. The rate of trainings (based on request)

		Frequency	Percentage	Valid Percentage	Cumulative Percentage
Valid	No	24	12.0	12.0	12.0
	Sometimes	87	43.5	43.5	55.5
	Always	89	44.5	44.5	100.0
	Total	200	100.0	100.0	

From the data shown in the table above, it turns out that the subjects' opinion is: "Trainings developed by various certified institutions develop issues that concern the leaders and the direction of the school in general. Specifically, 44.5% of respondents think that trainings always develop such issues, 43.5% think this sometimes happens and 12% think that these

trainings do not develop issues of interest to leadership. It is clear that the on-job leaders are in constant need for professional formation and transformation, in relation to the role of school principals.

### The structures involved in organizing leadership formation

The selection, certification and development of the practices for the formation of school principals and administrators is different in different states and regions.

On the one hand, are they the individuals who have graduated in a profession they want, who aspire to become leaders and school principals (United States, Australia, France); on the other hand, there are also those who are appointed to the leadership position by hierarchical authorities or local authorities (Albania, Azerbaijan, Belarus, China, etc.). In many countries, individuals can follow programs run by non-governmental organizations or private schools, and may serve as head teachers or school principals. Researchers have classified two different approaches to assisting teachers to provide them with knowledge and administrative skills. One approach foresees or requires individuals to study the education administration before taking up their position as a school principal. The other approach is very different. It places the individual in the position of the leader, provided that these new administrators participate in the training activities of managers and administrators. Each approach affirms different assumptions about the best quality development of the leaders and each one seeks support from different infrastructure models.

For those who want to become school principals, they can win this position by showing merit and skill - France, Britain and the United States - or benefit from family, clan, or policy-making - Nigeria, Botswana and Azerbaijan - (2009, Lumby et al., P. 157-194). Some states - like Nigeria and Cyprus - put little demand on candidates for administrators and school principals. In some other states - such as England, the United States and Australia - a whole set of fundamental demands have been set before those aspiring to become school principals.

This detailed observation of Jacky Lumby, Allan Walker, Miles Bryant, Tony Bush and Lars. G. Bjork (2002) shows that there are many ways in determining the positions of leadership in the school. But not all promise to improve student's results and prepare the school to face challenges, in order to achieve success. But, what the scholars of the field of school management and administration bring, is their own assurance - raised over the scientific arguments and the facts gathered - about the importance of the preparation and continuous formation of leaders in any educational system applied in each country.

In the table below, we provide a synthesis of Huber's (2004) studies of systems and structures involved in the preparation of leaders in some continents. The researcher categorized the systems of preparation of school principals - in the terms of centralization and decentralization - as well as those structures that ensure their preparation and formation.

Table 3. Huber's Model for Preparing School Principals (2009, Lumby et.al; p.176)

Country	Model
Sweden	Responsibility shared between the state and the cities
Denmark	There is no need for rules and standards
England	Movement towards a coherent national provision
The Netherlands	Diversity and choice
France	Recruitment and duration of training under the responsibility of the state
Germany	Training courses are the responsibility of state institutions
Switzerland	Qualification based on canons
Austria	Mandate of trainings based on state guidelines
SudTirol	Qualification in private institutions selected by the government
Singapore	Full time preparation
Hong Kong	Short-term oriented courses

Australia	Development of the learning community
New Zealand	Variety and competition
Canada	Qualification of school leaders in accordance with standards
U.S.A	Extensive qualification programs, long history in the preparation of school leaders

Despite its peculiarities in the organization and distribution structures of this service - in the places presented by the study above - researchers suggest that there are still places where the preparation of leaders is known very little and there is still little or no effort to organize this important activity.

One of the countries with a tradition in developing school principals and administrators is the United States. The tradition of this development shows that universities are the basic structures that prepare the formation of education leaders. Mainly, these are the courses of full-time graduation programs - (2009, Grogan, et al., P.396) - for students who have a degree in education science or not, who are interested in being a school principal. Also, these courses are also offered for students who have a master's degree in completing a part of this course. Usually, these programs distinguish two contents: instructional direction (theories) and practical direction.

Private or informal institutions - in collaboration with universities - are structures that develop module courses - which have schedules set during the week - but on the other hand, offer flexibility of selection from those interested.

Another form that universities - or institutions - distribute this service are also online courses, summer schools and intensive courses over the weekend, which are applied three or four times during a semester.

## **Models for Leader Formation**

### **University courses**

The United States provides us with the most extensive literature on the design and delivery of educational leadership preparation (Grogan, M, et al 2009, p.395).

The purpose of this section is to provide an overview of what researchers tell about various delivery structures. Under their observation, the most comprehensive concept of the distribution system is the group, a unit organized by a number of 10-25 students (cohort model).

Barnett and Muse (1993, p.400-415) define "cohort" as "a group of students who start and complete a study program together and engage in a common range of courses, activities and learning experiences". This model of leadership training has started to emerge since the early 1950s, but the incidence of these courses has increased considerably since 1987, when the National Council for the Education of Administration Professionals evaluated this model, arguing on several advantages of it. In these structures, teaching and course development is organized based on adult learning features: self-direction and internal motivation are evaluated throughout the course. Also, every knowledge and practice is modeled on the expectations and experiences of the group's own students. In conclusion, individuals support one another and learn from the experiences and situations that arise during discussions and decision-making processes.

### **Distance education**

Another model that universities have experimented - as a result of using computer technology and increasing the number of internet users - is distance education. This model implies the distance between instructors and students, as well as the distribution of materials using computer technology.

This model is often suitable for leaders who are on-the-job, as well as for candidates who are actually employed at the moment. Also, this model is applied in a form that develops the skills of using technology and communication through it. This applies to future leaders, considering them as part of their ongoing work.

The use of technology, indirectly develops the style of the leader, making it less traditional and guiding it towards transformational and rational qualities.

Researchers think that not everything considered alternative, is the best. Some of them consider the use of this model in coordination with traditional forms, allowing them to exchange face-to-face information and personal recognition of other

students with field experts who develop programs. This would help those communication skills that cannot be developed through technology alone.

### **Collaboration between schools, universities and the community**

Programmers - who have considered the benefits of cooperation - have managed to reduce the distance between theory and practice, which is often one of the weaknesses that is criticized in the programs developed by universities. These are programs that can be fully formulated, or can be applied in the form of short or medium term course.

This model of partnership engages each of the institutions in its expertise. As universities carry out the theoretical part of the program with qualified staff, there are experienced leaders - who may still be in office - who provide their service as mentors for students preparing for future leadership. Also, day-to-day problem situations in the school environment, help practice and involve the candidates in finding solution paths.

Researchers feel that this model of cooperation allows partners and universities, to distribute proportionately the definition of what they learn, the way they learn it, and when it should be implemented.

### **Preparing Education Leaders – Outside Higher Education**

These programs are developed outside the influence and tradition of universities, and for some scholars, these are alternative programs that seek to break traditions and take more risk in applying new ideas and approaches.

Usually, the instructors of these organizations bring different perspectives because they are hired as courses specialists, engaged by different sectors and different institutions.

These institutions may be non - governmental, but in most countries - where they develop their activity with alternative models - they are obliged to accredit these programs with national standards.

In the United States this model has its features. In this case, it is their cooperation with universities, in order to translate the trainings and modules realized with the value of academic credits. Therefore, they allow career advancement, with regard to doctoral studies of students, candidates and managers who attend the programs near them.

During the interviewing of the subject in this study, it resulted that: the question about "what would you rate as a preferred form of career guidance" - they answered:

Table 4. Preferred training format

		Frequency	Percentage	Valid Percentage	Cumulative Percentage
Valid	On-the-job training	36	18.0	18.0	18.0
	Training from licensed institutions	43	21.5	21.5	39.5
	Graduation press the faculty of Education	78	39.0	39.0	78.5
	Conferences and sessions	43	21.5	21.5	100.0
	Total	200	100.0	100.0	

From the table above, it turns out that 39% of subjects think that graduation at the faculties of education is the best form of leadership development and development, 21% think that they are doing conferences and sessions related to this field, 21% think that trainings from licensed institutions can fulfill their expectations to provide a safe career course and 18% think that experience and training throughout the work process is the most convenient way to form a school principal.

Currently, the introduction of programs for the training of leaders in the mandate by the MASR - as a commitment for the years 2011-2017 - is a serious effort of this institution towards the establishment of school administrators and education in general, remaining fragmented in the framework of training . Leaders in Albania can be appointed and trained, certified. Or, they can pursue the so-called "leadership schools" during their profession. These schools are conceived, based on the needs and opportunities of training agencies or subordinate institutions of the appointed ministry line.

In our assessment, the space created for the training agencies and institutions, and not just for the faculties of education in our universities - in relation to the implementation of the approved program - is a starting point for reflecting on European and wider experiences, regarding this development.

Accreditation of institutions and programs - in which, the content included is very important regarding theoretical and practical issues in the context of the reforming policies of the Albanian school (such as managerial skills, planning, financial resources management, etc.), regarding the autonomy of school - I think they are very important elements. These elements serve as a first step at the beginning of this very important process for the academic success of the school.

The involvement of the faculties of education in trainings and the formation of leaders, would be considered as a very important moment in this training enterprise. The focus is giving knowledge on theories of leadership and some knowledge on legislation on pre-university education.

Their certification after the end of this program will be helpful as well as a good tradition for the formation of leaders in the Korca region.

### Recommendations

The need for leadership formation, is a sign of need for school directors and school challenges themselves. The implemented ways for leadership formation may be different, according to the recommendations the researchers submit. But - in the concept of management as a profession - this study highlights the design and beginning of second and third cycle study programs at faculties of education, or those of social sciences. Building a study program with clear professional training goals and objectives, will lead to graduating many leaders and aspiring leaders of this important and challenging profession.

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## Employer Attractiveness to Chinese Potential Employees

Yiran Liu

Business School, University of Edinburgh

### Abstract

Many multinational enterprises (MNE) are struggling with attaining economic revenue by controlling talent shortages in highly competitive emerging economies, such as China. Thus, competition is increasing to seem as an attractive employer by the target employees group. Employer brand building plays an important role for MNEs to attract and retain talents. However, few researches are focus on its effects on Chinese potential applicants' perceptions. This study aims to label Chinese potential employees' expectancies of future employers. It inquires to what extent employer attractiveness factors (from EmpAt) influence company reputation and intention of job application among Chinese students overseas. It asked Chinese students from three different universities in the UK to access an online survey. The conclusion is based on 300 responses to a hypothetical ideal employer. The conclusions proof that company reputation positively contributes to job applying intentions; also employer attractive factors of non-financial features, such as Interest value and application value have positive contributions to company reputation. Furthermore, some strategic advice is made for companies. The study is original because it focuses on MNEs' employer branding toward Chinese student and which will be valuable to companies in their upcoming recruitment.

**Keywords:** Human resources management, Corporate reputation, Employer attractiveness, Employer branding, Multinational enterprises, Recruitment

### 1. Introduction

#### 1.1 The Background of the study

Many multinational enterprises (MNE) struggle for attained economic revenue and survived in highly competitive emerging economies, such as China (Sivertzen, 2013). As UNCTAD report shows, the number of Chinese employees of 100 world-famous MNEs far exceeds that of other countries (UNCTAD, 2016). Also, the proportion of Chinese employees is increasing year by year (UNCTAD, 2016). Human resources (HR) symbolise the investment in knowledge intensive companies, which are critical for securing competitive advantage (Wright et al., 1994). The potential employees' recruitment requires a high motivation to display productive behaviours. An MNE can get an advantage by finding productive staffs and maintaining them longer than their competitors (Boxall, 1996). Company reputation and employer branding are critical for attracting the talent (Cappelli, 2001). Brand and reputation are important in the product market, and are more and more critical in the labour market as well. It is vital to measure whether the company banding strategies work in practice. Thus this paper expands the model to cover the Chinese context, and explores the relationship between employer attractiveness and company reputation.

Employer branding is based on HR theories, and pays attention to improve the picture of companies for potential employees (Jiang and Iles, 2011). Only a few studies focus on the Chinese potential employees' expectation for future employers. (Anon, 2015; Jiang and Iles, 2011; Sivertzen et al., 2013; Zhu et al., 2014).

### 2. Literature Review

#### 2.1 Employer Branding

Applicants often use company reputation as a reference for work environments when they compare several employers (Cable and Turban, 2003). Reputations are features, which are socially reviews according to their previous behaviours (Weigelt and Camerer, 1988). Employers want to reinforce their names as a brand by improving their reputation and strengthen their attractive factors, which is named employer branding.

Backhaus and Tikoo (2004) comment two transformations of branding. On one hand, employer branding is explicitly faces recruitment process and shapes the company's employer image. On the other hand, employer branding is explicitly faces audience both internal and external. Companies' internal branding focuses on employers' image creating process, its connection to employees, and employees' understanding of that image. Employer branding puts its emphasis on external people. It includes companies' self-exposition and social evaluation (Martin et al., 2005; Sivertzen et al., 2013).

Employer branding has different definitions. In this study the author collects previous definitions to describe employer branding as structuring employer image focusing on potential employees, to distinguish the company in the industry (Backhaus and Tikoo, 2004).

The contents of employer branding vary, as employer branding is a developing concept. In this paper, the employer branding is on the resource and HR based views. Employer branding is a tool to grow employer attractive factors and expand company reputation. Some studies show that job applicants match the company's picture with their own requirements and standards (Sivertzen, 2013). Only when a job applicant's requirements and standards match the company's picture can the company enhance its attractiveness for this potential employee (Backhaus and Tikoo, 2004).

## 2.2 The EmpAt Scale

The EmpAt scale is used to measure the employer attractive factors (Berthon et al., 2005), which evolved from another scale (Ambler and Barrow, 1996). This scale contains of 25 points establishing five of them: Interest value, development value, social value, economic value and application value (Berthon et al., 2005). Interest value includes innovation and passionate for work (Ambler and Barrow, 1996 in Sivertzen, 2013). Social value covers the working environment and employees' relationship. Economic value means economic benefits. And, development value links with the potential development. Finally, application value includes the customer-oriented extent. This paper will pose its hypotheses, followed by the methodological section.

## 3. Methodology

### 3.1 Research Purposes and Question

#### 3.1.1 Research Purposes

This study aims to label Chinese potential employees' expectancies of future employers. It inquires to what the extent employer attractiveness factors influence company reputation and intention of job application among Chinese students overseas.

#### 3.1.2 Research Question

The research question for this study: how are Chinese potential employees' expectancies of the employer attractive factors linked to company reputation and job applying intentions? Increased knowledge of potential employees' expectancies will allow companies to shape their recruitment process and employer branding towards Chinese students more efficiently.

### 3.2 Hypothesis

When employers use employer-branding strategies, they need to identify the features, which link to a positive company brand. Because of this, companies can shape the strategies with the clear targets of attractiveness improvement. In the Berthon's (2005) study, participants were requested to rank the attractive factors of a celebrated company, against the EmpAt scale's five indicators. The positive relationship was proved between company attractive factors and the indicators. This paper takes Berthon's research deeper and involves the company reputation and application intentions as new variables with the extents of employer attractive factors. Several researches verify the relationship between a company's reputation and the employer attractiveness (Collins and Han, 2004). This paper presumes the relationship between employer attractiveness's dimensions and company reputation is unknown. In this regard, two hypotheses are as below:

*Hypothesis 1:* "Chinese potential employees' awareness of the five values of employer attractive factors has a positive contribution to their awareness of a positive company reputation."

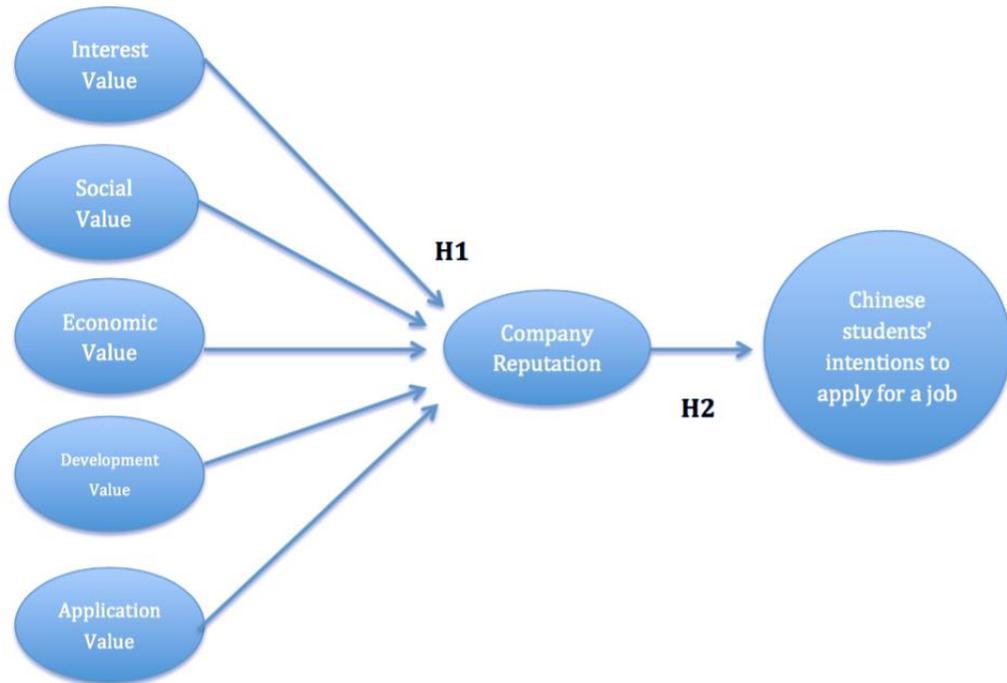
From the psychology view, Edwards (2010) finds that a company with a good reputation encourages job applications. Through a study of business students, Walter et al. (2013) demonstrates that companies' positive opinions affect the candidates' job applying intentions due to the result from a survey faces business school students at 25 European universities. In the Zhu's study (2014), company's reputation has contribution to employees' psychological contract; then it will have an impact on employees' job applying intentions, but there is no clear statement of the relationship between the

two elements. Building on the literatures this paper is testing the relationship between job applicants' awareness of company reputation and job applying intentions.

*Hypothesis 2:* "High company reputation has a positive contribution to the Chinese potential employees' job applying intentions."

### 3.3 Research Model

According to the literature review and these hypotheses above, this paper built a research model as below (Figure 3.2).



**Figure 3.2** Research model

### 3.4 Research Subject and Survey

This study asked Chinese Human Resource Management (HRM) students to access an online survey about a hypothetical ideal employer. Using hypothetical employer as a research object creates some potential problems. For example, the questionnaire participants cannot combine the hypothetical employer with the actual situation; the participants imagine the hypothetical employer as the perfect employer, resulting in the subjective result (Zhu et al., 2014). However, the use of hypothetical employers simplifies the structure of questionnaires and facilitates participants to answer the questionnaire. At the same time, the hypothetical employers will also resolve the errors caused by different employers' brand promotion efforts in different regions (Zhu et al., 2014). The students fit for this study, as they have job applying intentions and are also applicants for the employer. Choosing Chinese HRM students as sample because most of them enter the job market after graduation and there is a competitive recruitment among companies. Because of the enterprise architecture development in MNEs according to Chinese economy booming, the headquarters has more complex control over HRM activities and needs more HRM professionals (Chen et al., 2016). However, the current Chinese HRM's higher education cannot provide enough talents for MNEs (Li and Sheldon, 2010). There is a competition for Chinese HRM overseas returnees among MNEs (Cooke and Wang, 2014). Thus, employer branding is of special interest among this field.

Considering that for Chinese HRM students, if this survey directly names specific MNEs as future employers, some participants may not be familiar with those companies and will not have enough knowledge to answer the questions. In order to solve this problem, this study does not give designated employers, but provides a hypothetical ideal employer, so that the students can complete the survey according to their own image of ideal employer.

There is no transformation of the scale in this survey. The respondents are all Chinese students, who study in the UK. They should achieve at least grade 6.5 in the International English Language Testing System (IELTS) with the admission requirements, which means they can fully understand the questionnaire and address it appropriately. Moreover, more complex questions were placed at the front of the survey to attract the attention of the responders, and demographic questions were placed at the bottom.

### 3.5 Measures

#### 3.5.1 Employer attractiveness

Employer attractiveness is tested against five values from the Berthon et al.'s (2005) EmpAt Scale. This paper chooses five out of 25 dimensions from the scale, namely, interest value, development value, social value, economic value and application value (Berthon et al., 2005). A five-point Likert Scale covers 5 levels (strongly agree to strongly disagree/1-5) was used.

#### 3.5.2 Company reputation

Company reputation is tested using Turban et al.'s (1998) scale. In the Zhu's study (2014), this scale is used to measure the reputation of the company and proved to be effective in the final analysis of results. This scale involves four indicators, for example, "I have heard a lot of good things about this firm". This part uses the Likert scale as well.

#### 3.5.3 Intentions to apply for a job

Intentions was tested using the scale build by Highhouse et al. (2003), such as, "I would accept a job offer from this company", with the Likert scale applied.

#### 3.5.4 Control variables

Several control variables, for example, gender, age, academic results, and work experience, are included.

## 4. Presentation and Results

The Statistical Package for the Social Sciences (SPSS Inc, 2000) software package version 24 was used to analyse the data. The first section examines the accuracy of research measures by using reliability and factor analysis. The second section offers the inter-correlation among all variables. The mean and standard deviation of the each factor is shown. Finally, the hypotheses are verified through hierarchical regression analysis. In addition, the conclusions will be given at the very end of this part.

### 4.1 Data Gathered Overview

Number of Questionnaires Distributed	300
Number of Questionnaire Collected Back	300
Response Rate	100%
Number of Questionnaire Used For Analysis	300

**Figure 4.1** Sample Profile

The sample profile of the survey is presented in Figure 4.1 the link to the online survey was accessible to the Chinese HRM students at the University of Edinburgh, Edinburgh Napier University and Heriot-Watt University in the UK. There is a total of 300 sets selected respondents.

### 4.2 Data Presentation

Variables	Categories	Frequency	Percentage (%)
Gender	Male	90	30
	Female	210	70
Age	Under 20	0	0
	21-24	270	90
	25-29	20	7
	Above 30	10	3
Work Experience	Under 1 year (include 1 year)	270	90
	From 1-3 years (include 3 years)	10	3
	From 3-5 years (include 5 years )	20	7
	Others	0	0

**Figure 4.2** Demographic Characteristics of Respondents

### 4.3 Reliability Analysis

Variables	Number of Items	Cronbach Alpha
The five EmpAt factors (Total)	15	0.860
Interest value;	3	0.486
Social value;	4	0.786
Economic value;	2	0.645
Development value;	2	0.817
Application value.	4	0.705
Company reputation	2	0.672
Intentions to apply for a job	3	0.847

**Table 4.3** Results of Reliability Test

The Cronbach Alpha of each item is presented in Figure 4.3. From this Figure above, the Cronbach Alpha values of Interest Value is lower than the standard. Therefore, the invalidity problem (Innovation Q2) is removed and the corrected Cronbach Alpha is reached 0.773. Others' Cronbach Alpha is ranged from 0.645 to 0.860. This Reliability analysis can ensure all used items are no error (Rashid et al., 2015).

### 4.4 Descriptive Analysis

Variables	Mean	Standard Deviation
The five EmpAt factors (Total)		
Interest value;	1.83	0.88
Social value;	1.55	0.80
Economic value;	1.42	0.59
Development value;	1.42	0.62
Application value.	1.8	0.70
Company reputation	1.57	0.62
Intentions to apply for a job	1.57	0.65

Figure 4.4 Descriptive Analysis

All the variables' means and standard deviations are shown in Figure 4.4. The range of all means is between 1.57-1.83. Mean is used to measure the central tendency due to its mathematical qualities; the value, which exceeds the maximum and minimum limits, is named as average and sensitive (Rashid et al., 2015). In Figure 4.4, the interest value has the highest mean of 1.85 and the highest standard deviation of 0.88. It means the fluctuation of the sample data is bigger than others.

#### 4.5 Factor Influence Company Reputation towards Chinese Potential Employees

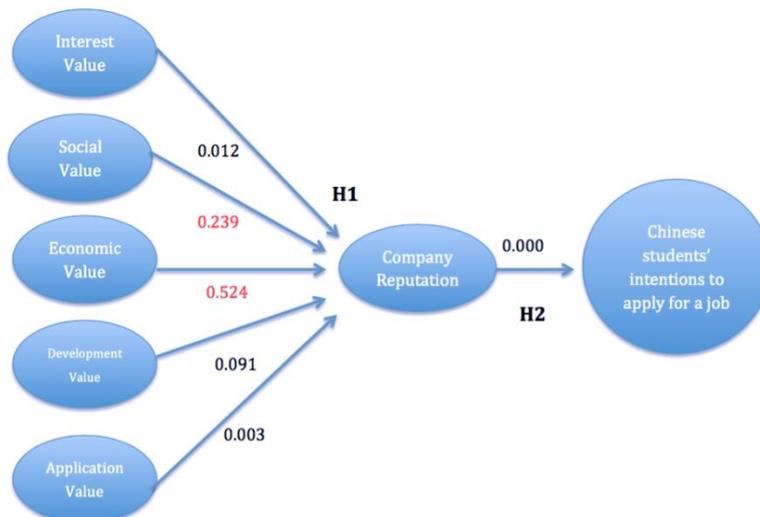


Figure 4.5 Results of Regression Analysis on Turnover

The results of significant effect between each variable from the regression analysis presented in Figure 4.5. The general level of significant effects is not good. However, compared to other variables, the economic value has the weakest significant effect, which is  $\text{Sig } t = 0.524$  with the company reputation. This presented that economic value was not an indicator that will affect the company reputation towards Chinese potential employees. Similarly, the result can prove that both the social

value and the development value cannot influence the company reputation. Thus, this paper can find that hypothesis 1 is partly confirmed as a consideration that affecting the company reputation as three out of five values were not indicators and there is a significant positive relationship between the EmpAt and company reputation,  $r(28) = .427, p = .000$  (P value < .05). The regression analysis shows that the company reputation has significant effect with the job applying intentions towards Chinese potential employees, due to the  $\text{Sig } t = 0.000$  and  $r(28) = .632, p = .000$  (P value < .05). Consequently, the hypothesis 2 is accepted.

#### 4.6 Conclusion

This part will show hypothesis testing' consequences in Figure 4.6. It analyze through the statistic data above.

No of Hypothesis	Statement of Hypothesis	Results
H1	Chinese potential employees' awareness of the five values of employer attractive factors has a positive contribution to their awareness of a positive company reputation.	Accepted
H2	High company reputation has a positive contribution to the Chinese potential employees ' job applying intentions.	Partly Accepted

**Figure 4.6** Results of Hypothesis Testing

### 5. Conclusion

#### 5.1 Conclusion

This paper examines relationships between the EmpAt scale (Berthon et al., 2005), company reputation, and job applying intentions in an employer-branding standpoint so as to discover critical features a company should pay attention to in the employer branding strategies. All two hypotheses are accepted, though hypothesis 1 is partly accepted. Based on the results of data analysis, this study found that not all five employer attractive values have a positive link with employees' awareness of good employer's reputation.

First, the accuracy of this EmpAt scale has changed their linked indicators according to the original scale. It may be because of the cultural differences between the scale country of origin (Australia) and China. One of the main reasons can be the cultural dimension of individualism versus collectivism; in Jie's report (2012), he scores Australian individualism dimension as 90 and only 20 for China. The more collectivist countries attach more importance to corporate reputation because people generally believe that groups with good reputation will bring benefits to individuals. However, at the individual level, the factors for evaluating whether a group has a good reputation are also more complicated (Zhu, F. et al., 2014). This result is also different from the study of Arachige and Robertson (2011). Their studies used eight factors, beyond the 25 indicators from the original scale and three new ones were created. All three of these new factors are related to the psychological contract between employees and companies, the psychological factors may have not been fully considered in this study. This could be the explanation for the difference in results.

Second, this paper identifies employer attractive factors that Chinese potential employees may need to value in companies. Precisely, conclusions prove that the attractive factors of five values apart from social, economic and development value have positive contributions to company reputation. Consequently, non-financial features of the employers may be more critical to build a good reputation of the company to Chinese job applicants. The absence of social value is debated, since the working environment in social relations may also be important. The absence of development value is complex to clarify. One likely clarification may be that it is hard to evaluate self-feelings in a hypothetical ideal employer, than it is to evaluate it in a specific named company.

In Berthon et al.'s (2005) study, all five values in the EmpAt scale indicate the importance for potential employees' awareness of the company brand. Following this paper's results, companies should highlight innovation, self-worth, confidence, training, and the possibility of employee practice rather than financial reward in their employer branding

strategies. Moreover, some similar theories were found in attractive factors of disabled employees (e.g. Nadeau and Olafsen, 2015), and non-financial features are more considerable in recruiting and maintaining staffs (Hiltrop, 1999). That the social value dimensions play a less important role may be because the Chinese overseas students' social characteristics. Many of them are used to living far away from their hometowns, lack of social life (Wu, 2016). Thus, social value is not their priority when seeking a job.

The company reputation has a positive relationship with job applying intentions. Moreover, this finding shows that Chinese HRM potential employees appear to choose a company that gives them a better self-feeling as future employer. This conclusion links to the importance of psychological contract with employer to maintain staffs (Wu, 2012).

Last but not least, not unexpectedly, this paper finds that company reputation positively contributes to job applying intentions, consistent with previous studies (Sivertzen, 2013).

## 5.2 Practical Implications

To the HR practitioners, the findings of this paper offer some proposals. Firstly, the employer branding strategies for the recruitment process should focus on non-fanatical features and avoid 'only driving employees by money'. Especially, this paper highlights the importance of application values as well as innovation values for Chinese candidates, when they appraise their ideal employers. This covers innovation, self-worth, confidence, training, and the possibility of employee practice. Those factors may improve job-applying intentions in Chinese job applicants. Secondly, companies that need Chinese employees with HRM professional background, or general talents, should shape their recruitment strategy against this appraisal as well.

In the practice of the company, group cooperation training based on solving practical problems in the work can be applied, so that the employees can understand the practical problems in the training, and also strengthen the confidence in solving the problems in the future work. At the same time, this kind of training can also help cultivate the innovative spirit of the employees. For example, in Google China, solutions and even patents generated during the training process can be applied to practical work (Feldman, 2012). This can increase the number of patents copyrights owned by the company, because employees' invention patent rights belong to the company during the work hours (Feldman, 2012), and it can also give employees a win-win opportunity to learn more skills.

## 5.3 Limitations and Further Research

This paper has several limitations. Firstly, because all conclusions are according to the survey data, assumptions link to the relations between variables are unjustified.

Secondly, Chinese HRM students are selected as respondents for this survey as they are popular for MNEs. This causes the competition of hiring talents between those companies, and they will highlight employer branding for Chinese HRM employees. The situation may differ from position to position and country to country. Generally speaking, using Chinese students as respondents is a double-edged sword. For the negative part, it may reduce external validity (Wells, 1993, in Sivertzen, 2013). In this paper, Chinese HRM students as a homogeneous group may isolate the results. Besides, this paper selects Chinese students from non-Chinese universities. Their expectations may differ from those students studying domestically. For the positive part, companies have graduate schemes whose target employees are mainly students. Hence this paper can be used as theoretical references for those schemes.

Thirdly, in terms of the outputs from the reliability test of the EmpAt scale one item was removed. Yet the theoretical appraisal proofs that items are credible. Finally, a mixture of data analysis methods may be used for related topics in future studies, considering the limits of small sample group adopted by this paper.

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## Non-Financial Reporting in Banks: Emerging Trends in Italy

Eugenia Strano, PhD Student

Abdellah Kabli, PhD Student

Eugenia Strano

University Magna Graecia of Catanzaro

Department of Legal, Historical, Economic and Social Sciences Catanzaro – Italy

### Abstract

During the last few years, the interest in corporate disclosures of “non-financial information” has grown considerably and several voluntary reporting practices have emerged to capture this type of information outside the traditional financial statements. Non-financial information has become part of mandatory corporate reporting within the European Union through Directive 2014/95/EU, which requires large companies to disclose certain information on the way they operate and manage social and environmental issues. The Directive only applies to large public-interest companies by including listed companies, banks, insurance companies, and other companies designated by national authorities as public-interest entities. This mandatory requirement has been implemented in Italy with Legislative Decree no. 254/2016. By using a multiple case-study approach and by considering a sample of Italian banks, the aim of this work is to analyze emerging disclosure practices on institutional websites. The contribution of the work is twofold: on the one hand, the study investigates how banks use non-financial statements (NSF) to communicate non-financial information to stakeholders; and on the other hand, it offers insights and guidance and encourages future research.

**Keywords:** non-financial statement (NFS), disclosure, case studies

### Introduction

#### The role of non-financial information

Non-financial information is becoming increasingly important in business due to the inadequacy of traditional financial reporting to satisfy the growing need of stakeholders for value creation (Consob, 2017; Kristofik, Lament, & Musa, 2016). Currently, the role and function of financial accounting are not sufficient to respond to the needs of stakeholders because “*the financial information explains just the historical performance, while the stakeholders try to predict the firms’ performance in future*” (Wadhwa, 2017, p. 2073). Thus, non-financial information concerns long-term issues such as “*climate change, energy efficiency, gender diversity, employee engagement, reputation, innovation, human rights, anti-corruption and bribery matters*” (Consob, 2017, p. 38). It is important to disclose good-quality non-financial information in order to increase the trust of stakeholders (Venturelli et al., 2017; Directive 2014/95/EU 2014) and to influence their behavior (Castaldo et al., 2009). Thus, the quality of non-financial information plays an important role in building socio-economic relations between companies and their environment (Deegan and Unerman, 2011).

According to Murphy and Hogan (2016, p. 43), “*Non-financial measures provide value to both the firm that is disclosing them and the stakeholders that are using them to better understand the firm*”. Consequently, the needs of stakeholders in relation to social and environmental issues have stimulated an increase in the volume of non-financial information transmitted by companies to stakeholders. Godfrey, Merrill, and Hansen (2009) underline the importance of non-financial information in regulated markets because it positively increases shareholder value and gains investor confidence (Kristandl & Bontis, 2007). Thus, corporate disclosure allows information asymmetry problems between different types of stakeholders to be limited (Bhasin, Makarov, & Orazalin, 2015; Kristofik et al., 2016).

Recently, the importance of non-financial information has also attracted the interest of European institutions, as shown by Directive 2014/95/EU implementing Legislative Decree no. 254/2016. The European Parliament highlighted the relevance of the disclosure of non-financial information in that it is “*vital for managing change towards a sustainable global economy by combining long-term profitability with social justice and environmental protection*” (Paragraph 3 of the Preamble to Directive 2014/94/EU). Moving from this consideration, our work investigates the frontier of non-financial statements (NFS) in the banking sector in Italy, highlighting how banks move toward this new kind of reporting.

To achieve this, this research, using a multiple case-study approach and by considering a sample of Italian banks, analyzes emerging disclosure practices on institutional websites.

### Methodological approach

This work focuses on non-financial information disclosed in the Italian banking industry through a combination of a literature review and selected case studies. The qualitative case study facilitates exploration and understanding of a phenomenon, using several data sources (Baxter & Jack, 2008). Thus, in the first stage of the research, we analyze several studies and documents existing in the literature that concerns the importance of non-financial information reporting. In addition to the literature search, we examine Directive 2014/95/EU and Legislative Decree no. 254/2016, which establish specific requirements in term of disclosure of non-financial information, and we build a table that lists the main requirements of new regulation. In this way, we identify a sample of Italian listed banks, selecting the first eight banks by total assets and market capitalization. The case studies represent qualitative research that allows us to make in-depth, intensive analyses (Hancock & Algozzine, 2016).

In the next stage of the research, we analyze the approach of banks to non-financial information, through direct observation of their official websites. Given the nature of the study, we build a table that incorporates both non-financial reports made available by the sample of surveyed banks and the structure of their official websites regarding the sustainability topic.

An overview of Directive 2014/95/EU

Directive 2014/95/EU of the European Parliament and of the Council of 22 October 2014 in force since 2017 – amending Directive 2013/34/EU – examines the “*disclosure of non-financial and diversity information by certain large undertakings and groups*” (Directive 2014/95/EU). In particular, the EU Directive imposes the obligation for large undertakings to publish NFS that must contain “*information to the extent necessary for an understanding of the undertaking’s development, performance, position and impact of its activity, relating to, as a minimum, environmental, social*

*and employee matters, respect for human rights, anti-corruption and bribery matters*” (Directive 2014/95/EU – Article 19a, Non-financial statement). This mandatory requirement has been implemented in Italy with Legislative Decree no. 254/2016 relating to reporting information of a non-financial nature, and the Italian securities market regulator – Consob – is responsible for investigating and sanctioning infringements (Consob, 2018a). In more detail, Table 1 lists the main requirements introduced by Legislative Decree no. 254/2016, implementing Directive 2014/95/EU.

Table 1: The main requirements of Legislative Decree no. 254/2016

Entities obliged	According to Article 16 of Legislative Decree no. 39/2010 (Official Gazette 2010), “public interest entities,” such as: issuers of securities traded on Italian or European regulated markets; banks (and other financial intermediaries); insurance companies (and reinsurance companies) are obliged to disclose non-financial information.
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Dimensional requirements	The new disclosure requirements apply to "public interest entities" that exceed (Consob 2018b): 500 employees on average during the fiscal year; and at least one of the following thresholds at the end of the fiscal year: €20,000,000 total net asset value; €40,000,000 total net revenues from sales and services.
Content of non-financial statements (NFS)	According to Article 19a of Directive 2014/95/EU – in line with Consob (2018b) – NFS include: a brief description of the undertaking's business model; a description of the policies pursued by the undertaking in relation to those matters, including due diligence processes implemented; the outcome of those policies; the principal risks related to those matters linked to the undertaking's operations including, where relevant and proportionate, its business relationships, products or services which are likely to cause adverse impacts in those areas, and how the undertaking manages those risks; non-financial key performance indicators relevant to the particular business. The non-financial information may be contained in the Annual Report or in another separate report, such as the Integrated Report, Sustainability Report, etc.
Reporting standard	Issued by national, international, or supranational authorities. Companies adopt an independent reporting methodology, providing a clear and articulate description of the methodology and the reasons for its adoption (Consob, 2018b).

Source: Our elaboration from Consob (2018b); Official Gazette (2010); Directive 2014/95/EU (2014).

The EU Directive could represent an opportunity for Italian banks to promote sustainable practices and could provide a benchmark for those Italian banks that do not fall under the requirements of the EU Directive, encouraging a synergistic effect. Thus, the EU Directive requires that non-

financial information be disclosed in a structured reporting system and promotes the completeness of information on sustainability (Carini et al., 2018). In the literature the idea was accepted that the regulation improves the quality and comparability of non-financial statements (Degaan 2002), in line with the aim of Directive 2014/95/EU. This idea has been affirmed by several studies that confirm the relationship between mandatory declaration and the quality of non-financial disclosures (Crawford & Williams, 2010; Wang & Li, 2016).

Prior to the entry into force of Legislative Decree no. 254/2016, Italian banks disclosed non-financial information due to pressure from stakeholders, as confirmed in the literature (Logsdon & Lewellyn, 2000; Rasche & Esser, 2006). Thus, Herremans, Nazari, and Mahmoudian (2016) underlined that the diversity in sustainability reporting adopted by companies is based on their relationships with stakeholders.

#### Non-financial reporting in Italian banks: A focus on institutional websites

This section provides an overview of a sample of Italian listed banks regarding disclosure practices and approaches to non-financial information, after the entry into force of Legislative Decree No. 254 of 2016, which implements the European regulation (Directive 2014/95/EU).

By using a multiple case-study approach, we explore the emerging disclosure of non-financial information on institutional websites and we list non-financial information reports.

According to data available on the Milano Finanza website ([https://www.milanofinanza.it/quotazioni/ricerca/capitalizzazioni?pagina=4&refresh\\_ce](https://www.milanofinanza.it/quotazioni/ricerca/capitalizzazioni?pagina=4&refresh_ce)), we selected the first eight Italian banks by total assets and market capitalization.

Table 2 lists non-financial reporting by banks and highlights the main changes between mandatory and voluntary reporting.

Table 2 Non-financial reporting in banks		
Italian banks	Mandatory reporting	Voluntary reporting
Intesa Sanpaolo	2017 Consolidated Non-Financial Statement (see: <a href="http://www.group.intesasanpaolo.com/script/sir0/si09/sostenibilita/eng_wp_sostenibilita.jsp#/sostenibilita/eng_bilancio_sociale.jsp">http://www.group.intesasanpaolo.com/script/sir0/si09/sostenibilita/eng_wp_sostenibilita.jsp#/sostenibilita/eng_bilancio_sociale.jsp</a> )	Stakeholder Engagement 2007–2009 (available for 2010) Stakeholder Engagement in Intesa Sanpaolo (available from 2011 to 2013) Environment Paper (available from 2011 to 2012) The Value of Sustainability (available for 2013) Stakeholder Engagement and Improvement Objectives (available from 2014 to 2017) Community Paper (available from 2015 to 2017) Environment Paper (available for 2015) (see: <a href="http://www.group.intesasanpaolo.com/script/sir0/si09/sostenibilita/eng_wp_sostenibilita.jsp#/sostenibilita/eng_archivio_bs.jsp">http://www.group.intesasanpaolo.com/script/sir0/si09/sostenibilita/eng_wp_sostenibilita.jsp#/sostenibilita/eng_archivio_bs.jsp</a> )
UniCredit	2017 Integrated Report (see: <a href="https://www.unicreditgroup.eu/it/a-sustainable-bank/sustainability-reporting.html?topmenu=INT-TM_SUS03_it102">https://www.unicreditgroup.eu/it/a-sustainable-bank/sustainability-reporting.html?topmenu=INT-TM_SUS03_it102</a> ).	Social and Environmental Report (available from 2000 to 2005) Human Resources and Corporate Social Responsibility (available for 2006) Sustainability Report (available from 2007 to 2013) Integrated Report (available from 2014 to 2016) Integrated Report Supplement (available from 2014 to 2016) (see: <a href="https://www.unicreditgroup.eu/it/a-sustainable-bank/sustainability-reporting.html?topmenu=INT-TM_SUS03_it102">https://www.unicreditgroup.eu/it/a-sustainable-bank/sustainability-reporting.html?topmenu=INT-TM_SUS03_it102</a> )
Mediobanca	On 15 June 2018, the Group makes not available the last non-financial statement	Group Sustainability Report in Annual Accounts and Report (available for 2016) (see: <a href="https://www.mediobanca.com/en/sustainability/documents-indexes.html">https://www.mediobanca.com/en/sustainability/documents-indexes.html</a> )
Mediolanum	Consolidated Non-Financial Statement in Consolidated Financial Statement 2017 (see: <a href="https://www.bancamediolanum.it/corporate/investors/documents">https://www.bancamediolanum.it/corporate/investors/documents</a> )	Social Report (available from 2006 to 2014) Sustainability Report (available from 2015 to 2016) (see: <a href="https://www.bancamediolanum.it/corporate/responsabilita_sociale">https://www.bancamediolanum.it/corporate/responsabilita_sociale</a> )
Ubi	Consolidated Non-Financial Declaration in 2017 Sustainability Report (see: <a href="https://www.ubibanca.it/pagine/Sustainability-Report-EN-5.aspx">https://www.ubibanca.it/pagine/Sustainability-Report-EN-5.aspx</a> )	Social Report (available from 2007 to 2014) Sustainability Report (available from 2015 to 2016) (see: <a href="https://www.ubibanca.it/pagine/Social-Report-archive-EN.aspx">https://www.ubibanca.it/pagine/Social-Report-archive-EN.aspx</a> )
BPM	Consolidated Non-Financial Statement 2017 (see: <a href="https://www.bancobpm.it/investor-relations/financials/?lang=en">https://www.bancobpm.it/investor-relations/financials/?lang=en</a> )	Social Responsibility Report (available from 2008 to 2013) Sustainability Report (available from 2014 to 2015) Sustainability Report (available for 2016) (see: <a href="http://www.gruppobpm.it/en-ist/social-responsibility/social-responsibility-reports.html">http://www.gruppobpm.it/en-ist/social-responsibility/social-responsibility-reports.html</a> )

MPS	Consolidated Non-Financial Statement in Annual Report 2017 (see: <a href="https://www.gruppomps.it/en/investor-relations/financial-results/financial-results-year-2017.html">https://www.gruppomps.it/en/investor-relations/financial-results/financial-results-year-2017.html</a> )	Socio-Environmental Report (available from 2001 to 2004) Social & Environmental Report (available for 2005) Social Responsibility in MPS Banking Group (available for 2006) The Social Responsibility of MPS Group (available for 2007) Social Responsibility in the MPS Group (available from 2008 to 2011) Sustainability Report (available for 2012) Sustainability Report in Annual Report (available from 2013 to 2014) (see: <a href="https://www.gruppomps.it/en/sustainability/report.html">https://www.gruppomps.it/en/sustainability/report.html</a> )
Banca Generali	Sustainability Report 2017 (see: <a href="http://www.bancagenerali.com/site/en/home/sustainability/sustainability-report.html">http://www.bancagenerali.com/site/en/home/sustainability/sustainability-report.html</a> )	Sustainability Report (available from 2009 to 2016) (see: <a href="http://www.bancagenerali.com/site/en/home/sustainability/sustainability-report/archive.html">http://www.bancagenerali.com/site/en/home/sustainability/sustainability-report/archive.html</a> )

Source: Our elaboration from banks' official websites (last consulted 15 June 2018)

From the exploratory analysis, Table 2 underlines that the sample of Italian banks pay attention to environmental and social issues. Thus, the banks have published several voluntary reports in order to capture this type of information outside the traditional financial statements.

With reference to mandatory reporting – in accordance with Legislative Decree no. 254 of 2016 – each bank makes available an NFS, although they are called different things, and the same for banking institutions (Intesa Sanpaolo, UniCredit, BPM, Banca Generali), which separate NFS from the consolidated financial statement.

The sample of banks through their official websites provide several pieces of data and information about their engagement in the topic of sustainability, as shown in Table 3.

Italian banks	Non-financial information section
Intesa Sanpaolo	There is a Sustainability section. In this part, there is a subsection entitled Consolidated Non-Financial Statement (see: <a href="http://www.group.intesasanpaolo.com/script/sir0/si09/sostenibilita/eng_bilancio_sociale.jsp#/sostenibilita/eng_wp_soc_sostenibilita.jsp">http://www.group.intesasanpaolo.com/script/sir0/si09/sostenibilita/eng_bilancio_sociale.jsp#/sostenibilita/eng_wp_soc_sostenibilita.jsp</a> )
UniCredit	There is a Sustainability section. In this part, there is a subsection entitled Reports where the 2017 Integrated Report is made available (see: <a href="https://www.unicreditgroup.eu/en/a-sustainable-bank/sustainability-reporting.html?topmenu=INT-TM_SUS03_en098">https://www.unicreditgroup.eu/en/a-sustainable-bank/sustainability-reporting.html?topmenu=INT-TM_SUS03_en098</a> )
Mediobanca	There is a Sustainability section. In this part, there is a subsection entitled Documents where the Group Sustainability Report is made available (see: <a href="https://www.mediobanca.com/en/sustainability/index.html">https://www.mediobanca.com/en/sustainability/index.html</a> )
Mediolanum	There is a Statement and Presentations subsection in the Investor Relations section where the 2017 Consolidated Non-Financial Statement is made available (see: <a href="https://www.mediobanca.com/en/sustainability/documents-indexes.html">https://www.mediobanca.com/en/sustainability/documents-indexes.html</a> )
Ubi	There is a Social Responsibility section. In this part, there is a Non-Financial Declaration subsection where the Consolidated Non-Financial Declaration is made available in the 2017 Sustainability Report (see: <a href="https://www.ubibanca.it/pagine/Sustainability-Report-EN-5.aspx">https://www.ubibanca.it/pagine/Sustainability-Report-EN-5.aspx</a> )

BPM	Before the Banco Popolare (BP) and BPM merger, the website is structured as follows: there is a Social Responsibility section in which there is a Social Responsibility Reports subsection (see: <a href="http://www.gruppobpm.it/en-ist/social-responsibility/social-responsibility-reports.html">http://www.gruppobpm.it/en-ist/social-responsibility/social-responsibility-reports.html</a> ) There is a Non-Financial Reports subsection where the Consolidated Non-Financial Statement 2017 is made available (see: <a href="https://www.bancobpm.it/sostenibilita/report-non-finanziari/">https://www.bancobpm.it/sostenibilita/report-non-finanziari/</a> )
MPS	There is a Sustainability section. In this part, there is a Report subsection where the 2017 Consolidated Non-Financial Statement is made available (see: <a href="https://www.gruppomps.it/en/sustainability/report.html">https://www.gruppomps.it/en/sustainability/report.html</a> )
Banca Generali	There is a Sustainability section. In this part, there is a Sustainability Report subsection where the Sustainability Report 2017 is made available (see: <a href="http://www.bancagenerali.com/site/en/home/sustainability/sustainability-report.html">http://www.bancagenerali.com/site/en/home/sustainability/sustainability-report.html</a> )

Source: Our elaboration from banks' official websites (last consulted 4 June 2018)

Italian banks' official websites are a key tool to improve the relationship with stakeholders and to create long-term value. Thus, the sample of banks have a specific section on their official websites regarding their social and environmental commitment, where they communicate non-financial information in order to ensure transparency in their relationships with stakeholders.

### Conclusions and future line of research

This work investigated the disclosure of non-financial information in banking institutions, which is extremely interesting because it has become part of mandatory corporate reporting. We found it constructive to propose an exploratory analysis of the main challenges in Italian banks – subsequent to the entry into force of Legislative Decree no. 254/2016, implementing Directive 2014/95/EU – as reflected on their institutional websites and in their non-financial reports.

Our exploratory study focuses on a sample of Italian banking groups, and therefore the results cannot be generalized, but they give hints regarding the trends among Italian banks on this issue and are encouraging for further studies in this field. According to the literature, our work suggests that mandatory corporate reporting improves the quality and comparability of non-financial information disclosure, because voluntary disclosure may lack completeness, accuracy, and neutrality. The results show that the large banks are actively involved in corporate disclosure of non-financial information. In greater detail, it is important to underline that the majority of banks have for a long time been paying attention to environmental and social issues, such as Intesa Sanpaolo, Unicredit, and so on. Thus, all this allows us to predict that banks voluntarily disclose several non-financial information reports in order to respond to stakeholders' needs.

As has emerged from the exploratory analysis, it should be noted that all banks voluntarily dedicate a section on their official websites to sustainability to prove their commitment to environmental and social topics.

Concerning future research, the next study could consider a larger sample of banks. In more detail, the use of a larger number of banks, including other European as well as Italian banks, could allow comparison of several banks in order to capture the differences and similarities. Finally, it is important to understand how cooperative banking groups disclose non-financial information to stakeholders.

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## Children and Cinema: Moving Images of Childhood

Angela Bushati

Freie Universitat, Berlin, Germany

### Abstract

The idea of childhood has been part of the moving images experience since the appearance of cinema. Through the lenses of cinema, childhood is deconstructed as presenting branching pathways, underlining its complexity and the mysteriousness of it. The ongoing experience of childhood on screen serves as a tool to reflect on the anatomy and contour of cinema, as well as its understanding. On the other hand, cinema has been used as a tool to reflect on the notion of childhood and as an apparatus that challenges the power relations that exist between adults and children. The aim of this paper is to present an overview of how the institution of cinema contributes or opposes the notion of naturalness of childhood imposed by adults or the normative perception of what a child should be. In a lot of movies the child is "othered" leaving as a result an ambiguous space between the child and cinema, where childhood is not anymore strictly defined.

**Keywords:** childhood, cinema, power relations, otherness, normativity

### Introduction

In the recent decades there is an immense interest in the field of childhood studies and media anthropology in deconstructing the ideology that stands behind the notion of *childhood* and its representations. Childhood constitutes an important structural component of our society. According to Ariès (1962), childhood is a socially constructed concept and it is relatively modern. Cinema, as well as childhood, can be considered as an institution of the

modern culture that uses the image of the child, and therefore represents the social construction of childhood.

The mechanisms of cinema have been able to somehow challenge the representations and visions of childhood through fluctuating in time, space and narrative. The figure of the child has been used everywhere on our screens and therefore turning cinema "into a valuable

– in fact, potentially overwhelming - resource for reflecting on the cultural histories of childhood in the twentieth century" (Lebeau, 2008:12). Throughout the 19th century, the child was watched, written about and wanted. Animated versions of "Ginx Baby" and "Child Pictures" were one of the first confrontation between childhood and cinema (Lebeau, 2005:10). In the early 1900s, the figure of the child and infant was proliferated in moving pictures such as "Child life", one of the first genres of Victorian film and one of the first contributions of the ongoing project of visualizing childhood, of giving image to the child (Lebeau, 2005:8). The myth of childhood shapes our epoch and ways of thinking on many levels. Cinema itself transfers and brings into life the dimensions of the myth, and our modern commitments to the idea of the child are indivisible from its representation or portrayal in visual form. (Lebeau, 2005:10)

The social construction of naturalness of childhood in cinema

Cinema has put the child in the landscape of vision and it can be a powerful instrument to reflect and know the child. From its early encounters with cinema many of the common tropes of childhood are children who need to be protected, who are innocent, immature etc. Many of these characteristics given by adult pre-conceptions about what childhood is or should be construct the notion of "normative childhood". Baudrillard (1994) talks about the notion of *simulacra* which refers to a world of images and signs that refer to other images and signs which have no reference in the real world. Many notions related to childhood are therefore constructed through images and signs. Cinema is also part of it. For example, childhood has often been depicted, even in cinema, as presenting a futuristic adult project or in a state of becoming, rather than being. Olson & Scahill (2012: 9) note that the images of "normative childhood" creates a tale that is often characterised or haunted by the spectre of its own failure.

Lee (2001:9) illustrates that “adulthood, with all its connotations of stability and completeness, has operated as a kind of standard model of a person, which stands ready to be used to measure children’s incompleteness.” This process enables the ability of adults to inflict power on children and determine “the naturalness of childhood”. As a result, children who don’t fit to the normative perception of childhood are automatically considered as the “deviant other”, who don’t fit to the norms prescribed from the adult perception. Many adult constructions such as the question of innocence of childhood, who appears as a predominant fantasy, it is in part responsible for the state of given disempowerment of the child, the child appears as lost and lacks control (Wilson, 2005:331). As a result of the argument of innocence, the distance and dichotomy between adults and children is seen as inevitable and stronger. The two worlds of adulthood and childhood appear as two separate entities not sharing any “spaces”.

Pictures and images of childhood in cinema have been constructed by the adult perception, who has in part in a way monopolized the ability to define childhood. The “powerful adult” has delineated the behaviours which are appropriate for children according to the age and development. Visual representations such as cinema, videos, TV programs and other media are deeply affected from values and by the discourses and pedagogies of home and school (Luke, 1994:289). All these conceptualizations and discourses contribute to the construction of cultural and social meanings to ideas such as “childhood”, “family”, “parenting” etc.

Foucault (1972) explains the way how the common sense and familiar ideas are constructed historically in a defined context through discourses. Many of the cultural meanings and ideas on childhood are being transferred through the social interactions and the denomination of image. Foucault (1972/1981) also mentions that the discourse itself is a way of transmitting and producing power relations. The idea of childhood and also other ideas for example motherhood or being a woman are constructed through these discourses produced from the power and dominance of disciplinary fields such as sociology, psychology, philosophy etc. According to feminist theories such as de Beauvoir (1953), many of these discourses have been produced historically from patriarchal dominant structures. These power relations define and put childhood as a state of inferiority, immaturity, innocence etc.

always in need to be defined from the adult. “The questioning of what the figure of the child means to adult, has been an interrogation of, and distancing from, questions of childhood innocence: innocence emerges as the dominant fantasy in whose terms children have been variously represented, protected and desired.”(Wilson, 2005:331) Such discourses circulate everywhere in a given society and cinema is also part of it, as an institution where social interactions take place or are created. According to Olson & Scahill (2012: 10) the idea of the innocent or lost child appears in many movies such as *Alice in Wonderland* (1931), *Wizard of Oz* (1939), etc.

The trope of the innocent child comforts the idea that children cannot be naturally evil, which goes back to the theory of Rousseau (1948). The idea of innocence in cinema is also many times accompanied from a *naïveté* that sets often the child in a position of always requiring the adult supervision or assistance. Many times children appear as misunderstanding the obvious or having to learn how to be empathetic or not to self-centred and obedient. On the opposite, we find other conceptions of childhood such as the evil or creepy child which usually evokes fears and anxieties. The devil or creepy children might not be dangerous but the fact that they are not conform the presumed naturalness of childhood, evokes feelings of rejection. Children are patented as being deficient and deviant “as an affront to how ‘decent’ and ‘normal’ children ought to behave. This points the bipolar manner in which we perceive of childhood: a period of innocence but also a period of possible immorality”. (Jones, Holmes & Powell, 2005: 155) In opposition, movies such as *Raise Ravens* (1976), or *Tideland* (2005) challenge cultural notions and explore the dark side and creativity of childhood.



Fig.1. “Raise Ravens” (1976)

Luke (1994:291) also explains how the construction of naturalness of childhood in many movies serves as a tool to produce consumer goods. Usually the jump from narrative to commodities such as buying character toys from the movies or other sorts of material goods, as Luke (1994) explains, is constructed in a way to seem natural. After watching a Disney movie, buying into the system “means buying into a particular ideological narratives of social structure, gender roles, power relations and into a social construction of reality” (pp. 291) Moreover Disney, although marked as not representing the reality, indirectly it rises the curiosity of the spectator to search for the Disney features in real life or connections with reality in Disney movies.

The “othered” child in moving images and screens

In cinema images of childhood who are not strictly obeying to the natural constructed image of childhood often fall under the notion of “otherness” or identified as “other”. “The Othered child has occupied the interstice within an identity that is constructed for them via adults, and when such children strain against adult constructions, they become marginalized, outside the idealized notions of what children should be.” (Olson & Scahill, 2012: 10) According to the authors the ‘othered’ child in cinema “protests” against deeply held principles of naturalness of childhood designated such as being “dependent”, “innocent” etc. Figures of ‘othered’ childhoods are troublesome and especially they are troublesome to the boundaries of childhood itself (Olson & Scahill, 2012: 11). Lebeau (2008) places “*The Enigma of Kaspar Hauser*” (1974) alongside Francois Truffaut’s classic “*The Wild Child*” (1970), through exploring the work of *infants* across the field of vision, its elusive ties to an *otherness* within central to modern constructions of children and childhoods.



Fig. 2. “*The wild Child*” (1970)

In cinema the figure of the “othered” child is omnipresent. For example, in the movie “*Birds*” (1963) by A. Hitchcock, children are represented in a state of innocence that was never there. The constructed myth of the Child is symbolized by carrying the blindfold. “When Cathy puts on the blindfold she becomes like the adults who do not see, do not perceive the real state of the children or the birds” (Olson & Scahill, 2012: 298). The scene where the birds attack a “blind” child is a visible representation of the need to “remove-attack-the-blindness that expectations of the Child myth and its accompanying innocence create” (Olson & Scahill, 2012: 298). Similar, could be noted also the film “*Fanny and Alexander*” (1982) or “*The White Ribbon*” (2009). Haneke depicts in “*The White Ribbon*” (2009) for example the space between childhood and adulthood, and specifically the “otherness” that characterizes the children of the village, but also the myth of the innocence. The film “extends the acts of disobedience by those disturbed children like Georg who, with their occasionally monstrous behaviour, are struggling to find a voice with which to refuse the warped moral system into which they have been born”. (Williams, 2010:55)



**Fig.3 Rituals of obedience and shame. “The White Ribbon” (2009)**

Bühler-Niederberger & van Kriken (2008) note that the concept of childhood can be seen as a social structural character similar to class, race or gender. This social order organizes the world of children in a systematic way as Alanen (1994:37) would put it. The concept of generational order demonstrates that ‘otherness’ or ‘other-ing’ of children is part of the social order and describes the hierarchy between adults and children, as a form of social arrangement between the two identities (see Bühler-Niederberger 2005). For example, in the movie “*East is East*” (1999), the relationship of the children with their father is constructed in

a strange way and positioned as a “dual identity struggle”. In this movie the notions of “othering”, gender roles and social order are central. The father is designed as applying his patriarchal powers but at the same time he is “disempowered by his minoritized racial status” (Jones, Holmes & Powell, 2005: 158). Many stereotypes are used to construct the idea of “the other”. The same idea of constructing the other is also applied in “*Johnny Mad Dog*” (2008) but this time way stronger. The depiction of children “is guilty of the stereotypical Western portrayal of African child soldiers as the brutalized and unemotional Other”. (Olson & Scahill, 2012: 156).

A very interesting case of “otherness” is the depicted childhood in “*Gummo*” (1997) that confounds and also scatters the adult construction of childhood. The children in the movie represent “poor white trash” and they do not fit the utopian concept of childhood innocence. The film transgresses boundaries between “purity and impurity, morality and immorality, cleanliness and dirt” and also “non-normative genders, sexualities, classes and races are written onto the body of the child and threaten the myth of childhood” (Olson & Scahill, 2012:113/114). The identities of children are trapped in a liminal space of in-betweenness. In critical whiteness studies the questioning of dominant power structures is central. Whiteness, as a constructed cultural construction is also related to constructions of class, sexuality and gender and as well connected to the concept of childhood as it appears in the film “*Gummo*” (1997).

### **Conclusion**

The two institutions of modern culture childhood and cinema are deeply connected and co-construct one another. Children are usually portrayed as a category or social structure being in significant contrast with the adult world. This occurs in the world of cinema too. Many images of childhood still reflect and continue to support a normative childhood image according to a very westernized model. Adults continue to see children as being “other” from being an adult which leads to strict and difficult to escape categories of childhood. These social categories, constructed also from the notion of generational order, construct a generalised perception of childhood.

Recently starting the 21<sup>st</sup> century, through the increased appearance of the notion of children’s rights in many social contexts, childhood has been to focus to a much greater extent than before. This has brought reflection on the power relation between children and adults and how this is reflected in cinema. The process of deconstruction of power structures that reside between children and adults appears of relevant importance in reconstructing otherness and finding solutions that increase the representation, participation and agency of children in cinema, but also in real life.

Although many moving images tend to represent known and commercial models of childhood there are many directors who play with such representations by trying to deteriorate images of normative childhood through showing different perceptions about childhood. Wilson (2005:331) argues that contemporary filmmakers have tried to undermine and somehow distort through cinema the power relations existing between adults and children. “Countering the

tradition identified by Holland, contemporary films seek to open up the representations of children, strategically denying the distinct division between adults and children, provoking a seizure of emotive response, where adults suddenly feel like children” (Wilson, 2005: 331) The author also offers two examples of movies who try to offer new representations of child identities. (Wilson, 2005: 332)

Lukas Moodysson and Sandrine Veysset. *Lilya 4-ever* (2003) and *Martha ... Martha* (2001) are representative of a current trend in European cinema, but beyond this Moodysson and Veysset are not connected.<sup>15</sup> Their films coincide, however, in their attempts to offer new representations of a child’s subjectivity, new filmic apprehensions, or imprints, of child identities. In their move to mould the medium to child perceptions, they each independently make use of certain tropes and devices which can be isolated and latterly associated with child subjectivity, and they each in turn attempt to shock the (adult) viewer emotively, to break down the division between the viewer and the children viewed, to bring the viewer up close to the image, disallowing distance. Both directors, avoiding the pictorialization of the child, make use of cinema’s potential to evoke touch, the tactile, the haptic, drawing attention thus to space, its navigation and inhabitation, kinesthesia and containment, cocooning.

**Fig. 4. “Lilya 4-ever” (2003) and “Martha...Martha” (2001) (Wilson, 2005: 331)**

Issues connected to the notion of childhood such as gender, human & social rights, intelligence, ethnicity etc. are being represented and challenged in cinema. Many directors also use childhood as a way to reflect on such notions. Therefore, cinema can be used as a tool to reflect and promote the social agency of children and increase the active position of children in society by challenging pre-constructed ideas of what does it mean to be a child and act as a child or even an adult. Hultqvist and Dahlberg (2001) argue that “there is no natural or evolutionary child, only the historically produced discourses and power relations that constitute the child as an object and subject of knowledge, practice and political intervention”. (pp.2)

Cinema plays a unique role in deconstructing the visible and the presence of life. Children have been part of cinema since its early stages, but the reality is that they are infrequently part of the theoretical scenery of film study. Therefore, the need to explore the children’s own cultural lives appears as necessary. Increasing children’s agency in their own representation and construction of what childhood means to the adult and to cinema in general is central. Rethinking the social construction and images of normative childhood in cinema is necessary, in order to remediate the shoring up of divisions and power relations between adults and children and in order to open up to new ways of exploring cinematic tools that challenge social representations.

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*"Martha...Martha"* (2001) – Sandrine Veysset *"Raise Ravens"* (1976) – Carlos Saura
- [5] *"Tideland"* (2005) – Terry Gilliam
- [6] *"The Enigma of Kaspar Hauser"* (1974) – Werner Herzog *"The White Ribbon"* (2009) – Michael Haneke
- [7] *"The Wild Child"* (1970) – Francois Truffaut
- [8] *"Wizard of Oz"* (1939) – Victor Fleming

### Figures

Fig 1. *"Raise Ravens"* (1976). Retrieved from <https://www.slantmagazine.com/house/article/the-criterion-collection-403-carlos-sauras-cra-cuervos>

Fig. 2. *"The wild Child"* (1970). Screenshot from the movie.

Fig.3 Rituals of obedience and shame. *"The White Ribbon"* (2009). Retrieved from <http://www.derekwinnert.com/the-white-ribbon-michael-haneke-2009-classic-film-review-781/>

Fig. 4. *"Lilya 4-ever"* (2003) and *"Martha...Martha"* (2001) (Wilson, 2005: 331). Screenshot from the article: Wilson, E. (2005). "Children, Emotion and Viewing in Contemporary European Film." *Screen*, 46 (3): 329-40.

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## Social Work and Neurosciences: Speeches and Theoretical Contributions

**M.<sup>a</sup> João Cabral Sacadura, Phd Student**

Catholic University of Portugal and University of Coimbra, Portugal

**Helena Neves Almeida, Phd**

Professor and Researcher. Faculty of Psychology and Education Sciences

University of Coimbra, Portugal

### Abstract

The concept of “neuroscience” sometimes referred to as “the last frontier of biology” (Squire et al., 2008, p. 3) was introduced in the mid-1960s and is now recognized as a multidisciplinary field that analyzes the nervous system to understand the biological basis of human behavior. The ongoing developments and the arising production regarding the deepening of the structure, functions and functioning of the brain and its interaction with the environment enabled the identification of key elements reaching an unprecedented level of knowledge in the history of humankind. The multidisciplinary scientific approach, including non-clinical areas such as music, philosophy, education, mathematics, economics and physics, has also contributed to its further deepening. In the light of this scenario of interdependencies and disciplinary alliances, the discipline of the social and human sciences – social work – whose subject is conceived “from and for the practice” (Parton, 1996) in the day-to-day work with challenging social problems of various types and with different publics. Therefore, the present article aims to analyze what has been done to date since 2001, namely the input and contributions of authors and researchers in the field as well as to understand the input of neuroscience developments in their education and research. Also worth mentioning is the identification and relevance of the links between these domains which have contributed to the enrichment of the profession.

**Keywords:** social work, neuroscience, education, social intervention

### Introduction

Neurosciences reached the peak of their development during the so-called “decade of the brain” (1990-1999) and, for the last 17 years, social work has been following the discussion and contemporary thought on the input produced by neuroscience, seeking to build bridges between both areas. It therefore presents itself as one of many scientific disciplines which recognized the importance of incorporating neuroscientific contributions into its own field of knowledge, whilst underlining the nature of social work and the need to understand people’s behavior within the context of their living environment.

The theoretical approaches of “person in situation” and “person in environment” are the cornerstones of the profession which sustain a comprehensive understanding of the support given to the individual and its system:

“The ‘person in situation’ and ‘person in environment’ has long since been cornerstone of the profession. Clients need to be supported and changes that occur in an individual need to be supported within the environment where the client lives and thrives. There is no magic cure or pill to cure anything without a holistic understanding of the person’s support and environmental system” (Dziegielewski, 2010, p. xiii).

In the light of this perspective and by means of the present literature review, our goal was to identify theoretical approaches to and thoughts on the relationship between social work and neurosciences which highlight its significance in training, professional practice and area of research.

Sayer (2014) points out that this body of research in the field of neurosciences is underpinned by contemporary and historical perspectives on social work.

The aim of systematizing the literature review was to gather several approaches and arguments which incorporated the most relevant and reliable contributions on the subject under research. To that end, we

accessed the Portuguese Catholic University webpage as well as that of the Libraries of the University of Coimbra in order to collect the existing scientific databases available online. In addition, we resorted to the Google search engine and the b-on (Online Knowledge Library). During the execution of this task, we sought to confer greater relevance to scientific articles and reference books specifically related to the field, within a time span of approximately five years. It was not always possible to comply with this criterion given the need to gather complementary information so as to define the framework of the subject matter. Consequently, the literature review covers the time period between 2001 and 2017. Hence the use of keywords and combinations of keywords as guiding points in order to detect relevant articles about the relationship of the topics in question: social work and neuroscience.

The b-on presented 462,879 results and, from this starting point, we narrowed the theme on the basis of certain exclusion criteria, namely documents with no direct relation to the subject matter. This collection also resulted in the identification of works by authors of reference, which, in turn, enabled the narrowing of the collection itself.

- The importance of neuroscience in social work – training, research and intervention

There are countless examples from 2001 onwards which demonstrate that many authors and researchers have focused their studies and analyses on the importance played by this relationship in social workers' academic training, intervention practices and research.

According to Egan (2001), thanks to these new findings, the discipline of social work has access to vital contributions to the understanding of human behavior and social environment. In the field of neuroscience, the study continues and never could one conceive of the functioning of the human brain, as well as its disorders and importance to our mental or physical health, as being disconnected from the existence of people within a society (Sena, 2016, p. XI).

The reference literature focusing on the relationship between social work and neuroscience includes authors such as Shapiro (2010), Farmer (2013), Egan, Combs-Orme, & Neely-Barnes (2011), Miehs (2011), Matto (2013), Montgomery (2013), Sayre (2014) and Maynard, Boutwell, & Vaughn (2015) who advocate the need to integrate neuroscientific developments into the way social workers view and understand the complexity of the world in order to guide and improve their interventions (table 1).

**Table 1 – Contributions of neurosciences to social work practices**

Author/Year	Work	Contributions
Shapiro, J.R., Applegate, J.S. (2005)	Neurobiology for Clinical Social Work Theory and Practice	New research findings on the neurobiology of attachment Infant mental health Neurobiology of memory
Farmer, R.L. (2009)	Neuroscience and Social Work Practice: the Missing Link	Reasons to incorporate emerging research in social work training and practice Link to social neuroscience Transactional Model Framework Advocating (e.g. child neglect), fundamental understandings, policy-relevant understandings, client practice-level understandings Neurobiology of abuse/addiction
Montgomery, A. (2013)	Toward the Integration of Neuroscience and Clinical Social Work	Integration into psychodynamic social work Relevance for social workers school curricula, regarding policy-related issues, human development and social environment, social justice, diversity and its potential to other approaches related to various human problems

Matto, H.C., Strolin-Goltzman, J., Ballan, M.S. (2014)	Neuroscience for Social Work	Importance to the design, development and expansion of therapeutic interventions, social programs and policies for working with the most vulnerable populations Practice intersections of neuroscience development and social work, child welfare and education, health and mental health practice and criminal justice
Sayre, M., Walker, R. (2014)	Evolutionary Theory and Neuroscience: An Explanatory Theory for Social Work	Suggestion to incorporate the Evolutionary Theory, a guide to social work practice

The relevance of neurosciences in social work training, practice and research is based on the following arguments:

- By increasing our understanding of how the brain works, neuroscience provides explanations to many of the personal and social problems encountered by social workers (Farmer, 2009).

"(...) more extensive neuroscientific and other science-based explanations can help social workers in explaining the emotional, psychological, social, and behavioral difficulties that we encounter" (Farmer, 2009, p. 82).

- **These contributions enhance our knowledge and understanding of the role of the brain in human development and behavior** (Egan, Combs-Orme, & Neely-Barnes, 2011; DiPietro, 2000; Negash

& Petersen, 2006; Weatherston, 2001).

"Understanding how the brain develops in infancy and connecting ontogeny with functioning helps social workers understand the tremendous importance of infancy for brain development and future functioning and achievement. Many (if not most) of the problems in which social workers intervene arguably have roots in this period of life (Combs-Orme, Wilson, Cain, Page, & Kirby, 2003).

Enhanced understanding of the importance of infancy through integration of neuroscience content should provide social workers with knowledge to influence social policy and service design and delivery (Egan, Neely-Barnes, & Combs-Orme, 2011)" (Combs-Orme et al., 2015, p. 645).

- **Social work can take into account the biological components of the psychosocial perspective in order to inform practices** (Shapiro, 2010; Farmer, 2015) **and strengthen the advocacy function in multiple areas** (Shapiro, 2010; Farmer, 2009, 2013; Egan, Combs-Orme, & Neely-Barnes, 2011).

"One expanding area of inquiry is the neuroscience related to the effects of social disadvantage. Social and cognitive scientists have long documented a range of behavioral and cognitive deficits that are found more commonly in people from deprived circumstances" (Wax, 2017, p. 2).

- Given the interdisciplinary nature of social work, social workers are well positioned to contribute with and integrate their social and behavioral research, while also translating those research findings into practice and the development of new interventions (Egan, Combs-Orme, & Neely-Barnes, 2011).

"Given the social work's interdisciplinary nature, social workers are well positioned to contribute to the integration of social and behavioral research and translate these research findings into practice (McCutcheon, 2006; National Association of Social Workers (NASW), 2003). Indeed, biosocial research is essential for a deeper understanding of the problems with which social workers are concerned and can improve our understanding of the etiology and course of conditions to inform more accurate assessment strategies" (Maynard, B., Boutwell, B., & Vaughn, M., 2015, p.2).

- The knowledge of neuroscience promotes an interdisciplinary practice through the use of a common language, as in situations related to psychopathology, drug abuse and cognitive aspects

**of aging; explanations about the functioning of the brain and psychopathology may offer new evidence or discredit existing ones** (Egan, Combs-Orme, & Neely-Barnes, 2011).

Egan, Combs-Orme and Neely-Barnes (2011) argue that if social workers are knowledgeable about brain and nervous system interactions as well as the relevant psychosocial elements, and use the language employed by their peers in

multidisciplinary teams, their way of communicating will become more effective, thus enhancing the transdisciplinary environment of the professional practice.

- Practices are the focus of social work.

"The knowledge gained through biosocial research can inform and enhance interventions by allowing us to better understand mechanisms through which interventions work and more effectively and efficiently target biosocial variables and interactions that predict and moderate treatment response" (Maynard, Boutwell & Vaughn, 2015, p. 2).

However, Maynard, Boutwell and Vaughn (2015), Garland and Howard (2009) consider that, even though social work highlights the biopsychosocial perspective in the understanding of human behavior and in the relevance of contributions made by biosocial research for the practice of social workers, it has had a rather unclear impact on practices.

According to Farmer (2009), the integration of neuroscience into the perspective of biopsychosocial human behavior prepares social workers for a transdisciplinary environment which can promote improved care continuity for clients and families, thus fostering a better assistance which takes into account brain-related conditions and diseases. Moreover, it equips them to practice advocacy, particularly with regard to intervention in early intervention programs, drug abuse prevention and other treatments as well as to work interdisciplinarily.

The author states that its potential, regarding social work intervention, comprises four main areas: it increases our knowledge about the role of the brain in human development and its impact on behavior (since the formation of the brain before birth until its functioning in adulthood); it encourages new insights for theories and models of social intervention; it provides scientific support to social work with an evidence-based practice and enables the development of new interventions; it promotes the understanding of the interaction of the brain with the central nervous system and psychosocial elements, maximizing the effectiveness of the multidisciplinary communication process through the use of terminology shared by other clinical areas.

Therefore, according to Farmer (2009), the relationship established between neurosciences and social work relates essentially to the fact that it is a professional area which deals with psychosocial challenges encountered by individuals and families as well as social behaviors, therefore being inextricably linked to social neuroscience.

"The term "*social neuroscience*" was introduced in 1992 to describe a field of research – or set of fields – using social and biological levels of analysis (Cacioppo & Bernston, 1992). It analyzes concepts and ideas from the neural to the social level (Ito & Cacioppo, 2001)" (Farmer, 2009, p. 11).

The author points out that some areas of brain development are indispensable to understand the mechanisms and structure of brain activity as well as its development in the context of neuroscience and psychosocial development throughout life.

"Social workers have historically worked with persons who experience environmental deprivations as well as serious emotional and psychiatric problems, and social neuroscience is a resource for such work" (Farmer, 2009, p. 17).

Matto (2013) considers that advances in the knowledge of brain function enabled the understanding of transactional interdependencies between brain, behavior and environment, bringing new opportunities for social workers to transform their working methods as agents of social changes through the systems.

"The current decade of discovery is focused on advancing understanding of the ways in which strategic psychosocial interventions act on brain structures to change behavioral response. This focus is deeply relevant to the person-in-environment perspective integral to the social work profession. In advancing our profession's practice models to incorporate current brain science research, social workers will be positioned to more effectively work with the diverse client populations and settings of our profession, and we can use such knowledge to inform advocacy efforts, influence human service policy decisions, and contribute to practitioner education" (Matto, 2013, p. 2).

Matto (2013) states that these contributions have several implications for education and practice. The author considers that, on the one hand, the biopsychosocial perspective of social work practice has been highlighted in many social work schools but, on the other hand, the biological components of this threefold perspective have not been developed enough.

Johnson (2014) believes that the more we learn about neuroscience and its connections, the better we are equipped to assist the people we serve. The author raises relevant questions for social workers to think about:

—How do individual differences interact with environmental forces to mold our lives?

–How can we make connections between the conditions we encounter every day in our work, such as substance abuse, psychiatric challenges or family violence, and the invisible changes in our brains that lie behind these visible psychological events?

Following Farmer (2009), Blundo (2015) considers social neuroscience a tool which can help social work students to be better in the area of intervention, assisting them in developing critical thinking skills and social-emotional learning, in addition to increasing empathy towards their clients.

- Concepts and links to social work practice: some contributions

Researchers have developed many lines of thought and input in the field of social work. Therefore and in order to clarify some neuroscience concepts and their importance to social work, we present the following summary table (table 2):

**Table 2 - Neuroscience concepts and their importance to social work**

Author/Year	Concepts
Shapiro, J.R. (2010)	Neurobiology of attachment (affect regulation), memory
Egan, M., Combs-Orme, T. & Neely-Barnes, S.L. (2011)	Critical and sensitive periods of development, neural plasticity, cognitive aspects and memory, stress and trauma
Montgomery, A. (2013)	Autonomic nervous system (ANS) and the phenomena such as disorders of personality, defense mechanisms and attachment styles; brain plasticity; dysregulation affect; the ego and the right hemisphere
Matto, H. (2013)	Mirror neurons, empathy
Farmer, R.L. (2009)	Mirror neurons, brain development of children and adolescents, trauma, feeling, remembering, learning
Matto H., Strolin-Goltzman, J., Ballan, M.S. (2014)	Empathy
Miehls, D. (2014)	Plasticity, right and left brain hemisphere, information processing and memory Potential of reparative relationships
Combs-Orme, W., Cain, P. & Kirby (2003)	The importance of brain growth between the age group of 0-3

Egan, Combs-Orme, & Neely-Barnes (2011) introduce important concepts to social work, such as critical and sensitive periods of development, neural plasticity, cognitive aspects and memory, stress and trauma:

**Critical and/or sensitive period** – it refers to development stages during which a given brain structure or area is particularly receptive to external stimuli and quickly establishes a multitude of connections between the neurons and the vigilant system, each one interacting with other systems.

**Neural plasticity** – it means that the neurons and neuronal connections can grow and change throughout life, and also involve different psychosocial aspects, such as lifelong learning, the influence of the environment on how to process emotions and the influence of stress and trauma on the brain.

**Cognition and memory** – it is the ability to solve and store information and develop solutions to problems. The cognitive process occurs in the cerebral cortex.

**Stress and trauma** – the importance of stress and trauma to the ecological perspective already has a long tradition in social work; however, new findings in neuroscience unveiled the role of brain functions in adaptation and non-adaptation responses to stress and trauma for the person's future development.

In this line of analysis following the neurobiology perspective, Miehl (2011) also focuses on these brain areas and functions as being relevant to social work practice.

Montgomery (2013) offers examples of shared concepts between successful psychodynamic interventions and neuroscience research, and of their integration into social work practice. The author describes the four major contributions made by neuroscientific findings to the clinical practice, pointing out that three of them incorporate the link between the autonomic nervous system (ANS) and the phenomenon of clinical interventions such as personality disorders, defense mechanisms and styles of attachment. This last point relates to the connection between the ego functions and the

activity of the right side of the brain. The author states that special attention has been given to the field of affect dysregulation because it is considered a main risk factor in a variety of psychosocial difficulties.

Farmer (2014) describes and addresses the implications regarding the relevance of mirror neurons to social work practice. The author refers that "mirror neurons" have important implications for social work theorizing and practice. "Thought research on these specialized visuomotor neurons is still in its early stages, the mirror system (MNS) links visual and motor experiences; makes possible implicit learning via imitation of what is seen, heard, and felt; and is believed to be involved in the development of empathy and understanding the intentions of others" (*Idem*, 2014, p.37).

The author mentions that by integrating these concepts into social work practice, it is possible to deepen our knowledge about behavior and its importance to communication, and the ways of applying such understanding to the design of social interventions; our understanding of the therapeutic relationship between client and practitioner; and the link between the theory of attachment, the social brain and its development. Much of the endeavors undertaken by social work take place in the context of relationships established between social workers and clients, at the core of the aid relationship.

Sayre (2014) explores the connection between the theory of evolution and neuroscience, considering that the combination of the two can enrich the theoretical foundation of social work and provide not only coherence to the way social workers understand the complexity of the world but also guidance for enhanced interventions. The author states that neuroscience is based on Darwin's theory of evolution (Cozolino, 2010; Farmer, 2009) which can provide a different theoretical component to steer the social work practice. "In evolutionary theory, the ultimate function of any adaptation is to increase the chances of gene survival" (cit. in Sayre, 2014, p. 970).

Several authors provide examples of application of neuroscience to social work:

Shapiro and Applegate (2000) discuss the clinical applications of new information about the impact of care provision on early child brain development.

Matto and Strolin-Goltzman (2010) defend the incorporation of social neuroscience into social work assessments and practice development.

Gerdes, Lietz and Segal (2011) address the connections between neuroscientific research on mirror neurons and the measurement of empathy in order to improve client assessment in social work.

Gerdes, Segal, Jackson and Mullins (2011, p. 968), "presented a method of engaging students' mirror neurons for the purpose of improving effective development of empathy: 'Affect-based experiential learning engages mirror neurons at the visual, auditory, and somatic levels, helping us to relate to experiences we may never have had, thereby increasing empathy'".

Egan, Combs-Orme and Neely-Barnes (2011, p. 968) "outlined themes from neuroscience research that can be included in courses in human behavior and the social environment, astutely noting ties to social policy advocacy".

Reyes (2016) also stresses that this knowledge is of the utmost importance to social work practice. The author believes that its findings allow us to understand social, behavioral and human problems and their consequences to individual and social well-being, while also providing a new perspective based on which these problems can be analyzed and addressed, particularly in relation to empathy, mental health, attachment, addictions, neurodegenerative diseases, stress and post-traumatic situations.

According to Matto and Strolin-Goltzman (2010), there are significant links between high-stress environments, such as extremely poor milieus, exposure to chronic violence, scarcity of opportunities and consumption experiences, and the psychobiological imbalance or their increase of the allostatic load (McEwen, 2001), due to the excess or ineffectiveness of the adaptation processes used by people in order to maintain the organism stable (McEwen, 2001).

#### Concluding remarks

Common to all researchers is the emphasis on the need to continually incorporate the neuroscientific perspective into social service as far as training, practice and research are concerned.

"Indeed, from a social justice perspective, social workers have a unique obligation to participate in and contribute to neuroscientific research" (Matto, 2010, p.150).

"Social work has long advocated a biopsychosocial perspective in understanding and treating individual and social problems. (...) Despite an emphasis on a biopsychosocial understanding of human behavior and the relevance of biosocial research to social work practice, it is unclear whether social work is contributing to biosocial research and knowledge."(Maynard, Boutwell, & Vaughn, 2015, p. 1) "

As stated by Miehls (2014), we must always bear in mind that neuroscience findings are constantly increasing and rapidly evolving, making it imperative to be acquainted with them.

This literature review permitted the identification of approaches and theoretical observations on the relationship between social work and neuroscience which underline its importance not only to the training given to social workers but also to their professional practice. However, the research is still limited and therefore the development of new studies in emerging fields is encouraged. Given its expertise and experience in dealing with social problems and promoting human well-being, social work can give an important contribution.

"Despite developments in these lines of research, science has only begun to examine the effects of psychosocial interventions on brain structure and function. More research must be conducted in this emerging field, and the social work profession, with its expertise in addressing social problems and enhancing human well-being, can make a vital contribution to this endeavor" (Garland et al., 2009, p. 8).

As stated by Johnson (2014): "Neuroscience is still a long way from having all the answers. In fact, it's only recently made its entrance. But it offers explanations that can help you answer some of these questions better than you could without it."

It is important to mention the existence of different theoretical and practical guidelines that shape social intervention in social work training and practice at an international level. Not all countries have incorporated the area of clinical social service into their courses, so the contribution of these findings to education begins right here with this question.

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## Measuring Happiness of Akaki Tsereteli State University Pedagogy Department Students

**Maia Akhvediani**

Akaki Tsereteli State University, Associate Professor

**Sophio Moralishvili**

Akaki Tsereteli State University, Associate Professor

### Abstract

The presented survey pursued two main objectives: the first was to examine whether Akaki Tsereteli State University Pedagogy Department students are happy or not and the second, whether they are happy with their learning and teaching processes. In this regard, we conducted survey of 300 undergraduates to reveal the positive and negative sides of the students' lifestyles and educational processes in order to measure their happiness and find correlation between them. It is generally acknowledged, that the happier we are the more successfully we perform. Thus, by identify the major determinants of student satisfaction, we can create better environment, modify and advance the study of our students.

**Keywords:** general happiness, university students, correlation, happiness in education Success is not the key to happiness. Happiness is the key to success.

*If you love what you are doing, you will be successful.*

*Herman Cain*

### Introduction

The Department of Pedagogy at Akaki Tsereteli State University based on the ninety- five-year tradition of teacher training, educational and scientific research aims to educate professional teachers who will contribute in the development of Georgia through accumulation and dissemination of innovative knowledge. The Department promptly responses to the challenges of changeable environment and constantly strives to enhance the quality of teaching and learning.

In this regard, the Department of Pedagogy conducted survey of bachelor students of the Faculty of Pedagogics. The aim was to reveal the positive and negative sides of the student's

lifestyle and educational processes in order to measure their happiness, to identify problems, to work out strategies and action plan and ensure timely intervention for their prevention.

### What is Happiness

The pursuit of happiness is a human aspiration– a universal goal. We all want to be happy, and we feel the need of it, because happiness is important (Lyubomirsky & Sheldon, 2005; Boven, 2005; Berbner, 1998). We search for it with all our might, our thoughts and actions focused on only one goal in life – to be happy. Traditional wisdom tells us that if we work hard we will be more successful, and if we are more successful, then we'll be happy. But recent discoveries in the field of positive psychology have shown that this formula is actually backward: Happiness fuels success, not the other way around. When we are positive, our brains become more engaged, creative, motivated, energetic, and productive at work and study. Shawn Achor(2005) in his bestseller "The Happiness Advantage" explains how we can reprogram our brains to become more positive in order to gain a competitive edge at work. This, means that the happier we are the more successfully we perform.

Another theory related to authentic happiness suggests, that happiness could be analyzed into three different elements that we choose for their own sakes: positive emotion, engagement, and meaning. And each of these elements is better defined and more measurable than happiness. The first is positive emotion; what we feel: pleasure, rapture, ecstasy, warmth, comfort, and the like. An entire life led successfully around this element. The second element, engagement, is

about flow: being one with the music, time stopping, and the loss of self-consciousness during an absorbing activity. There is yet a third element of happiness, which is meaning. The meaningful life consists in belonging to and serving something that you believe is bigger than the self, and humanity creates all the positive institutions to allow this: religion, political party, being Green, or the family.<sup>1</sup>

The study of happiness has a long history. In 350 BCE, Aristotle stated that happiness (also being well and doing well) is the only thing that humans desire for its own sake, unlike riches, honour, health or friendship. Friedrich Nietzsche stated that making happiness as one's ultimate goal and the aim of one's existence "makes one contemptible." Nietzsche instead yearned for a culture that would set higher, more difficult goals than "mere happiness." Since the 1960s, scientific disciplines have conducted research on happiness, to determine how humans can live happier lives. The scientific pursuit of positive emotion and happiness is the pillar of positive psychology, first proposed in 1998 by Martin E. P. Seligman (2002).

Traditionally, sources of happiness were also different. Some related good spiritual life with real happiness, some considered good health as the key to it, friendship, family, love, education, ability to forgive, stages of individual development and so on. Happiness is a growing research area in economics. According to a recent review by Kahneman and Krueger (2006) economic papers analyzing data on self-reported life satisfaction or happiness have risen

from a mere four in the period 1991–1995 to more than 100 papers during 2001–2005.<sup>2</sup>

According to Diener (1999) and Argyle (2002)<sup>6</sup> who reviewed relationship between education and happiness there seems to be small but significant (positive) correlations. The effect of education on happiness comes from work (better and more satisfying jobs), from occupational status and, finally, from income.

According to the reviews of education and happiness by Diener (1999) and Argyle (2002) there seems to be 'small but significant positive correlations' between education and happiness. Nell Nodings (2004) in his research has also found that happiness and education are intimately connected. Though, in their research Frey and Stutzer (2002) have pointed out that the relationship between individual happiness and social wellbeing towards economic growth has diminished or broken-down, especially in developed nations. Others relate happiness with health and behavior (Meyer & Janney, 1989; Voeltz & Evans, 1982; Carr, 2007).

In short, studies show that education may increase happiness, but only indirectly and only after receiving it. So, in a way happiness is a return from education. But what about those who are still at university? What about their satisfaction with university life?

### **Can Happiness Be Measured?**

Thus, happiness is something which could be learned, generated and analyzed. We might assume that happiness is a feeling that is felt inwardly and it could be hard to measure it. In fact, several scales have been developed to measure happiness: The Subjective Happiness Scale (SHS) is a four-item scale, measuring global subjective happiness. The Positive and Negative Affect Schedule (PANAS) is used to detect the relation between personality traits and positive or negative affects at this moment, today, the past few days, the past week, the past few weeks, the past year, and generally (on average). The Satisfaction with Life Scale (SWLS) is a global cognitive assessment of life satisfaction. The 2012 World Happiness Report stated that in subjective well-being measures, the primary distinction is between cognitive life evaluations and emotional reports. Happiness is used in both life evaluation, as in "How happy are you with your life as a whole?", and in emotional reports, as in "How happy are you now?" and people seem able to use happiness as appropriate in these verbal contexts. Using these measures, the World Happiness Report identifies the countries with the highest levels of happiness.

### **The Aim of the Study**

The objective of our study was to investigate the overall happiness of Pedagogy Department students' and determine how happy they are with university life. From the very beginning we assumed that studying more about happiness, using its concepts and theories and later on exploiting its results would be very beneficial to the faculty, especially to the university and its students as it will also serve as vivid indicator of the quality of human resource the university produces.

<sup>1</sup> <https://www.authentic-happiness.sas.upenn.edu/learn/wellbeing>

<sup>2</sup> <https://www.sciencedirect.com/science/article/pii/S0191886901002136>

## Method

To check the overall happiness of our students we used **The Happiness Index survey questions** from the following web-site: <http://survey.happycounts.org>. In order to check students' satisfaction with university and education we used a questionnaire similar to that of Chan (2005). He used survey data from the University of Western Australia to obtain information on the most important factors influencing student satisfaction and happiness. We modified some questions and adjusted to your purposes. Overall, our aim was to find out factors of general happiness as well as how satisfied our students are with university life and, finally, what determines their satisfaction as students.

We uploaded the survey questions at Pedagogical Department Blog and bachelor students after their mid-term exam were asked to fill in the questionnaire on line at [https://atsupd.blogspot.com/p/blog-page\\_69.html](https://atsupd.blogspot.com/p/blog-page_69.html). Totally, 360 bachelor students participated in the survey.

For the research method we have used the **correlation** to analyze the interconnection and interrelation between two independent surveys, as this method clearly illustrates the relationship between two independent variables.

Correlation means association - more precisely it is a measure of the extent to which two variables are related. If an increase in one variable tends to be associated with an increase in the other, then this is known as a positive correlation. If an increase in one variable tends to be associated with a decrease in the other, then this is known as a negative correlation. When there is no relationship between two variables this is known as a zero correlation. Thus, the advantage of the correlational research method is the ability to prove a positive or negative correlation between two subjects.

In our survey two variables were: general happiness and happiness in education. Conducted analysis gave us possibility to observe in which questions there was positive correlation. In addition, it provided us with specific results which required from the Department further in-depth analysis and solutions.

## Results and Findings

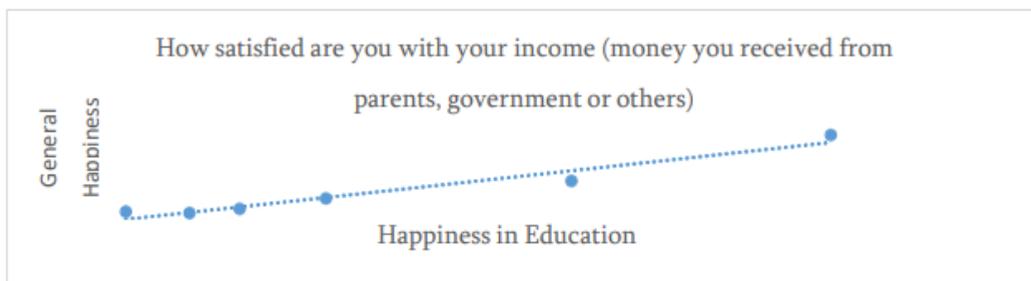
The first part of the survey was dedicated to the students' profile, which showed that majority of participants were female between 19 and 22. More than 70% were unmarried and more than 46% did not have children. The Year level of the participants was the following:

Year Level	First Year	Second Year	Third Year	Forth Year	Total
	128	82	99	51	360

Correlation Between General Happiness and Happiness in Education at ATSU Pedagogy Department revealed the following outcomes:

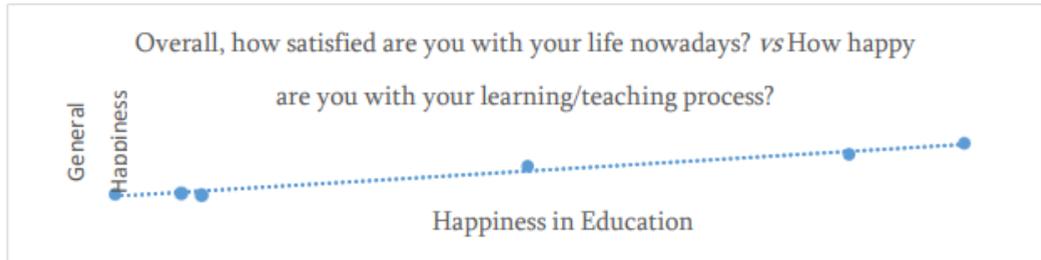
Correlation of the questions „How satisfied you are with your income (money you receive from parents, government or others) in two different questionnaires is positive, and almost equal to one (0.98), indicating that on average, 98% of respondents gave the same answer, which was quite logical and predictable, since the surveyors filled both questionnaires.

**Table 1**



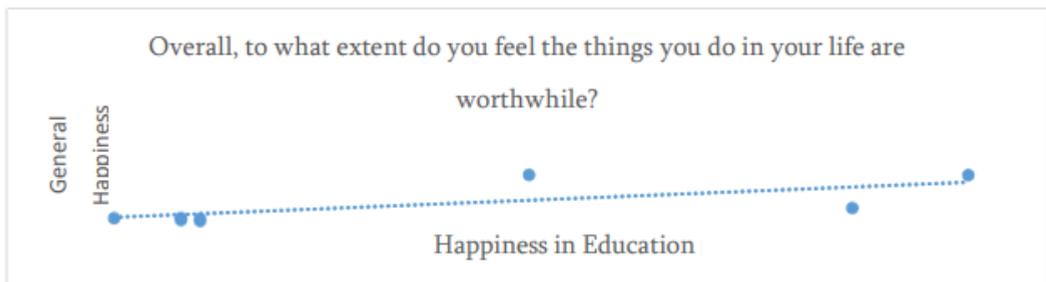
Based on correlation, we may conclude that 85% of the respondents are satisfied with the teaching process and are also satisfied with life in general. As correlation is positive between these two questions, we can also conclude that 85% of people who complain about the level of life are also dissatisfied with the teaching process and vice versa. However, it should be noted that only 3% of respondents are dissatisfied and therefore represent minorities.

**Table 2**



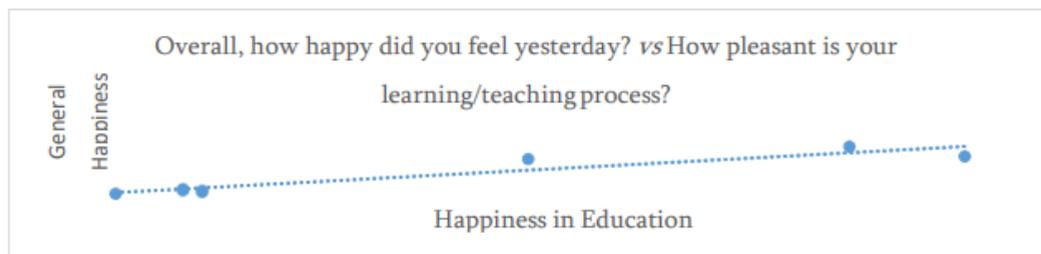
The number of respondents, satisfied by learning process differs from the number of students who consider what they do in life is important so far. This is also indicated by the correlation rate which is relatively low  $R = 0.7$ .

**Table 3**



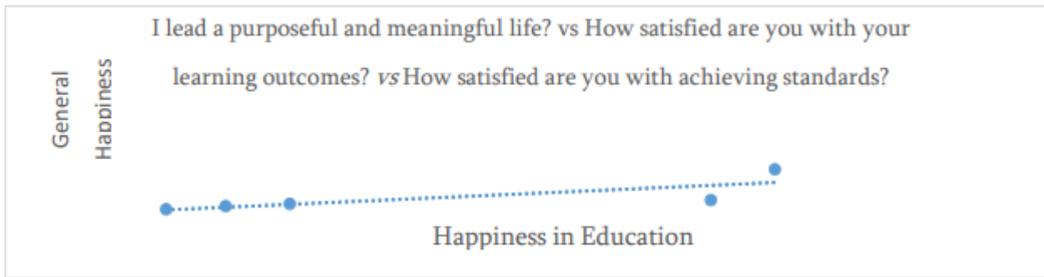
According to the survey, those who are satisfied by the education process, confirm that they were happy yesterday. As for the relationship between two questions, the correlation is positive and is close to 100%  $R = 0.94$ .

**Table 4**



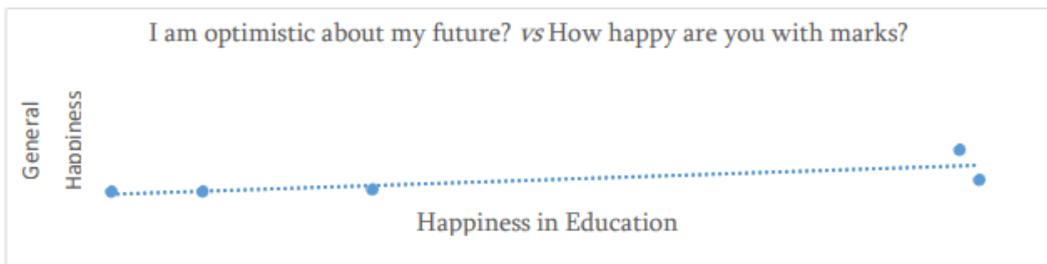
Correlation is comparatively lower between two questions: "How satisfied are you with learning outcomes" and "I lead a purposeful and meaningful life". Due to the fact that 60% is not the less content with the learning outcomes, while 16% considers life meaningful, it can be concluded that the respondents' attitude to these questions was different, which is also indicated by the correlation  $R = 0.79$

**Table 5**



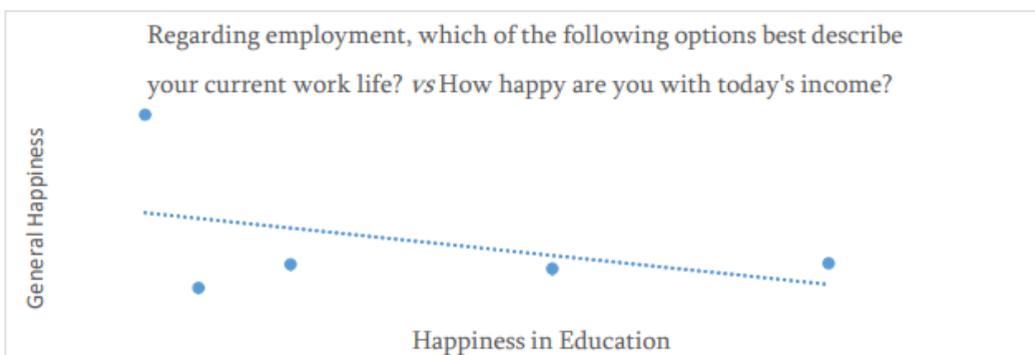
Only 76% of the respondents are optimistic about their future. On the other hand, 90% of students are satisfied with the assessment results. The correlation between these two questions shows that they are not 100% dependent on each other, although 78% positive attitude is observed, which indicates that 78% of the respondents gave the same answers to these independent variables.

**Table 6**



The correlation is negative between two questions "How happy are you with today's income?" and "Regarding employment, which of the following options best describe your current work life",  $R = -0.42$ . This indicates that currently, most of the respondents are not satisfied with their job status, which is quite natural for students, since most of them are still unemployed and or have a desire to start work.

**Table 7**



**Conclusions**

The first main objective presented in this paper was to examine whether Pedagogy Department students are happy or not. The answer to that question was a strong yes, in 85% of cases. Secondly, when asked whether they were happy with their university life, the students' answer again was a strong yes, in 85% of cases.

Based on two surveys, we may conclude that majority of our students are satisfied with the learning process and are also satisfied with life in general. Thus, both figures correlate closely. However, it should also be noted that only 3% expresses dissatisfaction with both general life and university life. We were quite happy to find out, that even those students who do not consider worthwhile what they do in life, still find learning and teaching processes pleasant. Our prediction was confirmed by the fact, that those who are satisfied by the education process generally feel happy. Another notable point for us was the fact, that only 60% is more or less satisfied by learning outcomes, although 90% of students are satisfied with the assessment results. The most disappointing is the fact, that most of the respondents are not satisfied with their work life and income, however it could be explained by the fact, that they are still undergraduates and lack qualification.

In general, we may conclude that relationship between two surveys were logical and predictable. With the help of statistical analysis and visualizations we were able to drill down and surface implicit key drivers. Moreover, positive correlation proved assumed outcomes in each questions relationship, even in those questions where correlation was negative. On the basis of the above mentioned, we strongly believe that Happiness in Education and General Happiness have strong, positive and linear relationship.

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## The Impact of Institutional Obstacles and Facilitators on Innovative Firms in Kosovo

Albulena Kadriu

### Abstract

The main aim of this study is to investigate the impact of institutional obstacles and facilitators on innovative firms in Kosovo. In addition, we explore how the European and regional cooperation schemes help innovative entrepreneurs in Kosovo gain access to missing resources, financial capacities, and develop current institutional framework.

**Keywords:** The Impact of Institutional Obstacles and Facilitators on Innovative Firms in Kosovo

### Introduction

#### Theoretical and conceptual issues

Institutional theory views SMEs as entrenched in institutional arrangements (Busenitz, Gomez and Spencer, 2000). These institutional arrangements impact the activities of organizations and individuals in subtle but wide-ranging ways (Scott, 1995, 2002), which in turn affect SMEs decision making to develop and produce (Lau, Tse and Zhou, 2002; Hitt, Ahlstrom and Dacin, 2004) and strategies (Peng, Wang and Jiang, 2008).

This theory assumes that institutions are relatively stable over time and, in fact, can be difficult to change (Brint and Karabel, 1991). Thus, in much of the research for developed economies, the time frame examined may include multiple decades, but in transition economies, change can be more compacted and dynamic. Thus, the typical perception of institutions as static and unchanging is not appropriate for transition economies since they have experienced an emphasized institutional upheaval in a short time (Newman, 2000). One of the main factors for this dynamic change and deinstitutionalization is the cooperation of local firms with international partners (Scott, 2002). The process of deinstitutionalization happens due to different sets of values, practices and systems of partners who find it difficult to integrate them to a common framework without implementing additional adjustments (Parkhe, 2003). The deinstitutionalization and weakening of current institutions lead to a search for re-institutionalization of new adjustments and solutions acceptable by both partners. Although, the presence of international alliances initially weakens current institutional framework, in long term institutions improve because organizations tend to model themselves after similar organizations which are perceived to be more legitimate or successful (Powell and DiMaggio, 1991).

Previous studies have shown that network created by cooperation of firms with each other can increase the creativity and the performance of firms (Powell, Koput and Smith-Doerr, 1996). Firms use networks to gain access to missing resources (Spekman, Isabella and MacAvoy, 2000; Rothaermel and Boeker, 2008) financial capacities, research and development facilities (Premaratne, 2001) and referrals and contacts (Stuart, Hoang and Hybels, 1999). In addition, network boost the ability to compete (Pfirrmann, 1998), increase economies of scale and scope (Gomes-Casseres, 1997), collaboration, learning and opportunities (Hamel, 1991; Massa and Testa, 2008) and efficiency (Ahuja, 2000).

However, firms that are part of network or alliances have to face challenges as well. For example, they can be seized by the larger firm (Alvarez and Barney, 2001) or lose control when cooperating with them (Gomes-Casseres, 1997). In this context, alliances offer opportunities for cheating, poor investment in joint projects, and no fulfillment of responsibilities and commitments (Ahuja, 2000). Despite these network weaknesses, SMEs understand that it is crucial to build a complex network that enables different domestic and international participants to share knowledge, benefit from complementary competencies (Bullinger, Auernhammer and Gomeringer, 2004) and survive market competitiveness (Dodgson, Gann and Salter, 2006). Finally, foreign firms provide to local SMEs new ideas that help them enter market with new products (Liefner, Hennemann and Xin, 2006).

## Data collection

To critically investigate the impact of institutional obstacles and facilitators on innovation and explore European and regional cooperation schemes of innovative entrepreneurs in Kosovo we will be using interviews as a qualitative method. This approach starts from the expected relationships as identified in the existing literature and involves a movement from theoretically derived propositions to the collection of data with which to test those propositions.

Considering that structured interviews reduce the opportunity to extract more information and validate the researcher's preference (Gray, 2013), I have decided to use semi-structured interviews, in which the researcher allows respondents to disclose more information on their own. Semi structured interviews aim to collect qualitative data and act as a guideline to the interviewer, while allowing a certain degree of control to the researcher. Initially, 40 interviews designed as per existing protocol in literature (Gray, 2013; Easterby-Smith, Thorpe and Jackson, 2012) are planned to be conducted. This number may change referring to that point at which we sense we have encountered the amount of repetition that gives us the confidence to write and make analytical generalisations (Baker, Edwards and Doidge, 2012).

## Methodology

The approach to be adopted for data analysis will be based on the instructions generated by earlier researchers (Creswell, 2003; Denzin and Lincoln, 1998). Initially raw data obtained from the questionnaires will be coded for descriptive statistics. In addition the process will continue through following steps: reading through the data, underlining themes and making notes to get an overall sense of its meaning. Initially emerging themes will be noted and categories will be formed with respective codes attached.

The analysis of qualitative data will be compared through a matrix that has the key themes generated from theory and prior research. In the second step, the grouping and generation of concepts will be done. Mapping and interpretation will be done in the third stage, where similar cases will be grouped. In the final step, the results in narratives including quotes lifted directly from the framework matrix to support my arguments will be written up.

## Research Plan

Research plan	May 2018	June 2018	July 2018	August 2018	September 2018	October 2018	November 2018	December 2018
Kick off workshop in Thessaloniki, Greece								
Literature review								
Conceptual Framework and theoretical model								
Design of Semi-structured interviews and data collection								
Data analysis								
Results								
Discussions								
Revision and submission								

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## **Effectiveness of a Training Program Based on Investing in the Educational Portal for Developing the Skills of Administrative Staff in the Basic Education Schools of Dhofar Governorate in Oman**

**Khalid Muslim Al Mashakhi**

College of Arts and Applied Sciences, Dhofar University, Salalah, Oman

**Sobhy Ahmed Soliman**

College of Arts and Applied Sciences, Dhofar University, Salalah, Oman

**Manal Obaid**

Database Specialist, alkharif School, Salalah, Oman

### **Abstract**

The aim of the study is to identify the effects of a training program based on investing the educational portal in developing the skills of the administrative staff in the basic education schools in the Dhofar governorate. To achieve this aim, a training program was designed which contains skills of the educational portal which are required in the administrative staff and to measure its effect. A questionnaire was prepared to define the training needs and an observation card was developed to record the performance. The sample of study consists of 70 administrative staff. The researchers used the analytic descriptive curriculum to define the training needs and design the training program, and also the experimental curriculum to implement the training program. The results gave rise to have statistical indications at a level less than 0.01 for the dimensional means of the individuals of the research sample in the results of the observation card of performance. In terms of the effect of the training program, the program achieved a positive influence in the performance of the administrative staff in their applications through the educational Portal. Also, the results gave rise to have a great influence size of the training program of 0.98 (Eta  $\eta^2$ ). The most important recommendation that emanated was the adoption of the training program by the Ministry of Education and developing a Training Center based on the educational models prepared by the researchers as a reference for field work in the public schools of the Dhofar Governorate.

**Keywords:** Effectiveness, Training Program, the Educational Portal, The administrative Staff

### **Introduction**

The great developments that the current age has witnessed in technology and the educational and cognitive outbursts influenced the society tremendously. The society is exposed to the continual change and development especially in the educational and administrative fields. El-Hanaey (2011) recommends that in the midst of these developments, it is obliged on the staffs and the specific and official information centers with all their activities and interests aspects to start putting up plans, draw policies to develop effective education and communication systems which collaborates with the national and international information networks, take care of preparing the technical elements and human resource who are specialists in the information field and its networks and the different communication systems especially in the context that several countries have adopted the principle of the electronic governance to conduct the daily governmental works electronically and to secure the interactive services for the citizens and different sectors of works in these countries. (El-Hanaey, 2011).

All the private and governmental sectors in different countries of the world are in a hurry to continuously develop and renew the field of education and learning and also revamp the professional preparation of the human cadres. We see them seeking to employ the modern technology and design the internet websites, systems and programs to use them for establishing contacts between the president and the employees within the same system. Hill (2000) claims that with the variety of the systems and programs, the governmental staffs and companies compete among each other and seek to create all of what is new to develop the educational process as a whole and the human cadres as specially. (Hill, 2000)

In view of the crucial needs of connectivity and speed of work, the educational portal project was approved subject to a comprehensive future examination and inspection to put an interactive educational system and a digital environment connecting the educational process elements in an electronic way (the student, the teacher, the one in charge, the school, the ministry) based on the internet through a group of programs, computerized systems to facilitate the educational process and connect large number of users through the electronic services presented by the educational Portal in order to secure an interactive and attractive education using creative and developmental techniques and means. This, according to the Ministry of Education (2008), in turn leads to improve the evaluation and reform processes, to develop the educational curriculums, to secure the electronic curriculums and the modern means of education in the educational Portal. (The Ministry of Education 2008).

In view of the continuous encouragement for the electronic governance El-Harithy (2008) is of the opinion that the project of the educational portal is not only important to the Ministry of Education, but it is also important to form one of the supports in which the future direction of the nation depends. Based on this premise, the project aims and tries to enhance the standard of the technical knowledge in the Sultanate of Oman by effectively and accurately dealing with different techniques and programming suited with different applications and usages in order to help in building highly qualified Omani cadres and permit them to convey the professional knowledge from a generation to other generation. We expect that the project will help in developing the office and administrative work by creating an effective system to manage the documents and decrease the consumption of papers and facilitate the administrative procedures including organizing the work and securing an electronic administrative system that is capable of creation, invention and development in the field of work.

In view of this generative technological development, it is required to take care of preparing the educational and administrative staff to cope with the quick changes around them and participate in providing them with the skills and the information that are necessary to deal with the modern curricula including the values, the conceptions and the skills that aims to improve the conditions of education and develop the educational means and methods that can achieve the desired hopes and intended aims. This is what Hill (Hill 2003) comments on the aims of education, that is preparing the individuals who are able to interact and deal with the computers and control them in different fields of life.

## 1.2 The problem of the study and its questions:

The researchers made an exploratory study with the administrative staff to know the skills that need to be developed and train on them. A questionnaire was made developed, which includes a group of skills connected with using the educational Portal. The exploratory study says suggests that there are a numbers of training needs for the administrative staff such as a school plan, a system of vacations, a financial expenses of the school, supervisory visits, a school schedule, a reserve schedule, absence record, a list of students' affairs, a list of student care, a treatment and enrichment plan, lists of activities, statistics and reports.

In addition to this, it is obvious that:

There isn't a clear work plan and information agreed upon by the Administration of the Education in the Dhofar Governorate for the training workshops inside the schools and particularly connected to the educational Portal.

The majority of the specialists lack training in using the modern techniques in the administrative work, as most of them were educated in Islamic Education, or the Arabic language.

The training programs that are presented by the training center in the Public Administration of Education & Learning Department in the Dhofar Governorate to the specialists related to data management are not enough to train the administrative staff in schools.

The training plan is only based on the training needs of the administrative staff.

In view of the above concerns, it is desirable to work towards raising the standard of the technology performance of the administrative staff and developing their skills in using the educational Portal. As a backdrop, the need for a suitable training program is led by the following main question: How is a training program based on employing the educational portal influenced by developing the performance skills of the administrative staff in the schools of the Dhofar Governorate?

The following sub questions emerge from the main question:

What are the training needs of the administrative staff in the level of the main education in the Dhofar Governorate for using the educational Portal?

What is the training program to develop the skills of the administrative staff attributed to different variables (the age, the qualification, years of experience) at the level of the main education in Dhofar Governorate on using the educational Portal?

What is the effect of the training program on developing the skills of the administrative staff when they use the educational Portal?

### **1.3 The limitation of the study:**

The study is limited to the following-factors:

The Geographic Limitation: The schools of the governmental main education, First Ring (1-4) and Second Ring (5-10) in Dhofar Governorate.

The Human Limitation: The Administrative Staff in the schools of the main education (the first ring and the second ring) in the Dhofar Governorate with the total number of 875).

The Time Limitation: The study is applied during the second term of the academic year 2015 / 2016

The Objective Limitation: The study focuses on: The skills of using the educational portal of the administrative staff, a school plan, supervisory visits, a vacations system, a list of students'affairs, a form for developing the performance of the school life, the system of the financial expenses of the school, receiving the applications of transferring the students from one school to another, a system of the daily wages, an educational forum plan, extracting a certificate of belonging to the student.

### **1.4 Terms of-reference for the study**

The Educational Portal: It is a means of connection between the rules of the data list of the Ministry of Education and the administrative staff of the ministry. It can be accessed through two means: The browser, that is the electronic website of the ministry or through the voice which is the telephone line (The website of the educational portal in Sultanate of Oman).

The Training Program: The researchers define it procedurally as: A training program designed to develop the skills of the administrative staff of the basic education schools in the Dhofar Governorate of Oman by enhancing the points of strength and dealing with the points of weakness through the training sessions of the educational portal in the light of their training needs.

### **1.5 Research Purpose:**

The study aims at the following related to the state of education in the Dhofar Governorate in using the educational Portal:

Defining the training needs of the administrative staff.

Building a training program to develop the skills of the administrative staff.

Identifying the effect of the training program of the skills of the administrative staff.

### **1.6 Significance of the Study:**

The importance of the current study can be seen in terms of the following:

Making use of the proposed training program in planning and carrying out other future programs to train the administrative staff in using the educational portal and other related educational programs.

This program can be popularized for the administrative staff in the other governorates of the country.

Presenting a complete program of skills for applying the educational portal of-Ministry of Education to newly recruited administrative staff.

The Dhofar Training Centre may get an opportunity to conduct training programs for the administrative staff of the other regions.

The results of this search can define the points of strength and weakness in the performance of the administrative staff. This can help the teachers to enhance the sides of strength and treat the sides of weakness in their performance.

The results of the research are useful to direct the responsible on the professional development of the administrative staff in the education corporations towards using the technology efficiently.

Making use of the educational models which is prepared before by the researchers – by printing and popularizing them on the schools of the main education in the Dhofar Governorate.

## **2. Literature Review**

The theoretical field includes defining the training programs, their models of design, the electronic administration the conceptions with a relation as well as the educational portal and what is related to it.

### **2.1 Training Program**

The training is one of the most useful tools for development, as it can be used to cultivate the skills and abilities of the individuals, giving them new ways of performance and developing their knowledge about some of the conceptions that are related to their fields of work. By developing the individual in his abilities, skills and knowledge, it is reflected positively on his performance and contributes in developing the other components of organization in turn (El-Ghamdy 107, 2010). It is a system which is distinguished in its feature by the ability to renew, change, develop and understand the recent.

#### **Defining the aims of the training program:**

The training aim means the amount of change that may happen in the behavior of the trainees and the productivity of the organization. The process of defining the aims of the training program is the first step in the field of putting and designing the training program. This process is connected with planning the training needs that define the features, the abilities, the skills that need to be given to the trainees and the quality of the training programs that needs to be provided and their contents, (El-Ahmed 2005, 212 ), El-Khateeb and El-Anzy 2008, 39).

#### **2.1.2 Choosing the contents of the training program:**

The contents of the training program mean all of what is presented to the trainees of subjects and activities that were chosen according to the aims of the training program, it is done by translating the aims to training subjects, and a series of the lessons that it is sure to be carried out. (El-Khateeb and El-Anzy 2008, 43).

#### **2.1.3 Methods of carrying out the training program:**

They are the methods used to carry out the training, the method is known as that "it is the way that is used to carry out the training process by the available possibilities and methods".

#### **2.1.4 Carrying out the training program:**

These steps related to carrying out the training program out can be classified into:

Before carrying out: It includes (defining the place of carrying out the program, choosing the trainers and the lecturers, preparing the training subjects, preparing the daily and executive program of the training course, making sure of the technologies of the education and the educational methods and if they are ready to work, getting the agreements of the field visits from the responsible administrations.

During carrying out: It includes welcoming the participants and the trainers, opening the program and showing its subjects to the participants to discuss them, getting the participants acquainted with the trainers, following the participant's duration, distributing the forms of the daily and final evaluation and collecting them, preparing certificates with the names of the participants in the training and distributing them after finishing the program.

After carrying out: It includes calculation the balance of the program, preparing the final report of the program and writing it, keeping the documents of the program, distributing the documents of attendance or success to the participants in the final meeting (El-Taaneet 2007), (El-Ahmed 216 2005).

#### **2.1.5 Evaluating the training program:**

This process is one of the most important periods of the training program, as during this process, the changes that can be achieved, can be determined. This process is necessary to make sure of how the aims of the training program are achieved and its valid to get the training needs that it was designed for. This evaluation is an essential and important part in designing and carrying out the training program in order to make sure of achieving the aims of the training program, and their harmony

with the aims which are planned for it to correct the way and achieve the aims. The process of evaluation means making a practical decision related to the training processes according to the evidences that came out from the field practices.

### 2.1.6 The models of designing the training programs:

There are numbers of the models of the training design which are used to prepare professional training programs for teachers. These models include a group of the organized procedures to grantee preparing the training programs according to a determined curriculum. One of the most important models, is "Hamurous Model" of the educational system, "the Tuckman & Edwards Model", this model is designed on the base of analyzing the educational mission, the modified model of "Deck & Kerry", " the Kemp Model" which is distinguished by comprehensiveness. This model consists of eight elements as showed by figure 2.

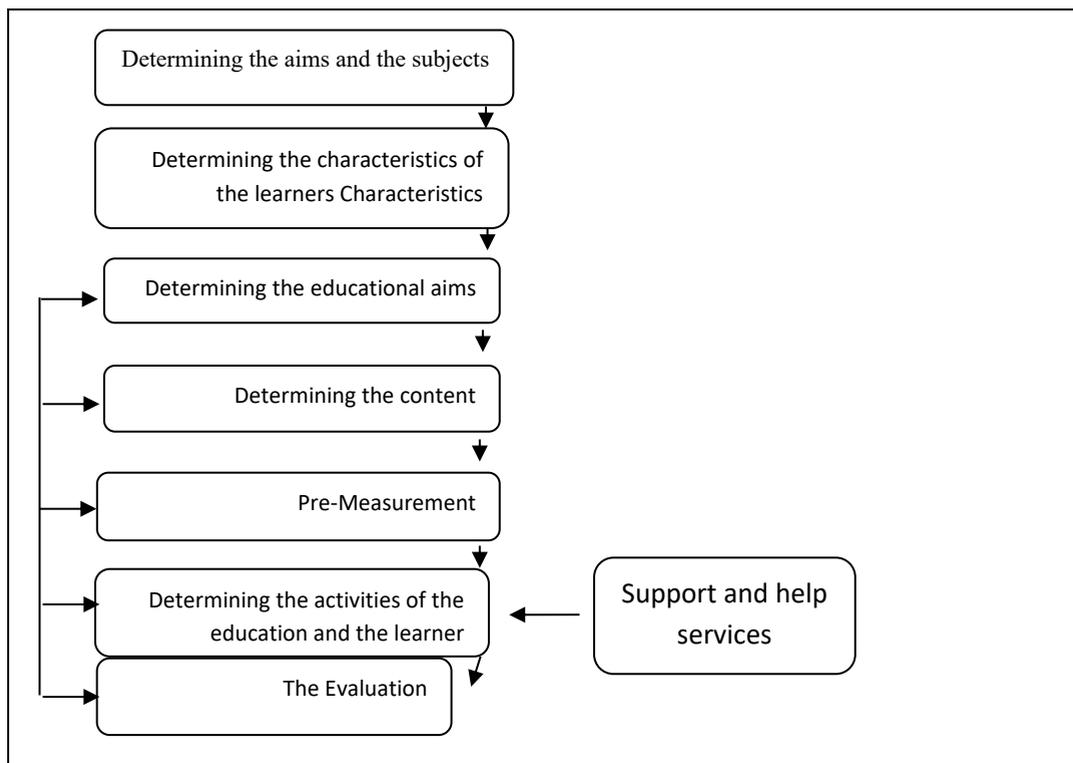


Figure 1. Kemp Model, El-Dekhail (2006)

There are several previous studies which have dealt with the training programs that are based on determining the training needs. These models were used such as the study of Saleh & El-Mouse, 2011, that focused on determining a suggested program in the technology of education for the trainers o the teachers in Sultanate of Oman according to their actual opinions. The study recommended making use of the implements of the suggested program and designing the rest of models by the same way in which the first model was designed by, taking care of popularizing the program to be reasonable to the practicing environments and to be adapted to them.

### 3. The Educational Portal:

The electronic educational portal is one of the pioneer applications of the modern information technology in the educational field, and a new addition on the way of the national convert towards the society of knowledge. It is in the procedures related to the national strategy of the national society of Oman and a series of its vocabularies. (The ministry of Education 2008)

This is based on the ministerial Decision (55/ 2006) attachment 6. which according to it, two committees were held to apply the project of the electronic education and followed its execution.

### **3.1 The Importance of the Educational Portal:**

The Ministry of Education enhanced its use of the technology of information by the inauguration of its experiment in the electronic portal at the end of 2007, to let the portal to be the place that links the elements of the educational process electronically through a group of several programs and services that it has by using the internet to achieve activating the educational process, make it interesting, facilitate, control and organize the whole procedures related to the education and the learner (Educational e-portal) (Ministry of Education 2010).

The study of (El-Gahfaly, 2014) came to identify the influence of the services of the educational portal from the opinion of the heads of the departments and the headmasters in the general administration of education in the Dhofar Governorate in the Sultanate of Oman. This study got that the influence of the services of the educational portal from the opinion of the heads of the departments and the headmasters of schools was in a high degree on the level of the fields in general, and that the headmasters of schools were more evaluated to the influence of the services of the educational portal (in general) in the field of "The services of the educational portal to the administrators" than of the heads of the departments with statistical indication differences. The study recommended the necessity of the Ministry of Education to develop the awareness of the students with the services which the educational portal presents to them through folders, leaflets hanged in the school, and to present workshops to the students showing how to use the windows of the educational portal and recommending to carry out the training programs emerged from diagnosing the needs of the headmasters of schools and the heads of the departments?

### **3.2 The aims of the project of the Educational Portal:**

The project aims at achieving several of aims such as:

Connecting the society with the aims of the Ministry of Education through presenting electronic services and updating their data.

Enhancing the quality in the educational process, through ensuring an interactive attractive education using the modern technologies.

Developing the administrative work (from traditional to electronic) by inventing a system to manage the documents and archiving them through decreasing the expenses including the consumption of papers.

Supporting making decisions through ensuring the accurate data to the reports especially in the field of the educational planning.

Raising the level of organization by contributing in the educational planning.

Merging the ministry within the electronic government by supplying the other ministries by the electronic method and the necessary data and receives them.

The professional creation by employing the abilities of the employee to the creation, invention and development in the field of work (Ministry of Education 2010)

When many studies discussed the fact of the educational Portal, such as (El-Hanaey, 2011), as the most important results of it the fact of employing the educational portal in the school administration in the schools of the main education in the Muscat and El-Berimy Governorates were often high. The administration of the basic education schools face difficulties in employing the educational portal in The Sultanate of Oman.

## **4. The procedures of the study**

### **4.1 The curriculum of the study:**

This researchers in this study used three curriculums which integrated with each others to show to bring it out, these curriculums are:

The Descriptive Curriculum: to identify the necessary skills for the administrative staffs when they use the educational Portal, then determine the needs of the administrative staff in the essential stage.

The Constructive Curriculum: The researchers used the constructive curriculum to build the program and measure its influence in developing the skills of the administrative staff in employing the educational Portal.

The Experimental Curriculum: The researchers used the experimental curriculum to test this program and study its influence as the experimental group deal with the program that the researchers made and apply the tool of the research: the notification card, a prior and posterior applying on this group.

#### **4.2 The community and the study sample:**

This community of the study includes all administrative staff in the basic education schools (The first ring – the second ring) from the first grade to the tenth grade in the educational schools in the Dhofar Governorate, the Sultanate of Oman who are about 875 according to the annual book of the educational statistics in the general administrations of education in the Dhofar Governorate of the year 2014-2015. The administrative staff of each school was aimed about 70 by the percentage of 8% of the community of the study.

#### **4.3 tools of the study:**

A questionnaire to determine the training needs of the administrative staff to develop the skills of the educational portal by the researchers – Attachment No 2.

A notification card of the skills of the educational portal by the researchers – Attachment No 3.

##### **4.3.1 A questionnaire to determine the needs:**

After reviewing the educational literature and the previous studies related to the problem of the study and surveying a sample of the administrative staff by asking the questions on them and through the informal personal interviews, the researchers built a list of the skills of the educational portal that should be existed in the administrative staff, then built the questionnaire according to the following steps:

- Determining the essential dimensions that were in the questionnaire.
- Forming the parts that came under each dimension.
- Preparing the questionnaire in its introductory shape which included (121) passages and the attachment 1 shows the questionnaire in its introductory shape.
- Showing a list of the skills of the educational portals and the questionnaire to a number of arbitrators.
- The stability of the questionnaire was evaluated on the individuals of the random exploratory sample out of the sample of the study consists of 20 from the administrative staff by using the method of Cronbach's Alpha coefficient, as the stability coefficient was 0.987, and they are high values. This indicates that the stability with a high degree of stability reassures the researchers to apply it on the sample of the study.

##### **4.3.2 Preparing the observation card of the practical performance:**

An observation card of the performance of the administrative staff was prepared to the steps of the educational portal skills. It consisted of 80 statements describing the actions of the trainee which are necessary in each step of the performance steps to include the different performance sides of the skills. It took into consideration in forming the statements to be short. The statement should include one behavior, then built the card of observation according to the following steps.

The truth of the observation card: it was showed on a group of the experts to survey their opinions on how the items of the observation card achieve the educational aims, and the accuracy in forming the items of the observation card. The researchers made the necessary modifications which the arbitrates recommended with.

The stability of the observation card: The stability of the observation card was calculated by the style of multiplying the observers on the performance of the administrative staff to the one person. The coefficient of agreement was calculated among their evaluation of the performance. The performance of three of the administrative staffs who subjected to the skills related to the educational portal was calculated through the field experiment of the program. Then the coefficient of agreement of the observers was calculated on the performance of each student in private, as the average coefficient of agreement of the observers of the three administrative staffs more than 96% which means that it is entirely stable as it is showed by table No 1.

Table 1. *coefficient of agreement between the observed in the cases of the members of the three administrative body.*

Mission to be achieved	The coefficient of agreement in the first case	The coefficient of agreement in the second case	The coefficient of agreement in the third case
Skills of dealing with external applications	98%	96%	97%

## 5. Preparing and building the training program

The researchers relied on building the program on research and previous studies, educational design, and models by following the "Kemp" model for designing educational and training programs and modern trends in technology education. The researchers followed a number of steps to prepare and construct the program:

Identifying trends: This phase included identifying the training needs by presenting them at the first rank of the educational portal skills, which stems from the questionnaire to determine the needs, which included 10 main topics (external applications, organizing students, organizing calendar tools, school schedule, Student care records, school administration, and school buses) that require training.

Selecting the topics or work tasks to be addressed, and then determining the general objectives appropriate to the subjects and tasks: These tasks are the same as the titles included in the skills of the above mentioned educational portal and then get the general goal from the list, where each topic reflects the general goal of the overall objectives of the program.

Determining the characteristics of the trainees in which the scientific and personal characteristics (qualifications, experiences, specialization) have been identified for the trainees who have received training courses.

To determine the content of the substance to analyze its important components associated with the specific goals and objectives; at this stage, the program's main subject is analyzed into sub-themes.

Setting the learning objectives to be achieved in light of the content of the material and the components of the task

To design the appropriate training activities to achieve the specific objectives. at this stage, the activities and practices implemented by the trainer and the trainee during the course of the training program were identified, as well as the nature of all activities.

The selection of educational resources supports educational activities in these cases sources, tools, mechanisms and devices supporting the educational activities that are implemented in the training program have been identified.

Identify support services required for the construction and implementation of productive educational activities and materials and services that will assist in the implementation of the training program such as furniture and budget and are required to implement the program's disciplinary activities.

Prepare the calendar for training and training program tools are designed to evaluate the training program to see the extent of achievement of the objectives and treatment of deficiencies in it.

To determine the readiness of the trainees to study the subject using the pre-test; and to apply the measurement tool (observation card) to measure the level of skills that the trainees possess prior to joining the training program

## 7. Basic experiment Procedures

The basic experiment went through the following stages:

### 7.1 The empirical research sample

The sample of the research used in the basic experiment consisted of 9 of the administrative bodies in the basic education schools in the Dhofar governorate, out of the total number of 20 of the administrative bodies, they were targeted, and considering the pressure of the study work, only 9 were present. The program was applied to one pilot group and the program was implemented in three phases:

The observation card was applied in advance to the sample, to measure the degree of performance before implementing the program.

The course was implemented through the introduction of the content of the questionnaire, which included theoretical and practical aspects through explaining the skills of the educational portal. The theoretical side was in the form of educational modules prepared by the researchers for all the axes of the observation card 10 of which 80 paragraphs, and the practical side was applied skills of the educational portal directly from the educational portal.

The observation card was implemented later, in order to know the level of performance of the administrative body in the application of the skills of the educational portal and the effectiveness of the program in developing the skills of the sample individuals.

Table 2. shows the division of the basic research sample.

Group	Number of students at the start of the Test	Number of students who passed the Test	Number of absent Students
Experimental	9	9	-
Total number	9	9	-

The sample of the experimental group is shown in table 2 we note that the experimental sample is not absent. The researcher is likely to be absent from the administrative body and its discipline at the time of conducting the experiment is a reason that the experiment does not require more than four hours per day over three days for each sample of the administrative body, as well as selecting the dates for conducting the experiment was suitable for all students and finding the research sample in the study of the program is a different method than the usual methods they are used on.

## 7.2 Preparing for the experiment.

The procedures followed by the researcher in applying the proposed program meetings on a sample of the administrative Staff of basic education schools in the Dhofar Governorate were as follows:

The sample of the research for the basic experience consisted of (9) of the administrative bodies in the primary schools in the Dhofar governorate.

Curriculum meetings and practical performance note cards were printed after these tools became usable according to the required number.

The computer room equipped with multimedia and Internet is equipped to implement the training program.

## 7.3 Application of measurement tools in a pre- application.

Applying the study tool (observation card) to the study sample in a pre and ad post manner to serve the objectives of the study.

Conduct the statistical analysis of the study tool, a note card to verify the effectiveness of the training program.

The researchers obtained results that the training program has a role in the development of the skills of the educational portal, which is the training program.

Explain the results and provide guidance and suggestions based on those results.

## 8. Statistical Treatments:

In this research, the following statistical methods were used (repetitions, arithmetic averages and percentages). To confirm the validity of internal consistency, Pearson correlation coefficient was used to find the coefficient of stability. The coefficient of Cronbach's alpha was used to verify the effect size using  $\eta^2$ .

## 9. Results & Discussion

The results of the study are presented below and interpreted according to their questions:

### 9.1 The availability related to the training needs of the administrative Staff at the elementary education stage in the Dhofar Governorate when using the educational portal?

The need for training needs was based on the average weight of 66% as follows:

### 9.1.1 Averages and Standard deviations of the core of the axis of external applications.

Table 3. *the external applications axis*

No	Training requirement	Average	Standard deviation	Relative weight	Ranking
1	Learn about the latest educational developments	4.15	0.97	83.14	1
7	Print the substitute teacher's contract and record the monthly attendance in the daily wage system	4.15	0.97	83.14	1
5	Use the system of correspondence to send and receive the issued and received electronically	3.88	1.41	77.71	3
6	Use the daily fee system to request an alternative teacher	3.28	5.66	65.71	4
2	Participation in the educational forum of the ministry	3.14	1.26	62.85	5
3	Participation in all internal and external correspondence	2.87	1.20	57.42	6
4	Publish the school's advertisements on the portal	2.55	1.16	14.15	7

Note from Table 3. that the first and second vertebrate paragraphs were removed from the rest of the notes from the first axis, and the external applications of the educational portal skills, and in the last rank came the Publish the school's advertisements on the portal.

The researcher explains this because of the importance of the new developments to show the light of the main educational portal and it is renewed and in constant development to keep the administrative body informed of the beneficiaries of what is new, and contribute to the knowledge of the most important activities and activations organized by the provinces and mandates of the Sultanate and benefit in the field of nurturing, as well as keeping The administrative body in pace with technological development.

### Averages and Standard deviations of the personal axis:

Table 4. *the personal axis*

No	Training requirement	Average	standard deviation	Relative weight	Ranking
2	Record attendance and departure of employees	2.71	1.28	54.28	1
3	Extracting reports on staff data	2.67	1.21	53.42	2
1	Search for employee data	2.60	1.22	52	3

It is noted from Table 4. that the second axis of the educational portal Personnel Affairs was less needed by the administrative Staff of primary education schools (the first and the second) in the Dhofar Governorate - Sultanate of Oman. The arithmetic average ranged from 2.7-2.6 by a standard deviation of 1.2. The researcher attributes this to the fact that the administrative body is sufficiently aware of the priority of the registration of the data in the educational portal system and its use when needed, for use in the educational system as a whole then by the administrative supervisor and material supervisor as well as the manager of the school.

### 9.1.3 Average and standard deviations of the student organization.

Table 5. *the student organizing axis*

No	Training requirement	Average	Standard deviation	Relative weight	Ranking
1	Search for student data	4.02	1.32	80.57	1
7	Inquire about absence at school	3.75	1.37	75.14	2
6	Recording the daily absence of the student and their excuses	3.72	1.14	74.57	3
9	Follow up cases of absence	3.71	1.44	74.28	4
11	Follow-up disciplinary cases Behavioral recording of irregularities	3.64	1.34	72.85	5
10	Follow-up of delays	3.62	1.46	72.57	6
2	Distribution of students on transportation	3.58	1.37	71.71	7
4	Transfer of students between regions	3.52	1.46	70.57	8
8	Follow the Staffs of chapters	2.78	1.08	55.71	9
5	Transfer of students for the new year	2.72	1.22	54.57	10
3	Registration of student selection in school activities	2.60	1.20	52	11

Table 5. shows the importance of the organization of students for the administrative body in elementary schools (first and second paragraph) in the Dhofar governorate, Sultanate of Oman, where the majority of the links are high. The first paragraph (searching for students' data) was ranked first with an average score of 4.02 and a standard deviation of (6.32), while (follow-up of class councils, transfer of students for the new year, registration of student selection in school activities) From average to low where the arithmetic mean ranged between (2.78- 2.60) with a standard deviation between (1.22- 1.08).

The researcher explained the reasons for the need of the administrative body to develop their skills in the educational portal regarding the organization of students, that the students are the basis of the nurture& educational process and it was necessary to pay attention to the discipline of students in the first place before education in terms of regularity and behavioral discipline and this system is now implemented in the educational portal under the name of the list of affairs The Directorate General of Education and Education in Dhofar Governorate said that it is necessary to apply them in public schools. There is also insufficient training for the administrative authority in this field, which explains their need for training in this field.

#### 9.1.4 Average and standard deviations of the axis of the organization of evaluation tools.

Table 6. *the organization of the calendar instruments.*

No	Training requirement	Average	Standard deviation	Relative weight	Ranking
5	Print student results sheets.	3,74	1,48	74,85	1
6	Managing the Grading and processing.	3,70	1,44	74	2
4	Extract student performance report.	3,68	1,46	37,71	3
3	Enter the students' grades to calculate them	3,58	1,53	71,71	4
7	Internal and external accreditation of student results.	3,55	1,55	71,14	5
2	Registration of absent students in the tests and the extraction of their reports.	3,47	1,46	69,42	6
1	Registration of cases of absence and fraud.	3,18	1,46	63,71	7

Table 6. shows that all the subjects of the fourth axis (the organization of evaluation tools) were of a high level due to the importance of managing the results and tests in the government primary school in the governorate of Dhofar Sultanate Oman by the administrative body in the school. And print the results (certificates) in the paragraphs are spaced throughout the year and this requires feedback to remember all operations as they are considered very sensitive and completed during a limited period and limited to be determined by the test and measurement circuit in the Directorate General of Nurturing and Education of the province of Dhofar.

#### 9.1.5 Averages and standard deviations of the school axis:

Table 7. *the teacher table axis paragraphs.*

No	Training requirement	Average	Standard deviation	Relative weight	Ranking
8	Import the school table.	4,15	0,97	83,14	1
7	Export the school table data.	3,42	1,48	68,57	2
6	Print school schedules for students.	3,37	1,46	67,42	3
3	Follow-up to the reserve.	3,31	1,42	62,28	4
4	Distribution of school dropout sites and following up the daily schedule.	3,11	1,37	62,28	4
2	The use of school handbooks.	2,67	1,18	53,42	5
1	Linking teachers with materials and specializations.	2,55	1,16	51,14	6
5	Identify teachers' schedules.	2,51	1,20	50,28	7

It is noted from Table 7 that the percentages were different for the paragraphs of this axis (the school table) and the paragraphs (importing the school table, Exporting the table data, printing school tables for students, follow up the reserve table were the most needed to be trained on with a margin of 3.11 - 4.15 with a standard deviation of 0.97 - 1,489. This may be due to the fact that all members of the administrative body did not know the process of exporting and importing the table School to the educational portal system only very few, As the process of import and export is done in many steps and overlapping difficult to absorb if not exercised periodically. As for the process of the distribution of the positions of the shift and print school schedules is due to the lack of knowledge of the administrative body by electronic method.

### 9.1.6 Averages and standard deviations of the axis of statistics.

Table 8. *the statistics axis*

No	Training requirement	Average	Standard deviation	Relative weight	Ranking
1	Extracting Student Reports Examine grades, numbers, ages, and enrollment.	3,61	1,44	72,28	1
2	Sorting students by residential area.	3,55	1,35	71,14	2
3	Extracting the statistics of students transferred to and from school.	3,48	1,43	69,71	3

It is noted from Table 8. that all the paragraphs of the sixth axis (statistics) came at a weighted rate, showing that the mean scores were high, with the highest mean (3.61) and the lowest arithmetic mean (3,48) The study sample and their training needs. The researcher answers this for the following reasons:

The large number of statistics provided by the educational portal system.

The statistics come under several names and are requested from within the school represented in the administrative and teaching staff and out as in parents, committees and educational supervisors

Mixing the paths in the educational portal system, which is sometimes confused between the path of access to statistics and the path of reports.

### 9.1.7 Averages and Standard deviations of the reporting axis.

Table 9. *axial axis paragraphs*

No	Training requirement	Average	Standard deviation	Relative weight	Ranking
1	Extract the basic student data sheet.	3,87	1,29	77,42	1
3	Print a list of students and their ages	3,75	1,37	75,14	2
7	Notification of the absence of a student and his summons.	3,70	1,43	74	3
2	Print students' comprehensive records.	3,68	1,33	37,71	4
17	Print the school's quarterly reports.	3,58	1,47	71,71	5
4	General and health reports for students.	3,57	1,30	71,42	6
6	Extract the certificate of good behavior.	3,50	1,42	70	7
8	Call parents to the Parents and Parents Council.	3,48	1,34	69,71	8
15	Use of the letter of transfer of sick students to the health unit.	3,44	1,42	68,85	9
9	See the late morning report.	3,42	1,32	68,57	10
11	Review the students' daily attitudes report.	3,40	1,31	68	11
14	Notification of acceptance and non acceptance of students.	3,41	1,38	68,28	12
10	Exploring the disclosure of educational activities	3,38	1,27	<b>67,71</b>	13
13	Notification of students accepted and not accepted at school.	3,37	1,39	67,42	14
5	Print vacancy report in grades.	3,35	1,37	67,14	15
16	Detection of vaccinations for students.	3,25	1,36	65,14	16
12	review of the reports of the graduating students	3,22	1,37	64,57	17

Table 9 shows that all the point in the axis (reports) were much in need according to the responses of the study sample members and help them in developing their skills in employing the educational portal in primary schools in the Dhofar Governorate. This is indicative of the importance of the reports that are extracted and printed from the educational portal system, and thus the responses of the sample members to develop their skills in this field.

### 9.1.8 Averages and standard deviations of the axis of administrative records

Table 10. *the administrative records axis paragraphs*

No	Training requirement	Average	standard deviation	Relative weight	Ranking
5	Introduce the school plan.	3,87	1,33	77,24	1
2	Record meeting memos.	3,84	1,32	76,85	2

11	Adoption of school data.	3,81	1,33	76,28	3
9	Print administrative records reports.	3,75	1,35	75,14	4
10	Review and verify school data.	3,75	1,35	75,14	4
7	Introducing the Parents' Council Plan.	3,72	1,36	74,57	5
8	Fill in the supervisory visits form.	3,71	1,40	74,28	6
4	introduce school visits	3,67	1,35	73,42	7
1	Registration of development programs.	3,60	1,36	72	8
3	Introducing the definition of committees.	3,64	1,31	72,85	9
14	Making the financial expenses of the school work.	3,55	1,41	71,14	10
13	Print the reports of the total exchange operations and their details	3,48	1,38	69,71	11
12	Electronic billing registration	3,38	1,33	67,71	12
6	Introducing the first teacher plan.	2,55	19.19	51,14	13

Note from Table 10 that all the paragraphs in the axis (administrative records) came at very high rates, where the average scores ranged from 3.38 - 3.87 and by a standard deviation of 1.32 - 1.41 and the point of (introducing the first teacher plan) with a lower rate as average of 2.25 by a standard deviation of 1.19. This indicates the need of the administrative body to develop their skills in the field of (administrative records). The researchers attribute this to the following reasons:

Some systems have been introduced into the system, so you need to train as for the school financial expenses system

The need of the administrative body to train in the rest of the systems located within the axis of administrative records according to the experience of the researcher in this area as there are common errors when using systems that need feedback and training

### 9.1.9 Averages and standard deviations of the axis of records of school activities.

Table 11. *the school activity records*

No	Training requirement	Average	Standard deviation	Relative weight	Ranking
12	Follow-up of the classroom teacher	2,85	1,02	5714	1
5	Introducing the projects of the activity groups in the school	2,84	1,12	56,85	2
8	Registration of competitions for the school	2,84	1,19	56,85	2
7	Introducing a general program	2,78	1,04	55,71	3
4	Introducing a group activity plan and extract a list of it	2,75	1,05	55,14	4
1	Introducing teacher activities	2,71	0,96	54,28	5
6	Distribution of students to the committees of the Division Council with the identification of student centers	2,70	1,14	54	6
9	Registration of school activities specialists	2,68	1,04	53,71	7
2	Choose the pioneers of the divisions	2,64	1,04	52,85	8
10	Follow up activity supervisors	2,64	1,04	52,85	8
11	Introducing the plans of the People's Assembly	2,60	1,08	52	9
3	Identify students in centers in activity groups	2,50	1,07	50	10

It is noted from Table No. 11 that the focus of the records of school activities obtained in all its paragraphs a low grade where the mean ranged between 2.50 - 2.85 and the standard deviation ranged between 0.96 - 1.19. This indicates that the administrative body is adequacy and that they do not need training in this regard. This is due to the fact that the field of school activities has been implemented in the past and for a sufficient period, so that the sample members can learn all the processes that are applied in this field.

### 9.1.10 Average and standard deviations of the axis of student care registers.

Table 12. *the student care records*

No	Training requirement	Average	Standard deviation	Relative weight	Ranking
2	Identify students who are good at studying	3,80	1,29	76	1
3	Identification of students who achieved poorly	3,74	1,36	74,85	2
1	Identify talented students.	3,65	1,33	73,14	3

5	Print the Student Care Record.	3,61	1,36	72,28	4
4	Registration of students with disabilities.	2,64	1,09	52,85	5

It is noted from Table 12 that the responses of the sample members came at a high rate in terms of the training needs to be trained on to develop their skills in the employment of the educational portal system in the basic education schools in the Dhofar governorate, Sultanate of Oman, with an average of 3.80 with a standard deviation of 1.29. The registration of students with disabilities came at a religious rate with an average of 2.64 and a standard deviation of 1.09.

The researcher attributed this to the attention of the nurturing and educational system in the Governorate of Dhofar to students at all levels of achievement, and the need to document the students of higher achievement and invaluable achievement as well in the educational portal system, for the purposes of development and follow their level of achievement, in addition to the inclusion of talented students and develop their talents and follow the development periodically.

### 9.1.11 Average and standard deviations of the social worker records.

Table 13. *social workers records.*

No	Training requirement	Average	Standard deviation	Relative weight	Ranking
5	Extracting reports of the social worker register	2,85	1,24	57,14	11
3	Data entry to study student case	2,81	1,06	56,28	2
1	Recording behavioral attitudes of students	2,70	1,08	54	3
4	Include the social worker's work plan	2,68	1,12	53,71	4
2	Signing up the Guidance programs	2,68	1,18	53,71	4

Table 13 shows that the axis of the social worker records obtained all of their scores at low scores where the mean ranged from 2.68 to 2.85 and the standard deviation ranged from 1.06 to 24. On the adequacy of the administrative body and that they do not need training in this aspect.

### 9.1.12 Averages and standard deviations of the school management axis.

Table 14. *the school administration axis*

No	Training requirement	Average	Standard deviation	Relative weight	Ranking
1	Print general data about the school.	3,92	1,33	78,57	1
2	Adding classrooms.	3,74	1,30	74,85	2
3	Registration of school buildings data.	3,64	1,30	72,85	3
5	Add the tributaries of the school.	3,57	1,37	71,42	4
6	Extract reports school facilities.	3,50	1,32	70	5
8	School data entry (staff - school furniture - electronic equipment and accessories).	3,44	1,26	68,85	6
7	school maintenance data inputs	3,37	1,32	67,42	7
4	Add school divisions	2,71	1,15	54,28	8

It is noted from Table 14 that the response of the study members to the axis school administration was high, which means that they need training in this aspect. The average of the paragraph, the print general data about the school was 3.92 and the standard deviation was 1.33. Followed by the addition of classrooms with an average of 3.74 and a standard deviation of 1.30. The registration of school buildings data came with an average of 3.64 and a standard deviation of 1.30. The percentages were very high, while the addition of school divisions came at a lower rate, with an arithmetic mean of 2.71 and a standard deviation of .15 due to the importance of the processes involved the axis such as printing public data on of the school in terms of years of incorporation, the type of education and school building as well as data of add classrooms and tributaries of the school and all that is applied to the portal of the educational system and extract reports.

## 9.2 Results related to the answer to the second question "What is the training program for the development of the skills of the administrative body in primary education in the Dhofar governorate?"

The program was built according to one of the models of the design of the known and tried training programs (Kemp), appendix 8 illustrates the educational modules of the training program. as the training program is presented below:

### 9.2.1 Training Program based on the employment of the educational portal in the development of the skills of the Authority in the elementary education schools in Dhofar Governorate.

### **A- General objectives of the program:**

The overall goal of the program is to provide the administrative body with the basic information and skills based on the employment, training, retention and application of the educational portal. The objective can be formulated procedurally in the following objectives:

- The trainee administrative body shall clarify the basic information about the educational portal skills in terms of "training, preservation and application in the work.
- A trained administrative body shall be able to: employ the skills of the educational portal and its application in work, use skills of the educational portal accurately and mastery and maintain access paths to form skilled application with accuracy and clarity.

### **B- the procedural objectives of the program:**

The objectives are precisely defined and clearly formulated of the expected learning outcomes, which are determined after the program is divided into small meetings each with its own educational objectives. This program is both theoretical and practical and has been divided into small meetings as in appendix 5 .

### **C- Selection of the program content:**

The training program consists of three basic meetings with theoretical and practical aspects of 12 hours of training. It consists of six theoretical hours and six practical hours, thus allocating 33.33% of the duration of the training program to the theoretical side, while the practical aspect allocates 66.66%. The following is a brief description of each meeting, including its title, objectives, and duration.

The first meeting: It consists of three educational modules (external applications, student organization, and evaluation tools)

The second meeting: It consists of four educational modules (school table, statistics, reports, and records)

Third meeting: It contains three medals (student care records, school administration, school buses)

### **D- Selection of learning patterns that fit the characteristics of the administrative body in the schools of the Dhofar Governorate.**

The types of education and training in the training program are determined to interact in a small group, explaining the steps in detail in theory by means of the educational modules and practically by entering the educational portal site, re-explaining the steps according to the situation of each member of the trainee administrative body.

### **E- Selection of teaching, learning activities, educational resources, and resources.**

The activities and teaching aids required by the administrative body shall be carried out during the implementation of the training program as follows:

- Writing lists of subjects of the modules needed for each practical meeting.
- Discussion panel within a small group at the beginning of each meeting and before its end.
- Discussion panel within a small group during the demonstration.
- Practical application for all members of the administrative body of the skills of the educational portal.
- The development of educational modules in the PDF file for easy use by the administrative body when needed.

### **F- Evaluation methods in the training program**

Includes the following evaluation methods: evaluation questions following each educational module and Performance practical measure.

### **G-Study plan for the training program.**

The training program is taught as for two hours for the theoretical part and two hours for the practical side and over three days. The administrative body must attend the computer lab at the specified times along the duration of the training to

receive the skills of the educational portal theoretically and practically. This program is submitted to the administrative Staff of primary education schools in the Dhofar Governorate.

### 9.3 The results related to the answer to the third question, which is "What is the effectiveness of the training program in developing the skills of the administrative body when using the educational portal?"

Table 15 *The extent of impact on the performance associated with the skills required to implementation the educational portal.*

Independent variable	Dependent variable, skill performance	Value of $\eta^2$	Effect size
training program	Educational Portal	0.98	high

Table 15 shows that the training program achieves a high impact of 0.98 in the performance associated with the skills required to employ the learning portal. It is proved that there is a high impact size by applying the ETA quadratic equation ( $\eta^2$ ). Therefore, if the individual, social and organizational factors are taken into account in the training program and the high impact is added, the required efficiency can be achieved.

### Conclusion

The current study attempted to identify the influence of a training program based on investing the educational portal in developing the skills of the administrative staff in the basic education schools in the Dhofar governorate. To achieve this aim, a training program was designed which contains skills of the educational portal which must be found in the administrative staff and to measure its influence. Both means of the research in its questionnaire were prepared to define the training needs and an observation card to reform the performance.

The results gave rise to have statistical indications in a level less than 0.01 for the dimensional means of the individuals of the research sample in the observation card of performance. In terms of the influence of the training program, the program achieved an influence in the performance of the administrative staff in their applying to the educational Portal. Also, the results gave rise to have a great influence size of the training program of 0.98 (Eta  $\eta^2$ ). The most important recommendation was the adoption of the Ministry of Education represented by the training and developing center to the educational models prepared by the researchers as a reference to the field work in the schools of the main education in the Dhofar Governorate.

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## The Dynamics of Crowdfunding in a Frontier Market: An Exploratory Research on Romania

Raluca Andreea Vidrascu

PhD Cand. The Faculty of Journalism and Communication Studies

University of Bucharest, Romania

### Abstract

In the last ten years digitalisation has maximised the power of online communities and has created a strong link to directly sustaining and financing innovation. One of the disruptive digital outcomes is crowdfunding which represents an alternative way of financing innovative ideas or projects by raising small amounts of money from a large number of individuals through dedicated online platforms usually using a reward-based model where funders receive something in return for backing a project. A starting point of this study was a research conducted by Ethan Mollick (2013) on projects initiated on Kickstarter crowdfunding platform between 2009 and 2012 that gives a perspective on the dynamics of success and failure among crowdfunded ventures. In this paper the key findings of the above mentioned study are further developed in the context of the Romanian crowdfunding market by taking into account the level of preparedness when starting a campaign, the number of updates after publishing the prospectus and the type of compelling rewards offered by the issuers as a framework. The database consists of data regarding the projects initiated between 2016-2018 on the top three crowdfunding platforms in Romania. The study delivers insights into the level of development and the understanding of the crowdfunding phenomenon in Romania, describing the ability to get funded or get extra funds and also the main features of the most funded campaign categories. The main chapters of the paper highlight a literature review of the dynamics of crowdfunding, presentation and analysis of data and conclusions regarding changes in the way online communities understand crowdfunding phenomenon and decide to be involved in it.

**Keywords:** crowdfunding, social investment, online community, social media, mass collaboration, digitalization, financial inclusion

### Introduction

#### 1. Literature review

Having its roots in USA back in 2005, the crowdfunding phenomenon gained a lot of attention from researchers around the world studying the sharing economy. They have studied the mechanisms of the most developed crowdfunding platforms in the world, like Kickstarter and Indiegogo, the motivation of funders to be involved or the level of money raised. The purpose of this article is to offer a perspective on the level of development and the understanding of the crowdfunding phenomenon in frontier markets such as Romania (the findings could also be applicable to Croatia, Estonia, Serbia or Slovenia) by studying top three crowdfunding platforms in Romania and all their projects initiated from the beginning of 2016 until October 2017.

Crowdfunding represents an "open call – mostly through the Internet – for the provision of financial resources" (Leimeister et al., 2015). Crowdfunding it's also defined as an "alternative form of funding easy to access by a large number of entrepreneurs" (Schweinbacher et al., 2015) or like a "popular outlet for financing independent creative projects" (Duvall, Colistra, 2017). As De Buysere et al. (2012) mentioned in their study, crowdfunding represents also a "disruptive technology for financial intermediation" based on collective effort of individuals to support projects initiated by other people, most of them unknown until the launch moment of the project. During the last 12 years crowdfunding played an important role in supporting entrepreneurs, by creating and funding jobs in the creative industries and enriching the European society and culture especially after the challenging period of financial crisis from 2008. Since we talk about the "democratization of finance" (Mollick et al., 2016), crowdfunding can represent also a solution for big global problems like unemployment, poverty and social exclusion, because crowdfunding platforms can help both not-profit and for-profit projects and ideas (Read et al., 2016). A company can obtain capital from internal resources (the personal contribution of the project initiator or reinvested profits) or external ones like loans, initial public offerings, direct investments or money raised in crowdfunding campaigns. Through crowdfunding entrepreneurs at the beginning of their path in the innovation field have the possibility

to start their own business by getting capital from funders in order to finance their ideas and using the social networks for marketing and communication purposes. Crowdfunding offers also non-financial benefits (Schwartz, 2014) like instant validation of product need in the market, price, demand, market segmentation, customer feedback about product (sometimes even before the launch), direct link with customers or online communication with no additional costs. This is one of the reasons why when taking into account the possibility of having a crowdfunding campaign for a project, project initiators should first of all consider planning the process and take their time in developing accurate and efficient presentation so they can obtain the best reaction from backers, whether this feedback consists of funding, debating or sharing the news with others and creating word-of-mouth.

As the goal of this empirical research is to provide a local perspective regarding a contemporary phenomenon, I propose a case study on the Romanian market. For this we used information available online extracted from three most active platforms in Romania. The dataset created contains all projects uploaded online between beginning of 2016 and October 2017. For all 72 projects we extracted data regarding project name, launch date, initial amount needed, amount raised at the end of the campaign, number of backers, average amount donated, if it contains video or photos, number of words in description, etc.

During this research we will refer to crowdfunding as an “alternative form of funding, easy to access by a large number of entrepreneurs” (Schweinbacher et al., 2015) with the amendment that in the Romanian case study we will talk about project initiators not about entrepreneurs willing to start a new business. During the research we will try to find the answer to several questions regarding crowdfunding. Does Romania understand the crowdfunding phenomenon as it is perceived in most developed countries or it has transformed it at the local level? What influences the success or the failure of a crowdfunding campaign? What kind of developments need to be done in order to bring crowdfunding to the next level?

## **2. Crowdfunding mechanism and models**

When we discuss about crowdfunding we should have in mind three stakeholders: the project initiator, the backer and the platform which intermediates the collaboration between backers who want to support a campaign from different inner reasons and project initiators. Crowdfunding platforms represent an infrastructure or an open access to funding to enable project owners to succeed. They offer transparency and an easy process to access funds, as well as full control for project owners over funded actions without any legal constraints. Since launch, crowdfunding platforms have assumed only the role of intermediating the message between project initiators and funders without being in contact or controlling any of their actions. Usually, platform owners offer a functional and easy to access both by project initiators and funders website, desirably with a good structure and, most importantly, secure from the transaction point of view in order to discourage fraud or other types of risks. Crowdfunding platforms are also defined as “internet based platforms” (Belleflamme et al., 2015) that have the scope to link fundraisers to backers. Platforms “focus on matching of project initiators and backers by providing information about the projects and functionalities” (Leimeister et al., 2015).

### **2.1. Steps in creating a crowdfunding campaign**

In order to start the crowdfunding campaign, project initiators have to create an account on the selected platform and follow the steps until they have the project published. Depending on the platform the application is published with or without a prior review. The project initiator has to define the goal or the amount of money he needs to raise in order to complete the project, the duration of the online campaign, the minimum amount of money that can be donated and the reward tiers. During this steps project initiators have to publish a convincing pitch in order to catch the attention of the online audience. Usually platforms suggest users to upload a short video created in advance in order to have a more attractive call to action. Taking into consideration that the vast majority of online audience of these types of platforms are youngsters the campaign should be aligned with their preferred type of media communication. After the campaign is launched the project initiator can choose to keep the audience updated with the evolution of the project, the amount of money raised or the status of production of goods. Behind the scenes information, interviews with team members or with partners they choose for the project, updates regarding media opportunities they had during the launch of the campaign, answers to comments received on page and other types of communication are important to show the dedication and constant effort made by the team and the ability to manage the project until the end. When the campaign ends and the goal has been achieved, the project owner will receive the money and will pay the platform a fee. Platform owners usually publish a set of questions and answers regarding the fee they will perceive from the amount of money raised by founders when the campaign ends. If the goal of the campaign was not achieved all money will be returned to backers, in case of fixed campaigns, or will be kept by project initiator, in case of flexible campaigns. It is important to mention that platforms do not charge for the online registration of an account and they do not apply any member fee per fundraiser.

Project initiators, named also founders, have the responsibility to offer all the relevant information in order to convince the online audience to back their project online. This means that they should describe the idea or the product, they should show how it is made, what type of materials they have used, what kind of partners they have worked with or they want to work with. Taking into account the new type of online audience represented by millennials and their short attention span especially when they are online, project initiators should create and upload videos in order to say the story faster and also professional pictures with their team members and sketches of the product. They should also establish the number of pledges with the amount of money they can receive from backers and the type of reward if it is the case of reward-based platform.

## 2.2 Financing models in crowdfunding

In crowdfunding there are four financial models. The first one is reward-based crowdfunding where funders' objective for funding is to gain a non-financial reward or a symbolic one such as a token gift, an invitation to an event or to be able to buy the first edition release of the backed product. The second one is called donation crowdfunding where a donor backs a project without any existential reward. This is also called philanthropic or sponsorship-based incentive. In other words the project initiator asks for support with no expected compensation. The third one is lending crowdfunding where backers offer credit being repaid plus interest. And last, in equity crowdfunding or crowdfunding the backers get shares, equity-like instruments or revenue sharing in the project.

The most popular category is the reward-based crowdfunding where we can find two types of campaigns adopted by the majority of platforms and mentioned by Schweinbacher et al. (2015) in his research paper: all-or-nothing (AON) model or fixed model and keep-it-all (KIA) or flexible model. In the fixed model the project initiator creates a goal of the campaign and, at the end of it, receives the money only if the amount is equal with or exceeds the initial goal. Otherwise all the amount raised it is sent back to the funders and the campaign it is declared unsuccessful. Kickstarter, one of the biggest crowdfunding platform in the world, adopted only the AON model for campaigns developed on their website and charge a 5% fee for successful campaigns out of the total amount raised. As we mentioned earlier in this article, Kickstarter, like any other crowdfunding platform, represents just an intermediary between project initiators and funders and it is not responsible for the project initiators actions after the campaign closes. By proposing an AON crowdfunding campaign entrepreneurs signal the quality of the project, bigger capital expectations and propose more reward levels than KIA. Also AON model offers to possible investors the feeling that project initiators are determined to launch the product they proposed a crowdfunding campaign for, to communicate harder about project on all social media networks, to attract more media attention or to create qualitative videos and photos all for the success of the campaign. AON founders offer more information to their online audience about projects (Schweinbacher et al., 2015), details about team members, many updates and respond to comments they receive in order to create and maintain a good relationship with audience. As Schweinbacher et al. (2015) mentioned, AON models offer a guarantee to the crowd that the entrepreneur does not start a project with unrealistically low funding. Also the AON crowdfunding campaigns can motivate better the team members to be as active as they can during the campaign in order to achieve or to outreach the target. The Kickstarter platform mentions on its website that by choosing the AON model founders can statistically raise more money than with a KIA model. From the funders perspective, they are more attracted by AON projects due to the sense of urgency they create than to fund a project that does not reach its goal and accepts to raise only a percentage of the final goal. Also AON projects are less risky for both funders and founders, funders being charged only if the project achieves the target and helping founders to achieve their initial goal and to accomplish what they assumed initially without any compromises.

The KIA model helps the project initiator to keep the money raised during the campaign without taking into consideration the initial goal. So if the money raised are less than the initial goal, the project initiator will keep the amount. This model is used especially when projects are scaled or when they are already started and the crowdfunding budget represents only a step to continue it. This type of campaigns is less successful in meeting their fundraising target. Usually people are choosing this type of model when they are not sure about the team efforts and when the project they propose has small fixed costs and all that they obtain is good to receive. These two models of funding represent also a differentiator for crowdfunding platforms: some of them offer just the all-or-nothing type of funding, like Kickstarter, while others accept both types of funding. Also in terms of fees paid by project initiators to platforms they vary based on the type of funding accepted. For all-or-nothing funding the fee (which is a percentage of the amount raised) is paid only if they reach their goal, while for flexible funding project initiators pay the fee without taking into consideration the amount of money raised. Another difference is that the flexible funding is used sometimes for humanitarian causes, while all-or-nothing is used only for projects developed in the creative industries.

### 2.3 Backers motivations to engage in crowdfunding campaigns

As Duncum (2011) mentioned in his paper consumers are not taken into consideration only at the end of the creation process. Now it's about prosumers and about "a participatory culture that shifts the focus of creation from the individual to community engagement, to collaboration and networking". The level of participation for the online audience during crowdfunding campaigns is "an extension of the participatory culture" (Jenkins, 2006). In participatory culture "young people creatively respond to a plethora of electronic signals and cultural commodities in ways that surprise their makers, finding meanings and identities never meant to be there and defying simple nostrums that bewail the manipulation or passivity of "consumers" (Willis, 2003).

These types of crowdfunding models cover different kinds of motivations a backer may have. If until recent consumers have been taken into consideration at the end of the creation process, nowadays they are part of it since the early beginning, being considered an active asset for the creative industry. Some of them just want to see the project launched, meaning that their expectations are not correlated with a financial benefit because they do not expect something in return. Others support projects because they see there a financial opportunity, investing an amount and having the patience to receive back much more as it is the lending or equity crowdfunding. Recognition it is also a reason why backers support different campaigns with shares in social media, comments or directly with money. Whether they want to highlight some personal values or they want to be recognized by others when their name is published online, it seems that crowdfunding is nurturing their self-esteem. After backing a project usually funders become real ambassadors for that idea, taking care to communicate about it on their personal social networks and to promote it any time they have the opportunity to do it in order to help the project succeed. Funders usually empathize with project initiators having the same values, being flexible and open to change, understanding fast the potential and the need to have that project backed. Also personal network like family and friends represents one of the most important group of backers. The emotional connection with project initiators it is also an important motivation for funders to engage in some types of projects. Another factor is represented by the proximity between initiators and investors. Agrawal et. al. (2010) showed in his article that geographical proximity it is very important during backing.

### 2.4 Non-financial benefits for project initiators

Project initiators should also be aware of the great potential social networks have in promoting a new product and in raising capital. Having more control than in any other form of financing like loans or venture capital, crowdfunding represent a more convenient way to finance a start-up, keeping 100% ownership, deciding what type of rewards to offer and when it is feasible to send them to backers. Even so, some project initiators exert caution in sharing too many details regarding their project, as they try to protect their ideas.

Going back to non-financial benefits, many researchers noted the fact that it is important to create communities around projects using social networks. By creating a Facebook page of the project the founder of the campaign will have the opportunity to benefit longer of the attention of online audience, even after the end of the crowdfunding campaign. Backers can be informed about the evolution of the project, about the team efforts to launch the project, to send all the rewards and the timing and rewards received. In addition, in case of a success and a plan to launch a second crowdfunding campaign, they will have the opportunity to re-engage the existing community because they know what their direct interest are and then to deliver the message to others.

### 3. Crowdfunding in Europe

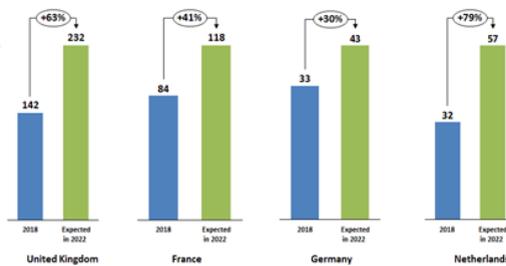
In order to highlight the different stages of development of crowdfunding in Europe we will compare statistics regarding the amounts raised year to date in 2018 and the amounts expected to be raised in 2022 in the most developed countries like United Kingdom, France, Germany and Netherlands and also emerging countries like Croatia, Estonia, Serbia, Slovenia. In the end we will have a deep dive on Romania's case study, a frontier market. The term was first introduced by the International Finance Corporation (a member of the World Bank) and is commonly used to describe equity markets of the smaller and less accessible, but still investable countries of the developing world, perceived as more risky (eg. countries in Eastern Europe).

Moreover, when referring to crowdfunding as a financial innovation one must take into account the level of financial inclusion in each country we analyze. According to European Commission's data in the European Union 7% of people over 18 years do not have a bank account, Romania being the one with the highest rate of unbanked population: only 38% of people over 18 have a bank account, which means 61% of the active population.

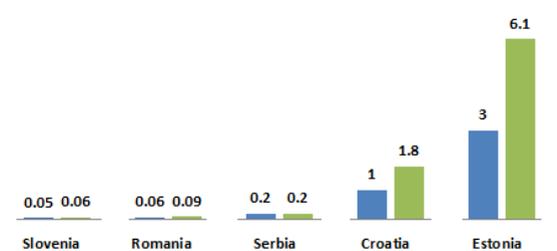
In order to measure the current status of financial inclusion in Romania the Romanian Commercial Bank issued a survey in 2016 where the main finding is that 57% of teenagers with ages between 14 – 18 are bank customers and only 40% of them make online payments. Also from this survey we find out that the financial education comes mainly from the family (80%), while school only accounts for 15% of the subjects. Another important aspect regarding financial inclusion is represented by the infrastructure in this domain. In 2015 44% of population was living in the rural areas, which are less bancarized, while Germany had 29.4% and France 20.7% rural population.

In this context we will keep in mind that when discussing and analyzing the level of development of crowdfunding in Europe it is important to remember the financial and educational context at the local level. The European Commission conducted a study regarding crowdfunding and found out that even if crowdfunding phenomenon is developing fast at the European level, it still remains concentrated in a few developed countries like United Kingdom, France, Germany, the Netherlands and Italy and is still a national phenomenon with limited cross-border activity. In addition the most recent statistics issued by European Commission showed that at the end of 2014 there were 510 platform in the EU 28% of which (143) being based in the United Kingdom. After UK, the next country is France with 77 platforms, Germany with 65 platforms and the Netherlands with 58. Regarding the type of funding, in 2014 the top three were reward based crowdfunding (30.4%), equity crowdfunding (22.9%) and lending crowdfunding (21%). The majority of platforms were offering just one type of funding. European Commission recognizes the importance of crowdfunding as an alternative source of capital for small and medium sized enterprises, organizing twice a year meetings between European authorities and the crowdfunding sector in order to share best practices, promote convergence and keep developments under review. The European Commission also monitors the evolution of the sector in order to anticipate the moment when cross-border funding will grow and have a greater impact. That will be the moment when European Union will develop a single policy on crowdfunding. From online statistics published on statista.com regarding crowdfunding expectations, we can see in Fig.1 that in 2022 the transaction value amount is expected to raise the most in more developed countries. There are also expected developments in emerging and frontier markets, but the rates are lower (Fig.2).

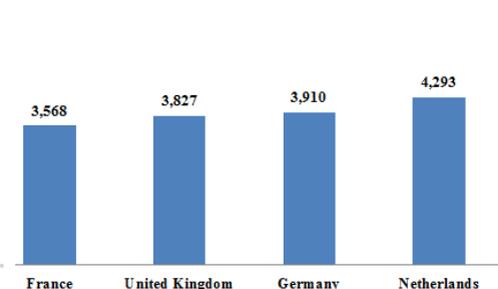
**Fig. 1 Transaction value amount (m Euro) developed countries**



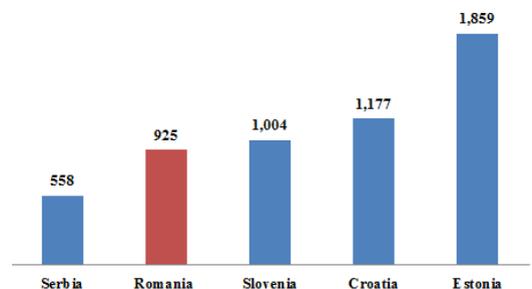
**Fig. 2 Transaction value amount (m Euro) emerging and frontier countries**



**Fig. 3 Average funding amount per campaign in 2018 (Euro) - developed countries**



**Fig. 4 Average funding amount per campaign in 2018 (Euro) - emerging and frontier countries**



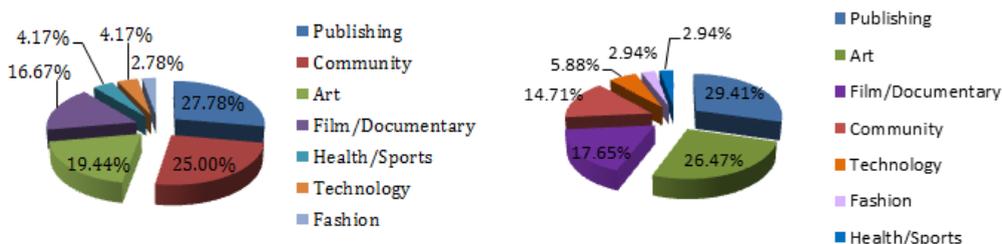
#### 4. Romanian crowdfunding sector

As an exploratory empirical research, the scope of this paper is to develop initial evidence regarding the level of preparedness when starting a crowdfunding campaign in Romania and to show the direct correlation with the level of success or failure among crowdfunded campaigns. During this study we will take into consideration also the level of preparedness when starting a campaign, the number of updates after publishing the prospectus and the type of compelling rewards offered by the issuers as a framework. The database consists of data regarding the projects initiated in 2016 and 2017 (until October 2017) on top three crowdfunding platforms in Romania (crestemidei.ro, wearehere.ro and multifinantare.ro), taking into account the number of campaigns, the amount of money raised and the online awareness.

Even though crowdfunding has a continuous growth in the financial sector, the topic is not broadly covered by Romanian researchers. Until now the main approaches found refer to crowdfunding as an alternative source of funding projects in Poland and Romania (Toader et al., 2014), crowdfunding policies of dedicated websites (Balau, 2016) and sharing economy in Romania and highlighting the post-communist specificity (Andrei, Zait, 2017). These studies also suggest in their conclusion that a closer view on how crowdfunding campaigns are developed online and what kind of triggers function better is necessary.

As the goal of this empirical research is to provide also a local perspective regarding a contemporary phenomenon, I propose a case study on the Romanian market. For this we used information available online extracted from three most active platforms in Romania. The dataset created contains all projects uploaded online between beginning of 2016 and October 2017. For all 72 projects we extracted data regarding project name, launch date, initial amount needed, amount raised at the end of the campaign, number of backers, average amount donated, if it contains video or photos, number of words in description, etc. The platforms analysed are all reward based platforms: crestemidei.ro (45 projects), wearehere.ro (18 projects) and multifinantare.ro (9 projects). Multifinantare.ro is the first crowdfunding platform launched in Romania in 2011 based on AON financing model. It takes 0% fee for successful humanitarian projects, 6% for Creative projects and 10% for Capital projects, being the only one with charging different fees depending on the category of the project. Crestemidei.ro was launched in 2012, adopted the AON financing model and takes 7% of the amount raised in case of a successful campaign. Wearehere.ro platform was launched in 2013, it offers both AON and KIA financing models and it charges 6% / 9% of the amount raised depending on the financial model.

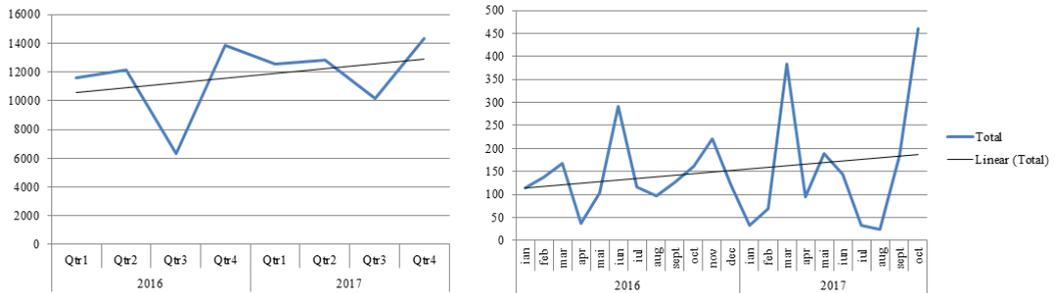
We centralized the projects into seven categories: Art, Community, Fashion, Film/Documentary, Health/Sports, Publishing and Technology. As we can see in the Fig. 5, categories that gathered the most projects are: Publishing (27.78%), Community (25%), Art (19.44%) and Film/Documentary (16.67%).



**Fig. 5 Projects by category Fig. 6 Funded projects by category**

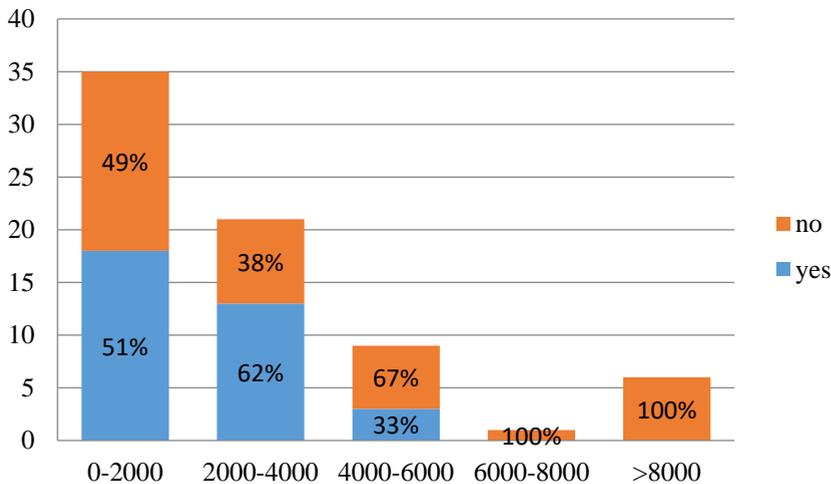
The most funded categories (and also the one that raised more money) are the same four categories (Fig. 6), but we notice some important changes: the Art category, that was the third in the number of proposed projects occupies the second position in the most funded category, while Film/Documentary category that was on the fourth place in the number of projects is now on the third position. We can also notice that most projects that are in the Community category are not convincing backers to support them or are issued without an appropriate communication plan.

Even though we cover only 2 years of data, regarding the evolution year on year, we can say that the amount of money raised grew continuously quarter after quarter, showing that the awareness and trust in crowdfunding are also growing in Romania (Fig. 7). In terms of number of backers the evolution year on year showed us an increase with low interest from backers during summer months (July, August) and peaks of interest between October – December, the period of the year easily associated with personal costs (Fig. 8).



**Fig. 7 Amount of money raised Fig. 8 Number of backers evolution**

Trying to see how the success of a project was influenced by the goal, we split the goals amount (in euro) in five categories: 0 - 2.000 euro, 2.000 - 4.000 euro, 4.000 - 6.000 euro, 6.000 - 8.000 euro and greater than 8.000 euro (Fig. 9).



**Fig. 9 Projects by goal**

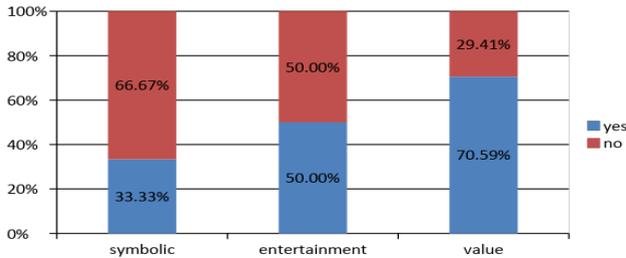
As we can see in the Fig. 9 35 out of 72 projects analyzed are situated in the first category, with goals between 0-2000 euro and a level of success of 51%. The biggest percentage of successful projects are situated in the second category with goals between 2.000 – 4.000 euro and a 62% percentage of success. Also we can conclude that projects over 4.000 euro have a less chance of success. The study reveals a significant negative relation (-0,315 Pearson Correlation) between the funding level and the goal (split into 5 categories: <2000; 2000 - 4000; 4000 - 6000; 6000 - 8000; >8000 euro) which indicates that the funding level is higher when the goal is set lower.

Trying to identify what else can influence the success of the project depending on the goal we have taken into consideration only the successful projects with the number of backers and the average amount / backer. We can see in Table.1 that the category with project goals between 2.000 – 4.000 euro have over 110 backers and an average amount of 47.84 have indeed the biggest chance to achieve and probably to overachieve the target.

Goal categories	Average number of backers	Average amount of donation
0-2000	49,28	30,90
2000-4000	111,00	47,84
4000-6000	136,33	38,48

**Table.1 Projects by goal**

Also it can be observed that the type of reward represents a really important aspect that most probably will transform followers into backers. We also segmented rewards into three categories (symbolic, entertainment and value). The percentage of projects declared successful is the highest when the rewards have a higher value (Fig.10). Fundable.com recommend to project initiators to talk about rewards with family and friends in order to test their reaction in front of the reward tiers.



**Fig. 10 Types of rewards and rate of success**

As Molick (2013) mentions, another important aspect in becoming successful in crowdfunding campaign is related to the “quality signals” the project initiators send via their projects. X. Chen et al (2009) observed the “role of preparedness as a signal of quality” and by this we refer to creating videos, offer a good description for your project, stay in contact with followers, manage the social network account day by day, offer pictures with the team members and proofs of concept regarding the project submitted.

Out of 72 projects analyzed only 6 projects did not submit a video, 5 of them being declared unsuccessful in the end. These 6 projects without videos were on wearehere.ro and multifinantare.ro, none of them were on crestemidei.ro platform. This suggests that crestemidei.ro requires a mandatory video at the beginning of the campaign. This is also in line with the recommendation received by project initiators on bigger platforms, like Kickstarter, which sets as a first rule the creation of a video. Kickstarter also announces a prospective issuer from the beginning that without a video the chances to get funded are smaller. 62% of the projects that did not submit any photo or illustration (18 out of 72 – 25%) were not funded, compared with the 52% average of not funded ideas. These quality signals create a direct impact in the engagement of backers, in their willingness to share the news about a project on their social networks or to finance the project. As it was mentioned before it is less attractive for backers to invest money and time into a project with low chances of success because they do not want to be associated with failure.

Other important insights regarding the correlation between project components and the rate of success are the following:

there is a strong correlation (0.418 Pearson Correlation) between the funding level (the percentage of a project’s goal that is funded by backers) and the number of information updates during the campaign.

the analysis found a positive relation (0.276 Pearson Correlation) between the funding level and the length of the presentation videos (natural logarithm).

There was a insignificant weak correlation (0,026 Pearson Correlation) between the funding level and the number of words used in the campaign presentation.

The average amount raised per backer in 2017 versus 2016 has increased by 52.3% in 2017, from 24.2 euro/backer to 36.8 euro/backer.

Category	Percent of projects	Average funded level	Average no. of updates	Average no. of backers	Average donation	Average goal	Average video duration	Average number of words
Publishing	27.78%	72.7%	2.40	48.25	24.46	1215.32	149.85	608.00
Community	25.00%	39.6%	1.28	25.06	28.00	705.67	133.06	701.83
Art	19.44%	72.7%	1.86	58.14	27.95	1685.76	139.93	596.07
Film/Documentary	16.67%	57.5%	1.75	63.83	37.65	1915.48	135.08	606.75
Technology	4.17%	87.5%	2.67	84.00	34.47	2558.89	113.67	712.67
Fashion	2.78%	71.7%	0.50	25.50	70.60	1086.50	173.50	696.00
Health/Sports	4.17%	38.1%	0.50	3.00	13.17	118.52	107.33	256.33
<b>Grand Total</b>	<b>100.00%</b>	<b>61%</b>	<b>1.80</b>	<b>45.94</b>	<b>29.45</b>	<b>1302.78</b>	<b>138.64</b>	<b>621.08</b>

Table.2 Descriptive statistics

		Project goal (EURO)			Amount raised (euro)			Number of backers			Updates		
		Mean	Count	Median	Mean	Count	Median	Mean	Count	Median	Mean	Count	Median
Category	Art	2412.857	14	2000.000	1685.762	14	1564.556	58.1	14	62.0	1.9	14	1.0
	Community	2366.346	18	1777.778	705.667	18	253.333	25.1	18	12.5	1.3	18	0.0
	Fashion	5116.667	2	5116.667	1086.500	2	1086.500	25.5	2	25.5	.5	2	.5
	Film/Documentary	40888.481	12	4194.444	1915.481	12	1510.444	63.8	12	38.5	1.8	12	1.0
	Health/Sports	485.185	3	311.111	118.519	3	0.000	3.0	3	0.0	.5	3	.5
	Publishing	1994.667	20	1888.889	1215.317	20	679.000	48.3	20	26.5	2.4	20	0.0
	Technology	2851.852	3	3000.000	2558.889	3	1208.889	84.0	3	59.0	2.7	3	2.0
Rewards	entertainment	2971.232	22	2111.111	1761.414	22	1424.444	49.6	22	28.5	1.6	22	1.0
	symbolic	16018.923	33	1933.333	1005.879	33	277.778	40.4	33	10.0	1.5	33	0.0
	value	1951.895	17	1888.889	1285.582	17	1208.889	51.9	17	50.0	2.6	17	2.0

Table.3 Descriptive statistics

#### 4. Conclusions

The evolution of new technologies during the last 20 years has created a path for disruptive innovation and especially for new models of financing, crowdfunding being one of them. It democratizes the access to capital without taking into consideration if the project initiator is an NGO, a public person or just a student with a great idea in mind. The stage of development in Romania is still at the beginning, with a small number of platforms and campaigns initiated. Media coverage of the subject could help the industry become more popular. In addition, given that a backer has to donate online the amount he/she desires, the crowdfunding level of development is strongly influenced by the level of bankarization in Romania (the extent of population to an entire range of banking services) where only 61% of the active population owns a bank account and only 38% of them use internet banking.

Taking these into consideration the research provides strong evidence that a better media coverage on crowdfunding topic together with a better communication strategy and implementation both from platform owners and from project initiators will raise the awareness and attract more backers and, as a consequence, higher amounts of money raised. This paper is only an initial step in describing the specific feature of crowdfunding in Romania and shows the actual stage and an increasing trend, both in the number of backers and in the amount raised year after year. To better understand its evolution and also to enhance the positive social and economic effects of crowdfunding, data should be analysed yearly and formal recommendation, also derived from the insights provided by the European Commission on this subject, should be more closely followed by the stakeholders.

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## The Utilisation of Images in Education

**Archontia Foutsitzi**

Laboratory Teaching Staff,

Department of Primary Level Education, Democritus University of Thrace

### Abstract

The presence of images in education has been the subject of research for many academics. Their pedagogical value and contribution to the learning process makes them the didactic focus for many lessons. Images are educational tools which teachers use in order to reinforce and enrich the teaching of their lessons. The benefits which pupils derive from their use are many. Their correct utilisation and deployment aids and promotes the learning process.

**Keywords:** images, illustration, visual representations, image and teaching.

### Introduction

The utilisation of images in education is based on their fundamental capacity to create stimuli. These stimuli are primarily visual. Images are a means of teaching which is aimed at that the most important of the senses, that of sight. Research data concerning the involvement of the senses in the perception of our environment show that sight is a significant aid for an individual to become aware of and to understand his surroundings at a rate of 83%, compared to the other senses (Solomonidou, 1999). Studies relating to Cognitive Science and the biological functions of the human mind show that the contribution of images to the teaching process is very important (Wileman, 1993; Laughbaum, 2004). The threefold "pupil – image – learning" is a complex process which, in order to work effectively, requires the mediation of a teacher. The teacher is the person who, through constructive situations and concerns, will enable the pupils to perceive and process the visual stimuli. This is the only way for the teaching goals to be achieved (Flouris, 2005) and for the teaching to be transformed into learning.

### The use of images in teaching

The use of images in the teaching of lessons serves functions which vary according to the age and the knowledge base of the pupils. These functions are based on the fact that images are a powerful means to develop speech and to understand the contents of a text. By means of this indulgence the pupils acquire abilities to read and to study visual representations (Kossyvaki, 1998).

The practice of the written and the spoken word is, therefore, an important function. Whatever a child's language level may be, images constitute a powerful motive for discussion and reflection. To a pupil with, e.g., a poor vocabulary and difficulties in expression, the contents of an image can be a powerful motive for discussion and dialogue. Through this discussion the pupil practises expressing the spoken word. But also in cases where a child's language level is very good already, again images can act as catalysts, helping the pupil to further reinforce his vocabulary and enrich it with new words (Kossyvaki, 1998).

In addition to the development of the spoken and the written word, images help in the understanding of the contents of a text. Each pupil, according to his level of knowledge, can, on seeing an image, understand the meaning of a text more easily. At a later stage, images help the pupil to study the contents of a text more deeply. Finally, at an even more advanced level, the presence of images helps the pupil to practise analysing and putting the individual components of a text together. Through these processes the pupils acquire skills which help them to cultivate and develop their analytical abilities (Kossyvaki, 1998).

Images are a great help in understanding abstract ideas (Vrettos, 1994). When the contents of a text are hard to understand, images very much help to clarify the text. The same thing also occurs when there are mathematical relationships or functions. Images, diagrams and graphs provide support, because they make the mathematical relationships clearer and

the new information can be better processed intellectually (Yiannikopoulou, 2005; Taratori, Foutsitzi & Stravakou, 2011).

One of the most important human functions is the ability to understand what is happening around us. Images, due to the visual stimuli which they provide, develop observational abilities and sharpen the imagination. The components of an image, if examined in particular and individually, provide new information which develops the pupils' aesthetic sense and sensory perception. Each pupil can focus in detail on the features of an image, observe its contents, its colours, its movement or its orientation, can suggest or counter-suggest features, change details, reject and justify all of the above based on the pupil's personal interest. Thus, through these observations all the pupil's senses are activated and his individual expression and sensitivity are enhanced (Zefkilis, 1989).

Images broaden the pupils' experiences and activate their imagination. Through the aesthetic structure of an illustration the children's powers of observation are cultivated and promoted. Images include elements from everyday life but not just these. Through these images the children visualise information and messages and compile their own presentations. The scenarios which are created in their imagination enrich their knowledge, develop their thinking and broaden their fictional field (Kitsaras, 1993). The richer the content of an image is, the more suitable it is for gaining a deeper knowledge and for contemplation.

The didactic value of an image is not judged based on its beautiful and attractive colours. On the contrary, what is of interest and has to be considered is its contribution to the teaching activity. When a teacher shows illustrations at the start of a lesson, he aims to predispose his pupils towards what is going to be discussed in class and raise questions and observations which will contribute to the completion of the teaching (Taratori-Tsalkatidou, 2015). In this case the images function as a starting-point, so that the start of lesson can be more interesting and attractive. On the other hand, when he shows the images at the end of a lesson, he wishes to use them as a means of recapitulating and summarising everything that has been said in class (Dalkos, 1990; Dalkos, 1992). Naturally, sometimes the showing of illustrations during the teaching activity may not have a specific aim and the images are being used purely and simply as a decorative material.

### **Images as historical material**

A particularly important reason why the use of images is considered to be essential in the teaching activity is the creation of questioning brought on by its contents. An image conveys messages, the reader only has to wish to go beyond the obvious and to see what there is and what is hidden behind this. Each image reflects the standards, the social relations and the conventions of the period in time to which it relates. All of this is reflected in its contents. It is very important, therefore, to search for the relationships and the roles to be found in an illustration and to outline the social, economic, political and cultural environment to which it relates (Antonopoulou - Trechli, 2003; Koutroumpeli, 2005).

According to Karakitsios (2013), illustrations "replicate the ideas, the values, the standards, the expectations and the attitudes of a group but also of an entire society of a time period, at a specific moment in time". The study of images and their utilisation as historical material is a precious and interesting proposition: it is enough to take into account certain parameters which will reduce the risk of easy sensationalism and of wrong conclusions being reached. According to new historiographical perspectives (Sakka, 2007), the first problem to be tackled in relation to the critical analysis of the visual sources is the great power of their pictorial representation. This fact leads them, wrongly in many cases, to being described as realistic. A second factor which should be seriously taken into account when assessing the historical sources is the thought that there has never been an image which was neutral and unaffected by the actual socio-political context to which it relates. A third and final matter to which particular weight should be given is the way these sources should be approached. To read them critically requires an interdisciplinary approach and for this reason specific methods must be adopted so that these sources can be examined critically (Sakka, 2007).

An uncritical analysis and a wrong utilisation of a visual aid in a history lesson creates problems in its interpretation. This occurs because images, in specific periods in time, have never been innocent and neutral, because their relationship to power has been particularly close. Moreover, images have also been used many times for propaganda purposes (Sakka, 2007). We ought to be aware that the historical narrative is not sufficient for a knowledge of the past. On the contrary, other elements should also be included, such as works of art, photographs, printed matter, sketches and all kinds of illustrative material contributing to a critical analysis and deeper knowledge of the historical facts (Moniot, 2002; Koutroumpeli, 2005).

A positive view of images in education should combine the historical approach with the creative one (Metaxiotis, 2000). For this reason, in every school it is necessary to have a rich resource of historical material which should constantly be enriched. Certainly, this by itself is not a key issue in this approach. What ought to concern us is the mode of thought and its orientation towards the causes and the rational relationships arising through the visual findings. A superficial reading of an image is

not enough to convey all of the messages which its creator intended and expected. For this reason, the analysis and the interpretation of the images used as historical material should be carried out with especial care and diligence.

## Conclusion

The utilisation of images in education is a key issue, because the images are educational tools which enhance, facilitate and enrich the teaching activity. Through their use the teaching of lessons becomes more comprehensive and effective (Grosdos, 2008). The new technological media (Fokiali, 2007) with the various possibilities of access to, primarily, information and visual material help the teacher to choose and use pictorial material in the classroom.

The showing of images during a lesson helps the pupils to develop cognitive abilities and artistic skills. Through these the pupils' powers of observation, sensitivity, imagination and aesthetic sense are developed (Dimitriadou, 2007). Images have proved to be useful tools, because many details of the traditions which characterise a place or an area are represented in them. (Fokiali & Kampouroupoulou, 2002; Kampouroupoulou-Savvaïdou, Fokiali, Xanthakou, Govaris & Kaila, 2004). Pupils, having come into contact with these details, gain a better knowledge of the environment and the wider society in which they live and spend their lives.

Images contribute to the effectiveness of the teaching and the learning because they can be more easily understood than the texts and spoken word (Vrettos, 1994). Their contents arouse the children's interest, stimulate their attention and create occasions for reflection and dialogue. Through the images the pupils can approach and process meanings which would otherwise be difficult to conceive and to understand (Prinou & Halkia, 2003; Pink, Kúrti & Afonso, 2004; Tzivinikou, 2015).

Apart from their pedagogical and didactic contribution, images are important historical study tools. Their use, as historical sources, is of great value, because through them the past can be studied and historical thinking and awareness can be developed (Vrettos, 1994). The digitisation of images and sounds and their utilisation in the educational process has established digital technology as a basic historical research tool (Papoutsis & Potamias, 2014). Given this concept, images in conjunction with the new technologies create an innovative pedagogical framework suitable for the teaching of many subjects, in particular that of History.

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## The Right to Information, as a Fundamental Right and a Constitutional Guarantee for Albanian Citizenship

Luljeta Zefi

University "Luigj Gurakuqi" Shkoder, Albania

### Abstract

"Wisdom is power. To be informed is liberation "....

The right to information is recognized not only as a critical condition for participation in democracy, accountability and good governance, but also as a fundamental human right, protected under international and constitutional law of the Albanian state. The right to freedom of information mainly refers to the right of access to information of public service. It reflects the principle that public services do not keep the information "under their name", treating it as a personal asset, but for the benefit to the whole public, which in this case we refer to the subjects of the Albanian state law. However, the right to information goes far beyond obtaining documents as required by the public, and includes an important element which connect the right to information with "the right to authenticity". The main source from the right to information flow is related to the fundamental right to freedom of speech, which includes the right to ask/seek, receive and provide information. Democracy, and the whole system of human rights protection, can't function properly without the freedom of information. In this sense, it is a fundamental human right on which other rights depend. One of the most important means of achieving this right is the existence of good legislation and its effective implementation in practice. The right to information or otherwise says transparency functions as a principle that helps subjects whose interests are affected by administrative decision-making/final-choice, not only to know what actions are taken in relation to their interests but also can appeal to such decisions that affect their interests or their legal rights. It is the duty of any person in the public administration to act in a visible, predictable and understandable way. It is the fundamental right of everyone to ask for a law in the country legally a right which he claims to be prejudice. The purpose of Albania to realize the status of the candidate country and its membership in the EU requires the taking of a series not only theoretical but practical measures, although it is based on the approximation of legislation with that of the *acquis communautaire* but its application is equally important. While the United Nations Organization has been recognized as a fundamental right, the resolution 59 (1) states that: "The right to information is a fundamental human right, and the stone of proof of all the freedoms that the United Nations values sacred. "If we are to focus on this, we will see that freedom and the right to information is placed in the center of attention and consideration as a constitutional right and guarantee.

**Keywords:** Information, public administration, decision-making, European integration.

### Introduction

#### What do we really understand from the Right of Information.

The right to information is one of the fundamental human rights sanctioned in the fundamental law of a legal state such as the Constitution but not only its regulation is envisioned in special laws. Its importance is evidenced by the fact that different aspects of communication and information need to be regulated in a specific way by the legal norms which in general constitute "the right to information". This right is also foreseen and regulated in various international acts.

Information is a fundamental right and as such is inevitably related to human dynamism, its importance is also foreseen in international legal norms and those of the *acquis*. The reason for its treatment is also related to the integration process of Albania on the European path and the steps that the Albanian state has undertaken to approximate the national legal norms with those of the European Union, which in general aim not only to inform the Albanian citizens transparently also provide the necessary facilities to obtain the necessary information, mainly in the public administration. The importance of the right to information against the state organs is first known in Sweden before two centuries (in the 1776 constitution) and this

shows the best need for improving its implementation in practice<sup>1</sup>. The information and transparency guidelines work as a principle that helps those whose interests are affected by administrative decision-making not only know what decisions are taken regarding their interests but also to appeal the decisions they deem unjust to them. The right to information is constantly faced with the challenge to be implemented, which certainly requires the consolidation of the practice mainly in communication between citizens and state public bodies. In this period, the number of countries that have recognized the right to information as a fundamental human right has increased considerably compared to the previous period, where in 2012-2015 it was over 70 countries where they had provided for in domestic legislation, in the moments we are talking about, this figure is skewed about 80.

The right to information is not only seen as a fundamental human right, but it is also seen as a legal arrangement with many advantages at different levels. However, it provides an effective governance system as open governance is a reflection of better communication between citizens (public) and transparent governance, easier to control and accountable to citizens. This helps to prevent and reduce abuses. This increases the rationality, prudence and effectiveness of the decision-making process and, consequently, public confidence in the administration bodies.

The right to information should not be regarded as an absolute right, its limitations are determined by various international acts or international jurisprudence, but also by the Albanian Constitution and legislation. Mainly based on the jurisprudence of the European Court of Human Rights, the meaning of the concept of "privacy" is evidenced; what are the components of private life that find the protection that is the dividing line between the public and the private sphere. All this is done with the aim of showing when the right to information takes precedence and when it can be restricted due to the obligation to protect private life. The Albanian legislation regulating the right to privacy through the protection of personal data occupies a considerable place in the constitutional and non-legal and legal domains.

### **The right to information and its innovations in different periods.**

Democratic society is closely related to the observance of fundamental human rights, including the right to information or "the right to communicate" for this can undoubtedly say that this right can not exist and be exercised except that we a democratic society<sup>2</sup>. It is not very easy to determine the true nature of the right to information; it has long been seen under the general formula of freedom of expression. In fact, to explain this, we will refer to the great change that the human rights concept faced in the 19th century, moving from treating them as "rights from (or negative) rights to rights in the state (or positive)"<sup>3</sup> that consist in active participation in the formation of political power. Grounded on this division the right question for information is also raised is a right disconnected from the freedom of expression (included in the catalogue of personal rights) or is a component of the latter<sup>4</sup>. Many studies have linked the right to information and freedom of expression, and international documents that provide for and guarantee the right to information have not solved this dilemma for a long time. National legislation has in some cases guaranteed it as a separate right. Despite the diversity of attitudes, what is evidenced relates to the fact that the subject linking democracy with freedom of expression is a citizen who "has a subjective legal position in relation to information". Therefore, we think that while acknowledging the fact that in some legislations the freedom of information is foreseen as a right in itself, we can not yet see it disconnected from freedom of expression.

Freedom of expression itself is a negative right, right to be free from the interference of any censorship, state or private. State non-intervention is a guarantee for the respect of this right. Freedom of expression is in fact the main mechanism that enables the political role of the individual and of different clusters in political life. This presents the first legal situation, that of manifesting thought. Freedom of expression also influences the spiritual and intellectual realization of the individual by introducing us to two other legal situations, such as the one of personal freedom and the right of the individual to realize his personality, this represents the element that enables the inclusion of freedom information in the circle of guaranteed constitutional freedoms. Given this, "the degree of development of a system's democracy is proportional to the degree to which the freedom of expression of thought is known and applied concretely"<sup>5</sup>

In fact, it would be invalid, but it is also impossible to guarantee other rights such as the freedom of the person, the gathering or the organization, unless at the same time giving the citizens the right to express their opinions. Of course, this would be achieved if legal norms would serve, even indirectly, the general interest of information that in a democratic regime requires

<sup>1</sup> Taby M. Freedom of Information: A Comparative Legal Survey, Unesco, Paris 2008, page 27

<sup>2</sup> Anastasi A. Omari. "E drejta kushtetuese" Tirane 2010, shtepia botuese "Pegi" faqe 27

<sup>3</sup> Anastasi A. Omari. "E drejta kushtetuese" Tirane 2010, shtepia botuese "Pegi" faqe 29

<sup>4</sup> Ibrahim G. E Drejta per informim, e Drejte themelore e njeriut" viti 2012, faqe 35

<sup>5</sup> Omari A " Principle ang Institucions of Public Low" 2004 page 18

not only the lack of unjustified, even temporary, obstacles to the circulation of information and ideas, but also the variety of sources of information and access to them. Today, the tendency is for the administration to function as an open body to the public. In this regard, the right to information is presented more as a positive right that dictates positive action by the state to enable its realization. So, considering the right to information as an ingredient of freedom of expression can be asserted that it is not enough to sanction the right to speak and to write freely. It also presupposes the state's ability to exercise it, such as the ability to be informed, gathered, freely operated on the media market, etc. On the other hand, we must admit that the right to information is egocentric; it first serves the intrinsic individual interests. Firstly, in general terms, the right to information can already be said to mean freedom of information and freedom to receive information. The first way of understanding this right lies in the foundations of media freedom and it protects not only the right to inform the journalist (s) but also the sources of information. The second way of understanding protects the public's right to receive information. This conception has evolved from the assertion that the public has the right to obtain information that is served to the principle that the public has the right to request the information itself and concludes with the right to access official documents arising out of or related to "public authority".

### **The right to information and legal acts that ensure its implementation.**

#### **International Acts**

In the international legal framework, the right to information is guaranteed for every person without any discrimination as a fundamental right to know and to receive information. A considerable number of conventions, agreements, recommendations have been created with this object. Our country has ratified a considerable number of them by doing so part of the internal legal system<sup>1</sup>. What is to be noted is that all international documents have defined this irrefutable right and it means that it is inseparably linked to human dynamics. But the definition goes so as to establish a necessary balance between the right to information and the right to protect other personal property rights such as the right to privacy (personal data retention) or to preserve public interest or information classified as national and constituting state secret. From this is repeated even at this moment we have foreseen for national law that even in international law the right to information is not absolute and it should be kept in front of different limits from the public interest

The Universal Declaration of Human Rights 1948 can be mentioned as the first international document that has succeeded on this right, and then mentioned in the Bill of Rights of 1688 it mainly provided for the right of speech and debate in parliament. The Universal Declaration of Human Rights (1789) article 11 emphasized the right of each citizen to speak, to write, to publish freely and to be responsible for the exercise of these rights.

In America (US) The first Constitutional Amendment prohibited the issuance of any law that could hinder freedom of speech and the press. In order to move to regional arrangements, the European Convention on Human Rights mentioned in Article 10 states that every person has the freedom to express opinions, including possession of opinions, obtaining and providing information and ideas without interference by the state authorities<sup>2</sup>. At the European regional level can be mentioned, the EC Declaration on the Right to Information (Article 11), or the Council of Europe Recommendation on the Right to Information on Official Documents No.R (2000)<sup>7</sup>. Regulation of the right to information has also been developed in other regions such as Africa, Latin America, etc. Thus, in October 2000, the Inter-American Commission on Human Rights adopted the Inter-American Declaration on the Principles of Freedom of Expression, of which there is also the right to information. According to this statement, "access to information held by public employees is a right of everyone. States have an obligation to guarantee the full exercise of this right. This principle only allows limitations that must be passed in advance by law to the magnitude of a true and present that endangers national security in democratic societies.

#### **Acquis communautaire and the right to information.**

The right to information that has been received by the Ombudsman, as far as the *acquis communautaire* is concerned, include Regulation (EC) No 1049/2001 of the European Parliament and of the Council on public access to European Parliament, Council and Commission documents, which sets out the principles general and restrictions on the right of access to documents, this is provided to all citizens of the European Union but also to natural and legal persons resident within the EU<sup>3</sup>. This right sanctioned by this regulation is rooted in Article 15 (ex Article 255) of the TFEU, which aims to "promote good governance and ensure the participation of civil society. The institutions, bodies, offices and agencies of the

<sup>1</sup> Articles 116, 121,122 of the Constitution of the Republic of Albania.

<sup>2</sup> Text <http://www.Magnacartaplus.org/magnacarta/>

<sup>3</sup> Right of access to documents of the European Parliament, Council and Commission - User Manual, Ministry of Integration, Tirana2010

Union must carry out their functions in the most transparent manner possible"<sup>1</sup>. The Regulation provides for the right to request information on official documents held in official journals, the Internet or archives.

The right belongs to any individual, association or trade union of the European Union, without having to provide the motive of this request. The application must be in one of the official languages and may be sent in several ways as ordinary mail, fax or mail. The service does not cost, but it does not exclude the payment for copying or posting. The document may be printed or electronic, but it may also be requested to be seen by the institution. The deadline for the response from the institution is 15 days, or 30 days in exceptional cases. The Regulation also includes cases where the request can be rejected as for: public interest (public security, defense, relations with third countries or economic and financial policy); privacy and integrity of the individual; the commercial interests of a person or undertaking; judicial processes and legal protection; purpose of inspections, investigations and audits; the decision making processes of an institution. In limiting this right, the principle of proportionality must be respected by establishing a balance between the entity's interest in the document and the damage it may cause to be given. Refusal to provide documents should be accompanied by an explanation of this refusal. Refusal may be appealed to the institution itself, which has refused to provide the document or has silenced the request. For this reason, it can be denied that the right to be denied to the institutions and structures within the EU can be exercised.

### **Normative Legislation in the Republic of Albania**

The right to information is one of the fundamental human rights under the Constitution of the Republic of Albania. Regarding normative regulation in this area, the constitution has foretold general regulation, which means that there are a number of other normative acts that have regulated this right in detail.

#### **Protection of the right to information at the constitutional level**

In the Constitution of the Republic of Albania regarding the right to information is provided by Article 23 where it is precisely provided:

- The right to information is guaranteed,
- Everyone has the right, in accordance with the law, to obtain information on the activities of state bodies, as well as persons exercising state functions,
- Everyone has the right to attend the meeting by the elected collective bodies.

From this we understand that every citizen has the right to be informed, the state's duty to inform his citizens lies in this, so the public bodies that the people chooses must be open and the people's participation must be free according to a procedure well adjusted<sup>2</sup>. On the other hand, the right to information is inviolate, indivisible and non-alienate<sup>3</sup>, thus securing this right in this way a special protection from any restriction ungrounded in the laws.

The purpose of the provision of this right in the constitution: that, after guaranteeing respect for a right considered as fundamental to the system of political and institutional organization of the legal state, and secondly to formalize the importance of the right by establishing it at the constitutional level,<sup>4</sup> this has led to the primary level of other rights that are provided simply at the legal level. From this we understand that this right is protected in its implementation not only according to the constitutionality but also the legality principle<sup>5</sup>.

From the examination of the relevant constitutional provisions, we understand that this right is not absolute (just like any other right), as is clearly stipulated the limit of its limitation. According to the general constitutional principles, the restriction of any right, including the right to information, can only be made according to the criteria set out in article 17 of the constitution,

- Only with laws (formal material)

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<sup>1</sup> See also page 8

<sup>2</sup> The principle of open meetings is explicitly provided in Article 34 of Law No. 8652 "On the Organization and Functioning of Local Government Bodies"

<sup>3</sup> Constitution of the Republic of Albania, Article 15

<sup>4</sup> Zaganjori XH, Anastasi A. Cani E, Rule of Law in the Constitution of the Republic of Albania, page 56

<sup>5</sup>Article 23 of the Constitution of the Republic of Albania

- To meet the requirements of public interest
- The essence of the right should not be violated
- There should not be more than three limits set by the ECHR.

The right to information under the Constitution is regulated in two respects: first, as a right to be informed about the activity of the second state bodies, information on the personal data of persons exercising state functions. This right can be exercised by any person without any discrimination. This right undoubtedly relates undivided to two important principles, which are the principle of transparency: exercised through the public disclosure of activities and meetings of public bodies.

The principle of co-operation of legal entities (natural or legal persons) with bodies that exercise public functions. This is achieved through the participation of the subjects of the right in different fields that are in conflict with their interests in decision-making administration and the information that these administrative bodies are obliged to inform about the issues envisaged in the laws. Public participation is an effective tool for enhancing the quality of decision-making, transparency, public awareness of the rights that are guaranteed by legal norms.

The right to information in the Constitution is also regulated in other articles. An important place is the criminal procedural guarantees of the individual, namely every subject during the criminal process has the right to be informed promptly and specifically about the accusation made and about the right that he enjoys in relation to the criminal process<sup>1</sup>

The right to information is indeed a fundamental right guaranteed by the state's own constitutional law (Constitution) but should not contradict the right of privacy that every subject of the right enjoys and is viewed indivisible from dignity human. The constitution itself has foreseen that no one can be compelled, except when the law itself provides for disclosure of data relating to the person himself<sup>2</sup>.

It is foreseen in this article that the collection of the use and disclosure of the data of the person without its consent is prohibited by law, except when it is carried out for public interest. Another area that is related to the right to information is the environmental one, in which case the constitution provides that: everyone has the right to be informed about the state of the environment and the measures taken for his protection<sup>3</sup>.

All this provision, which the constitution itself has foreseen, seems that the right to information is a fundamental right which is undisputed to human dignity, which has a general defense, including the criminal, administrative, environmental field, which is regulated in detail from the legal system (coming in hierarchical scale after the constitution), but we must emphasize that, like any other right, this right is not unlimited and absolute. In order not to abandon the abuses itself, the constitution has foreseen the limit and the limitation and then the concrete arrangements are made by legal norms, ministerial council decisions or administrative acts.

### **The rule of law on information at the legal level**

The Law "On the Right to Information in the Republic of Albania"<sup>4</sup>

The Albanian law "On the right to information" should be seen not only in a formal sense, as it guarantees a general right to freedom of information. Created to regulate the right of access to information produced or maintained by public authorities. In this way it regulates a legal relationship, which defines the object for which the subjects of the right to information "enter into legal relations and focus their mutual rights and obligations"<sup>5</sup>. Thus, the object of the right to information is what Article 1 of the law expressly provides "the right to information on documents produced or maintained by a public authority". From this we understand that at the center of the analysis will be the question of who is considered with public authority and public information.

"Public authority" means any administrative body provided for in the legislation in force for administrative procedures, legislative, judicial and prosecutorial bodies at every level, bodies of local government units of all levels, state bodies and public entities, established by the Constitution or by law;

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<sup>1</sup> Article 15 of the Constitution of the Republic of Albania

<sup>2</sup> Article 35 of the Constitution of Republic of Albania

<sup>3</sup> Article 56 of the Constitution of Republic of Albania

<sup>4</sup> Law "On the Right to Information in Rep. of Albania "No.119/2014

<sup>5</sup> Omari L. Principles and Institutions of Public Law, Sixth Edition, Tirana 2004, page 326

"Public Information" means any record recorded in any form or format during the exercise of a public function, whether or not it has been compiled by the public authority.

Defining the above concept is important because it gives us not only the information that may be provided by the public authority but in this way we see the change with the previous legal norms as far as the right to information is concerned is related to indefensible with the concept of "official document" specifically with:

"An official document is understood as a document of any kind held by public authorities<sup>1</sup>, a definition that leaves the possibility of considering the necessary conditions for a document to be considered as such: is held by a public authority and is assessed in accordance with specific rules, or drafted by a public authority.

Article 3 of the Law "On the Right to Information" recognizes a general right to information, which is concrete in the law that the law recognizes every person to seek<sup>2</sup>: persons exercising state functions; (Article 3, paragraph 1) Information on an official document, previously given to another person; (Article 3, paragraph 3) Information for subjects with state functions, ie personal data of persons performing state functions or public services kept in an official document, as long as these data are related to the quality required by law or an act by-law on persons performing these duties (Article 5). The law at the same time recognizes the right of the person not to be forced to explain the motives for which the information is sought.

#### **The obligation of public authority is defined:**

- Obligation of the public authority to provide any information regarding an official document, unless otherwise provided by law;
- Obligation of public authority not to refuse to provide information if this information was previously given to another person.

The law does not recognize the right to absolute and unlimited information. The law stipulates that the right to information may be restricted if it is necessary, proportionate and whether the disclosure of information harms the following interests:

- a) the right to a private life;
- b) commercial secret;
- c) copyright;
- c) patents.<sup>3</sup>

So, initially, the restriction should be based on law. The second limitation relates to the information previously provided to a person, information that the authority "should not refuse to give to any other person, unless that information constitutes personal data of the person who was given the information". It should be noted that the law expands the legal regulation regarding the imposition of restrictions on the freedom of information, including the obligation of the public authority to "issue a written statement to the applicant stating the reasons for not giving information and rules on the basis of which he may seek it "(Article 17/4). Limitations can be and are partial<sup>22</sup>; in this case the rest of the data is not rejected to the applicants. Our country respects the possible restrictions imposed by the Council of Europe Recommendation on Access to Official Documents. Obligation of public authority to draft regulations and establish structures for access to information on official documents. Pointing to the level of service provided to the public in Article 10 is clearly defined the powers of the Coordinator for the right to information, namely:

- enables each applicant to have access to public information,
- Coordinates the work to meet the requests for information within the deadlines and in the manner provided for in this law;
- Sends a request for information to another public authority within the deadlines provided for by law.

Time limits<sup>23</sup>: In this case, there is also novelty regarding the law on "Informing official documents" based on this law as defined by Article 11 of the law, according to which the request must be completed within 40 days of its filing. Naturally, this intertwines with exceptions or other adjustments. Thus, if the claim is accepted, after 15 days the applicant may contact the official to know the progress of the claim. If the claim is not accepted, then the official must decide on the full or partial

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<sup>1</sup> Law no.8503.30.06.1999."On the Right to Information on Official Documents". Article2,item B

<sup>2</sup> Chapter I, Article 3 of the "Law on the Right to Information"

<sup>3</sup> Therein, chapter IV article 17

rejection within 15 days of filing the claim; this is accompanied by a written response where the authority, besides refusing the request, also identifies the reasons for this refusal<sup>24</sup>. There are also exemptions from the 40-day deadline for completing the request for information, exceptions that are provided by this law and refer to postponement of the deadline for the response. The Authority may postpone the deadline for completing the request if it is impossible to complete the request within 40 days for two reasons: the particularity of the request and the necessity of consulting with a third party. Set a new deadline, which begins at the end of the previous deadline and can not be longer than 10 days without the right to repetition.

<sup>22</sup> There is also Article 17 item 5

<sup>23</sup> Law "On the Right to Information" No.119 / 2014 ", Article 10

<sup>24</sup> Law on Notification of Official Documents, No. 8503/1999, Article 10

<sup>25</sup> Law "On The Right to Information" No.119 / 2014, Article 15, point 1

As with the new law, the timing of information changes, the public authority principally addresses the request for information by submitting the required information as soon as possible, but no later than 10 working days from the day of its submission, except for cases when the special law provides otherwise<sup>25</sup>. When the public authority receiving the request for information sends it to another authority, it shall reply no later than 15 working days from the day of receipt of the request to the first authority. This distance can be extended for no more than 5 days for justified reasons.

### **The Roads for Complaining for Violating the Right to Information**

**Administrative Complaint:** Any person, when considering that the rights provided by this law have been violated, has the right to appeal in an administrative manner to the Commissioner for the Right to Information and Protection of Personal Data in accordance with this Law and the Code of Administrative Procedures. Deadlines for this case are: the right of the entity to make an appeal against this authority from his claim of a violation of the right within 30 days, and in front of him lies the obligation of the Commissioner for the review of the complaint.

If the Commissioner for the Right to Information and Protection of Personal Data does not make a decision before the expiration of the deadline, the complainant shall be entitled to appeal to the court.

**Appeal in court** The applicant or the public authority has the right to appeal the decision of the commissioner to the competent administrative court.

### **Recommendations**

Such a definition of the right to be informed has gone through constitutional and legal provision, which is not always enough to meet the standards required to respect this right, for the clear fact that enforcement practices are still associated with problems and difficulties that relate to the existence of the mentality, which considers the administration as a secret, almost mystical activity. For this I see the need for disclosure of some general recommendations:

Awareness of the community about the opportunities provided by the legislation on the right to information and specifically on access to official documents. The fact that the court has a negligible number of issues with the object of the right to information confirms this recommendation as indispensable.

Training of public administration employees and other government bodies in relation to the law and the obligations it imposes on them. We think that the focus should be on local government bodies that have direct contact with citizens and their information needs. Basic materials on which competitions are supported for inclusion in the civil service should also include the recognition of the Law "On the Right to Information".

Recognition of public administration with the obligation to be an "open administration", according to the legal requirements of the Law "On the Right to Information" and the Code of Administrative Procedures.

Promoting activities that inform the public and create opportunities to attract public opinion about its interests and the manner in which public administration obligations are fulfilled.

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## **Inclusive Education in Bangladesh: Digging Deeper into Educational Prospects of Children with Disabilities in Bangladesh**

**Bushra Zulfiqar**

**Mohammed Kamal Hossain**

**Md. Shahinujjaman**

**Md. Najmul Hossain**

Education Team, Save the Children, Bangladesh  
HOPE, Education Sector, Save the Children, Bangladesh

### **Abstract**

This paper explores multiple dimensions of inclusive education in Bangladesh's targeted schools. It compares the educational performance of children with disabilities to children without disabilities analysing their participation, retention and school completion rates. Through quantitative and qualitative analysis, it tries to explore the existing inclusive education practices at school level for quality and learning. The study uses community resource mapping, open-ended interviews, field observations, a quality assessment framework and literature review as the main research tools. The study found that at the primary level while significant number of children with disabilities enrol, their participation gradually decreases in the upper classes. In the targeted schools, enrolment of children with disabilities was at 35% in grade 1, which reduced to 31.5% in grade 2, further to 25% in grade 3 and to as low as 8.5% in grade 4, demonstrating a consistent decline in participation rates ( $\sigma \pm 11.7$ ). Thus it became clear that significant number of children with disabilities were unsuccessful to get promoted to the next grade or got dropped out every year from the schools. The study findings also suggest that despite the drop outs, teachers in the targeted schools found the enthusiasm and responsiveness of children with disabilities highly positive.

**Keywords:** inclusive education, children with disabilities, educational performance, quality education, learning environment

### **Introduction**

Since Salamanca Declaration, globally there has been a major shift from segregated modes of education towards inclusion. The values of inclusive education would ensure welcoming environment in schools, free from the effects of negative forms of discrimination based on gender, culture, ethnicity, disability, religion or socio-economic backgrounds have gained growing recognition (UNESCO, 1994). However, it is still a long way to go before educationists worldwide can claim to have embedded inclusiveness systematically and consistently across the vast spectrum of education. It has been found that teachers in particular feel less confident and motivated to include children with disabilities in their teaching and pedagogical delivery (Forlin, C. *et al.*, 2009). The importance and effectiveness of child centred, customized teaching-learning approaches are yet to be fully conceived and materialized.

In Bangladesh children with disabilities have traditionally been among the most marginalized group of children. The impact on their educational development is often severe and vastly hampers their growth potential. A recent study found that, of an estimated 1.6 million children with disabilities of primary school age, only 4% have access to education. In areas where there were disability-related interventions exist, 18% had this access. Of this group 48% were enrolled in formal education, 23% in privately run integrated schools, 15% in special education, 5% in inclusive education programs and 9% in various other types of education. It also found that the proportion of students with disabilities in school decreased with age, falling from 44% among children aged 6 to 10 to just 15% among adolescents aged 16 to 18 years, indicating high dropout rates (Directorate of Primary Education DPE, 2002).

Currently the number of children with special needs enrolled in DPE managed schools grew faster than the Government of Bangladesh sector program Primary Education Development Program II (PEDP II) targets for all types and in particular for children with physical disabilities and eyesight problems. There was a striking 50% increase in the numbers of special

needs children between 2005 and 2011. The enrolment trend gradually declined from 2012 and stands at 76,522 in 2014. The reason might be the teachers were not properly trained in recognizing the children with special needs before 2012 (DPE, 2015). However, it is not clear to what extent the trend indicated growing enrolment or simply better identification of students with disabilities. There is a need to continue to enhance regular data collection methods to ensure children with disabilities are counted in order to argue for appropriate resource allocation for inclusive education. Despite significant progress in access to primary education, 4 million school going age children including children with disabilities are still out of school in Bangladesh (BBS, 2014). This indicates that the ensuring Right to Education to all children is still a multi-fold challenge in the education system of Bangladesh.

Considering this context, education team of Save the Children in Bangladesh felt the need for an explorative research to assess the present educational status of children with disabilities in the targeted areas of an inclusive education project: Holistic approach towards Promotion of Inclusive Education (HOPE). It is being implementing in Belkuchi, Karimganj and Savar Upazilas of Sirajganj, Kishoreganj and Dhaka districts of Bangladesh respectively. The project is working with 45 government primary schools (15 per Upazila) as well as 6 Unions in these areas. The key objective of this project is to reduce the discrimination against the children with disabilities in the education system and improve quality of education for all children through inclusive education approaches. The research question was twofold:

what is the performance of children with disabilities in targeted schools in comparison to other children (Peers), particularly in terms of retention, participation, and completion, and

what are the existing inclusive education approaches and practices in the targeted school in terms of learning environment, materials and methodologies?

### **The Context of Inclusive Education**

As per the Sustainable Development Goal (SDG) 4 the new target for all developing countries is to develop an equitable, inclusive and quality education system for all children by the year 2030 (UNDP, 2015). All countries throughout the world including Bangladesh are attempting to address the inequalities and barriers in access and quality of education through inclusive education reforms. Different international policy reform initiatives such as Education For All (EFA) 1990, the Salamanca Declaration (UNESCO, 1994), Millennium Development Goals (MDGs) (UN, 2008); the UN Convention on the Rights of Persons with Disabilities have influenced different national policies in Bangladesh, for instance, the National Plan of Action Phase II (NPA II) 2003-2015 (MoPME, 2003), National Education Policy 2010 (MoE, 2010) and interventions that include the Second Primary Education Development Program (PEDP 2), PEDP 3 in the primary education sector and the Teaching Quality Improvement (TQI-SEP) in the secondary education sector. Specifically, the National Education Policy 2010 (MoE, 2010) has made systematic attempts to integrate children with disabilities in the mainstream schools and conduct training for at least one teacher from each school on how to teach children with disabilities. These initiatives are some of the milestones of the Government of Bangladesh's intention to enact the principles of improving learning for all students.

In an inclusive education setting, it is very important to cherish learners' diversity recognizing their unique educational needs. It focuses both on the quantity and quality of the education system. Conceptually, inclusive education means improving whole school environment to ensure presence, participation and achievement of all children with an aim of achieving quality education for all learners (Ainscow, 2005). Many educationalists (e.g. Ainscow, 2005) opined that the broader objective of inclusive education is to achieve equity and social justice for all citizens in every aspect of life. Ainscow (2005) defines inclusive education as, "*The process of addressing barriers to the presence, participation and achievement of pupils in local neighbourhood schools*". The guideline prepared by the UNESCO (2009) based on the International Conference on Education (ICE) 2008 described Inclusive Education as "*a process aimed to offering quality education for all while respecting diversity and the different needs and abilities, characteristics and learning expectations of the students and communities, eliminating all forms of discrimination*" (p. 18).

Hence, it is clear from reviewing different definitions of inclusive education that the values of inclusive education are to include all children into education in a meaningful way. It is also important to note that inclusion does not mean just enrolling children into schools; rather it demands full and equal participation as well as completion of a quality education cycle by all children. Long term policy reform initiatives need to be taken into account to understand how the policies promoted the concept of inclusive education over the years. Based on the globally accepted concept of inclusive education, the Government of Bangladesh has developed the functional definition of inclusive education through the PEDP 3 documents which is as follows:

*"Inclusive Education is an approach to improve the education system by limiting and removing barriers to learning and acknowledging individual children's needs and potential. The goal of this approach is to make a significant impact on the educational opportunities of those: who attend school but who for different reasons do not achieve adequately and those who are not attending school but who could attend if families, communities, schools and education systems were more responsive to their requirements"* (Ahuja & Ibrahim, 2006, p. 6).

Save the Children has a strong policy position in this regard and defines inclusive education as "one dimension of a rights based quality education which emphasizes equity in access and participation, and responds positively to the individual learning needs and competencies of all children". Together with development community and other stakeholders, it actively works to ensure that every child, irrespective of gender, language, ability, religion, nationality or other characteristics, is supported to meaningfully participate and learn alongside his/her peers, and develop to his/her full potential' (SC, 2014). The success of an inclusive education intervention largely depends on teachers because they are to play the most crucial role in classroom practice (Jerlinger et al, 2010). A number of studies suggest that teachers also develop negative attitudes towards students with children with disabilities and they are less likely to accept any changes in their pedagogical practices (Barnyak & Paquette, 2010); Malak, 2013).

Shedding light on the broader exclusion context in Bangladesh, a major education player Campaign for Advancement of Mass & Popular Education (CAMPE) in 2011 reported that large percentage of children with disabilities are still out of mainstream education. The rate of enrolment among these children is very low to begin with and further compromised by lack of adaptive ability within the school environment, no or low scopes of personal assistance, absence of accessible transportation, inaccessible infrastructure and environment, negative attitude of the family, teachers and community. Most of the children with disabilities initially enrolled do not complete their primary education due to reasons like lack of public transportation, inaccessible transportation, absence of trained teachers, absence of accessible disability friendly toilet in schools, inaccessible school environment, negative attitude of parents, teachers and bullying by peer children and no or low implication of the existing policy related to education of children with disabilities. Research also show that specialized training for teaching students with learning disabilities can help educators and teachers feel more capable and become effective while teaching students with disabilities (Kosko & Wilkins, 2009). However, Munir and Islam (2005) reviewed the Bangladesh's primary level pre-service teacher training curriculum and reported that the curriculum lacks inclusive education related materials. Additionally, another evaluative study on the state of inclusive education in Bangladesh conducted by Ahuja and Ibrahim in 2006, reported that the pre-service teacher training program was not supportive enough for the primary school teachers to be confident and competent for inclusive classrooms.

For children with disabilities some special learning materials are required. Special needs learning materials include speech and language development, social and emotional skills, motor skills, sensory awareness, tactile awareness, visual discrimination, core skills and professional resources. In the mainstream schools these resources are not available to facilitate special need children and it makes the any learning very difficult and challenging (Kawser, U., Ahmed, M., Ahmed, M. 2016).

There have been few studies looking at the academic achievement of regular education students in an inclusive classroom setting with special education students. The overwhelming majority of the research is qualitative in nature and focused on successful instructional strategies for inclusive settings. Robert Scott Spence (2010) examined the effects of inclusion on the academic achievement of regular students. The academic performance of regular education students placed in an inclusive setting with children with disabilities was compared to the academic performance of regular education students not placed in an inclusive setting. No significant difference was found in the performance. Similarly Sermier Dessemontet R. Bless G. (2013) examined the impact of children including children with intellectual disability (ID) in general education classrooms with support on the academic achievement of their low-, average-, and high-achieving peers without disability and found that there are no significant differences in the progress of the low- average, or high-achieving pupils from classrooms with or without inclusion. In terms of educational achievement in inclusive settings, there is no significance difference in the academic performance of regular education students placed in an inclusive setting with children with disabilities compare to students who are in non-inclusive settings.

## **Materials and Methods**

Both qualitative and quantitative data were collected, considered and analysed to explore the present scenario of educational progress of children with disabilities in Government Primary Schools (GPS) of 3 Upazila (Savar, Belkuchi and Karimganj) of 3 districts (Dhaka, Sirajganj and Kishoreganj). Community Resource Mapping (CRM), Parents Opinion Survey (POS), Semi-structured interview, Focus Group Discussions (FGD), literature review, and Quality Learning

Environment (QLE) assessment tool have been conducted to collect data from different stakeholders. This study has been accompanied in the Save the Children HOPE project areas Belkuchi, Savar and Karimganj Upazila. Total 45 schools were selected, 15 GPS from each Upazila. In line with the aims of the study, 45 schools and their catchment areas were the population of this study where CRM have been drawn initially. As per CRM data a total of 400 parent's opinion survey was conducted to explore the present situation of children's educational rights.

To explore quality learning environment of schools a Quality Learning Environment (QLE) assessment has been done in 45 GPS. In basic education of the QLE, four guiding principles are generated that reflects the conditions under which children are most likely to thrive and learn. The guiding principles for QLE are:

*Guiding Principle One:* Save the Children – supported education programs meet the emotional and psychological needs of children.

*Guiding Principle Two:* Save the Children–supported programs are protective of children's physical wellbeing.

*Guiding Principle Three:* Save the Children – supported programs encourage and support active engagement for learners, child centred teaching, and improved learning outcomes of all the learners.

*Guiding Principle Four:* In Save the Children – supported education programs, parents and local communities are actively involved in planning, decision-making and actions to improve education.

In QLE Assessment tool according to the guideline there are different indicators which are measured by 4 rating scales. The following definitions have been followed for scoring:

Score	Description/Meaning
<b>1 = Indicator is not at all achieved.</b>	There is no evidence that any effort have been made to achieve the monitoring indicator
<b>2 = Indicator is partially achieved</b>	Some efforts to achieve the monitoring indicator are observed, although they are not enough to achieve the indicator. Some additional work is required to ensure the indicator to be achieved
<b>3 = Indicator is achieved</b>	There is consistent evidence that the monitoring indicator has successfully reached the learning environment
<b>4 = Indicator is exceeded</b>	There is direct and consistent evidence that level 3 has been achieved and that the indicator has exceeded education project/program level expectation or objectives. There is evidence that a variety of method is used to go beyond the minimum expectation set by the education project/program and ensures an exceptionally high/excellent level of quality during implementation
<b>Not Applicable (NA)</b>	NA used if the project or program activities do not specifically target the activities described by an item. For example, if the project does not deal with program refurbishment or construction, the data collector can score NA to items that do not deal with a program or learning site's physical environment.

However, to compare the learning outcomes of children with and without disabilities annual performance data has been collected from 15 schools (5 from each Upazila). In total 191 children were selected for data collection who are currently studying in grade one to four, learner performance measuring tools have been used to collect annual performance data of respective children. There were six schools (two schools from each Upazila) selected purposively to conduct FGDs and semi-structured interviews for triangulation of data. FGD was conducted with parents and students and semi-structured interviews were conducted with Upazila Education Officers, Assistant Upazila Education Officers, Head Teachers, Assistant Teachers, Union Parishad Chairman/ members, Partner Organization Officials and School Management Committees (SMCs).

## Results and Discussion

This section includes the data analysis and findings from quality learning environment assessment, learner's performance measurement, community resource mapping, parent's opinion survey and FDGs. Before presenting details findings a summary of demographic information is presented:

### Demographic Information

The demographic information is derived from the Parents Opinion Survey data followed by Community Resource Mapping (CRM) findings. From three Upazilas, a total of 400 out of school children including children with disabilities were found through community resource mapping. Parent's opinion Survey was conducted with the parents of these 400 children. It is also analysed that 278 children are out of school and among them 112 are children with disabilities. On the other hand, in total 156 are dropped out from the schools which includes both children with and without disabilities. Most of the children are aged between 9 to 14 years and 63.5% are male. Among the respondents, 41.50% are aged between 26 to 35 years. Moreover, 64% of them are female, 96.25% are Muslim, 40.75% are illiterate, 31.75% have level of education below grade V and 94% have level of education below Grade X, 54% have family member between 5 to 7, 71% families monthly average income below 5000 Taka (below USD 2 per day).

### Learning outcome of children with disabilities in comparison with other children (Peers)

#### Retention

Study revealed that, though it has been said by the school authority and education officials that almost 100% child are enrolled in that areas but still a big number of children are not in school. The national enrolment rate has the same success story of having 97.94% children enrolled in the education system. However, the completion rate is 80%, leaving 20% children out of school by grade five (DPE, 2012). It has been found that, among the children with disabilities (n=234) only 52% (n=122) children are now going to schools and almost 48% (n=112) children are being out of school (figure 1). Among the identified household, 234 children with disabilities have been observed considering their visible disability or impairment.



Figure 1: Enrolment and out of school scenario of children with disabilities.

#### PARTICIPATION

the Assistant Teachers of Selected Schools Argued that, "We Try to Engage Students as Much as Possible in the Lessons. However, It Was Not Always Possible to Make 100% Participation in the Class as the Number of Students Are Huge". Some of the Teachers Also Mentioned that They Try to Ask Individual Questions, Give Class Work and Evaluate the Note Book, Make Groups and Ask Questions to the Group or Group Leader to Present Sometimes Based on the Topic Etc. in Classroom Children Also Participate in Classroom Management and Co-Curricular Activities. While Giving the Information About Students' Participation in School Development and Student Voice, the Assistant Head Teacher Uttered that, "Students Seems Involved in Organising the Cultural Program and Also in Class Leadership".

in Classroom Observation, It Was Found that Most of the Students Were Participating in the Lessons and Were Actively Engaged as Well as Teachers Were Found Very Positive and Following An Interactive Teaching Methodology Through Group Work. Assistant Teachers Mentioned that, Group Work Activities Engage All the Students Even Those Who Feel Shy to Talk and Participate Visibly. Besides Group Work, Teachers Also Do Lecture Method and Use Question-Answer Method to Assess the Students. Though They Believed that It is Not Possible to Measure All the Students Learning Outcome with Only Question-Answer Method, Still According to Them, Big Classroom Size Indirectly Forces Them to Do so. Based on the QLE Data (Figure 2) It Has Been Found that, a Number of Schools of Karimganj and Savar Upazilas, Except for Belkuchi Achieved the Indicator on "Learners' Participation During Development and Implementation of Teaching and Learning Activities". It Was Also Found that Few Schools from Both Savar and Karimganj Upazila Achieved the

Indicator of "Participation During Teaching and Learning Activities for Children at Risk of Marginalization", Whereas Belkuchi Upazila Could Not Achieve this Indicator at All.

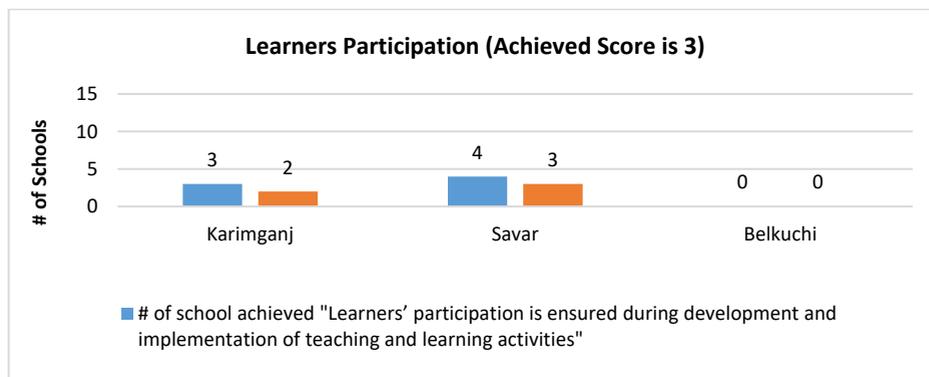


Figure 2: QLE Standard Indicator showing learners participation.

In Social and Cultural Activities, Though Children with Disabilities Who Are in School Get the Opportunities to Participate, but Their Level and Quality of Participation Remains Low. Data Revealed that, 61.44% Children with Disabilities Who Go to School, Participate to Some Extent in Sports and Cultural Activities Whereas Only 18.69% Out of School Children with Disabilities Participated in the Sports and Cultural Activities (Table 1).

**Table 1: Participation of sports and cultural activity**

Participating in sports and cultural activity		
Children type	Yes/No	Percentage
Child with disability in school	Yes	61.44%
	No	38.55%
Child with disability out of school	Yes	18.69%
	No	81.30%
Out of school children	Yes	34.45%
	No	65.54%

Similarly, only 10.84% children with disabilities who are in school can participate in social club activity, whereas only 0.9% children with disabilities from out of school children can participate in social/ club activity (Table 2).

**Table 2: Participation of Social/club Activity**

Participating in social/club activity		
Child Type	Yes/No	Percentage
Child with disability in school	Yes	13.11%
	No	86.89%
Child with disability out of school	Yes	1.7%
	No	98.03%
Out of school children	Yes	5.57%
	No	94.42%

A school going child also said that, "Soikot (name of child with disability) do not participate in the game with us. I think he should participate, but I fear, if he gets hurt".

### Completion

In total 40 Children with disabilities were enrolled in 15 GPS. Among them 42.5% were girls' which is significantly less than boys (57.5%). It was also found that, among the enrolled children, 27.5% children had physical disability which is higher

than others form of disability that are 22.5% children had speech impairment, 15.7% children had visual impairment, 7.5% had hearing impairment, 5% had psychosocial problems and rest 20% were in others categories.

In the school, it was observed that number of children with disabilities decreased gradually in the upper classes. Data showed that, total number of children with disabilities in the school were 35% in grade 1, 31.5% in grade 2, 25% in grade 3 and 8.5% in grade 4 ( $\sigma \pm 11.7$ ). So, it is clear that significant number of children with disabilities failed to be promoted next grade or dropped out every year from the schools (Figure 3). As per POS, 26% parents' shared the major reason for out of school was functional disability of the children, parent's unawareness, interested to enrol in Madrashas (Kaumi) and not accepted by the schools primarily. On the other hand, 19% parents thought that major reason of children dropped out is also similar and 8% parents addressed their economic problem as a major barriers of children drop out.

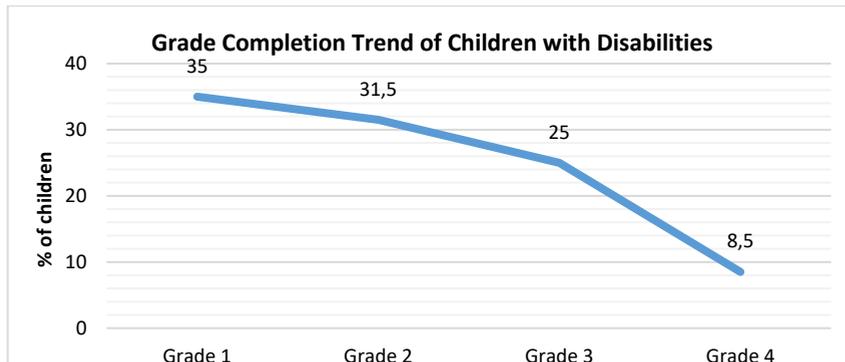


Figure-3: Grade Completion Trends of Children with disabilities.

In order to understand the performance of children with disabilities comparing to other students, grade wise performance and score in last year in Bangla, Math and English of grade 1 to 4 was analysed. It was found that performance of children without disabilities in these three subject is better than the performance of children with disabilities. Among three subjects, performance in English ( $\sigma \pm 10.5$ ) where 17.5% children with disabilities and 2.7% children without disabilities failed which is comparatively poor than Bangla ( $\sigma \pm 7.4$ ) where 15% children with disabilities and 4.6% children without disabilities failed and in Maths ( $\sigma \pm 6.5$ ) 12.5% children with disabilities and 3.3% children without disabilities failed. In overall result, 15% children with disabilities were failed where only 4.6% children without disabilities failed ( $\sigma \pm 7.4$ ) (Figure 4). It was also found that for boys (with disability) enrolment rate is higher than girls (with disability). But girl's performance is better than boys. In the last year school final exam, overall 21.7% boys failed which is three times higher than girls (5.9%) ( $\sigma \pm 11.1$ ). We have found similar trends in the subjects of Bangla, English and Math; girl's performance is better than boys.

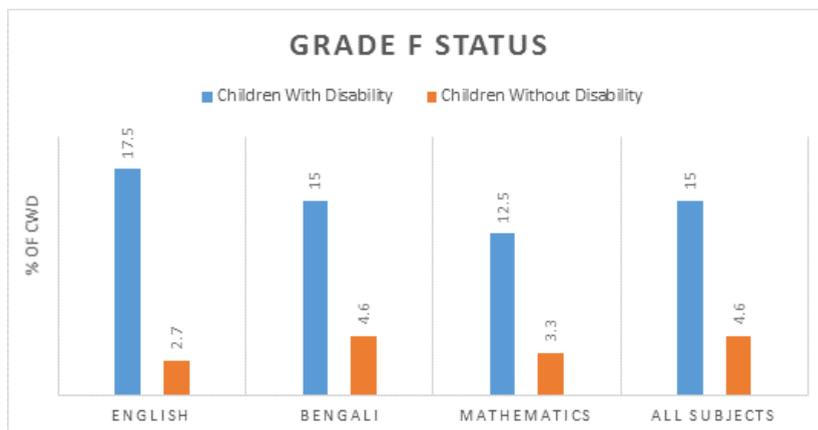


Figure 4: Grade wise failed status of children with and without disabilities.

Inclusive Education Approach

## Learning Environment

Considering QLE standard and inclusive, it has been analysed that the obtained score of 4 guiding principles for 45 GPS is 1.94 and 1.74 respectively out of 4 ( $\sigma \pm 0.15$ ). So its reveals that out of selected target schools, not a single school has achieved all guiding principles together i.e score is 3 to 4 (Table 3).

**Table 3: Quality Learning Environment in the Schools**

QLE Guiding Principle (Scoring: 3-4= Achieved, <3=Not Achieved)	QLE Standard Score (out of 4)	QLE Inclusive Score (out of 4)
Meet the emotional and psychological needs of learners	1.99	1.88
Protective of children's physical wellbeing	2.10	1.82
Encourage and support active engagement for learners, child centered teaching, and improved learning outcomes of all learners	1.95	1.75
Parents and local communities are actively involved in planning, decision-making and action to improve education	1.79	1.53
Average Result	1.96	1.74

QLE data also shows that few schools of Karimganj and Savar Upazila have achieved (obtained score 3) the "accessible learning space" component of QLE inclusive indicator, while Belkuchi could not achieve it at all. On the other hand, very few schools of Savar and Belkuchi Upazila achieved the indicator on "accessible learning environment in terms of hours, locations and fees including children with disabilities" but Karimganj could not achieve it (Figure 5).

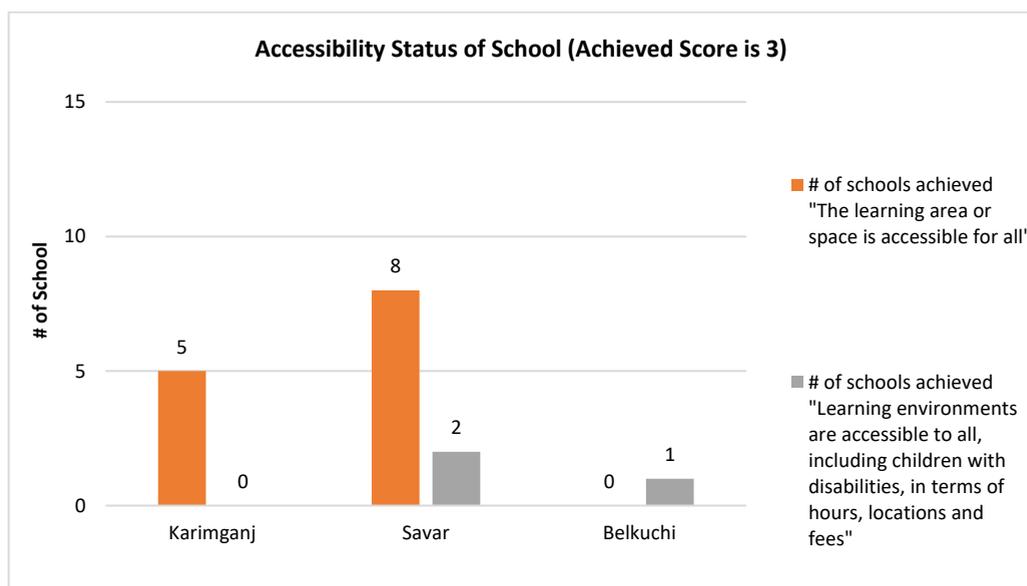


Figure 5: QLE Inclusive Indicator showing accessibility status of school.

Regarding QLE inclusive indicator, more number of schools (13) in Savar and Karimganj Upazila have achieved the indicator "Teachers are present in their classes" ( $\mu=3$ ) while Belkuchi Upazila having less ( $\mu=2$ ) than compared to that two Upazilas. However, in case of providing continuous support in relation with inclusive education to improve their practice in classroom, some schools of Savar, Belkuchi and Karimganj (only 27% out of 45 GPS) achieved the indicator. Moreover, about the indicator on "Teachers develop, follow and adapt lesson plans to the needs and abilities of learners in their classes in a systematic way" Belkuchi and Savar Upazila did not achieve the indicator ( $\sigma \pm 0.7$ ) at all whereas only one school of Karimganj Upazila achieved this indicator (Figure 6).

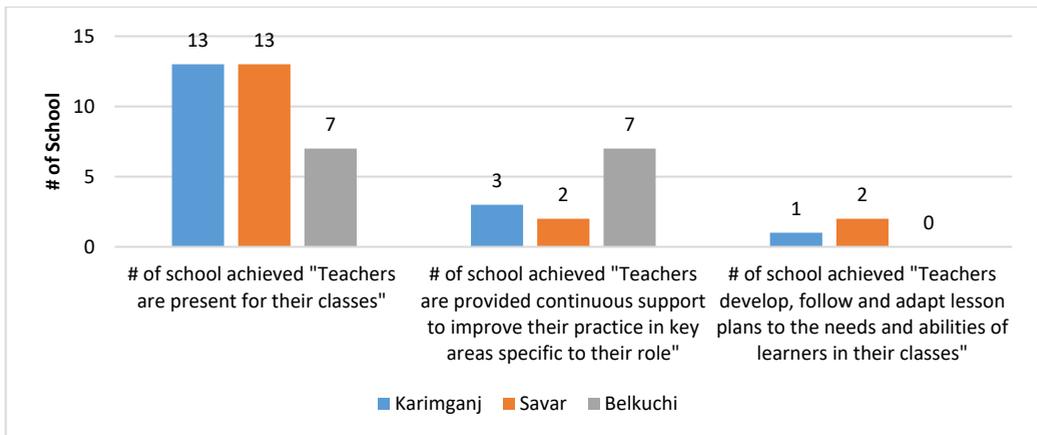


Figure 6: Teachers presence in classroom in an inclusive view.

However, observers found that despite not having lesson plans teachers were positive in engaging students in classroom activities. It has been observed that, most of the students were participating and actively engaged in classroom activities and teachers were found much positive about engaging students in activity based group work in some of the lessons. Assistant teachers echoed the same saying that, group work activity can engage all the students, even the ones who feel shy to converse with the teachers. Apart from group work, teachers also conduct sessions and assess the students using the lecture and the question-answer methods. Though teachers have accepted that it is not possible to measure the learning outcomes for all the students by using only the question-answer method, however, according to them, big classrooms and huge number of students forced them to do so. Teachers also accepted that, it is not possible to take proper care of the slow learners and weak performers at all the times.

### Teaching Materials

It was found that, teachers use different methods of teaching and learning as well as various type of materials to make the lesson easy and interesting to the students. Teachers from all areas informed that they use real objects such as- clock, trees, leaves etc. in the lessons along with pictures, posters, charts prepared by them. In addition to ensure active participation of the students, question-answer session, peer work, group work are common ways that used by the teachers.

### Teaching-Learning Methodologies

As a part of teaching learning process, the lesson plan is one of the most important components in the teaching-learning which assists a teacher to get impactful preparation for a lesson. Few government officials informed that, all the teachers are asked to share their lesson plans beforehand but, data revealed that, the majority of the teachers do not follow any lesson plan. Few teachers bring written lesson plans and conduct their session according to the plan while many other prepare their lesson without following the formal lesson plan structure.

It has been found that, in case of using mother tongue in the classroom only 3 schools of Savar ( $\mu=2$ ) and Karimganj Upazila ( $\mu=1$ ) achieved the indicator, whereas there is no data or that no concrete evidence of teachers using mother tongue in Belkuchi Upazila. On the other hand, all the 3 Upazilas somehow achieved the QLE indicator of "Teachers ask individual questions and interact with the learner" for 1 to 5 schools (6% to 33% of 15 GPS ) while 2 to 5 schools (13% to 33% of 15 GPS) of Karimganj and Savar Upazila respectively achieved the indicator of "Teachers use some form of informal or formal learning assessment either on an on-going basis or at specified times during the school year" while no schools in Belkuchi Upazila have achieved any results for this indicator (Figure 7).

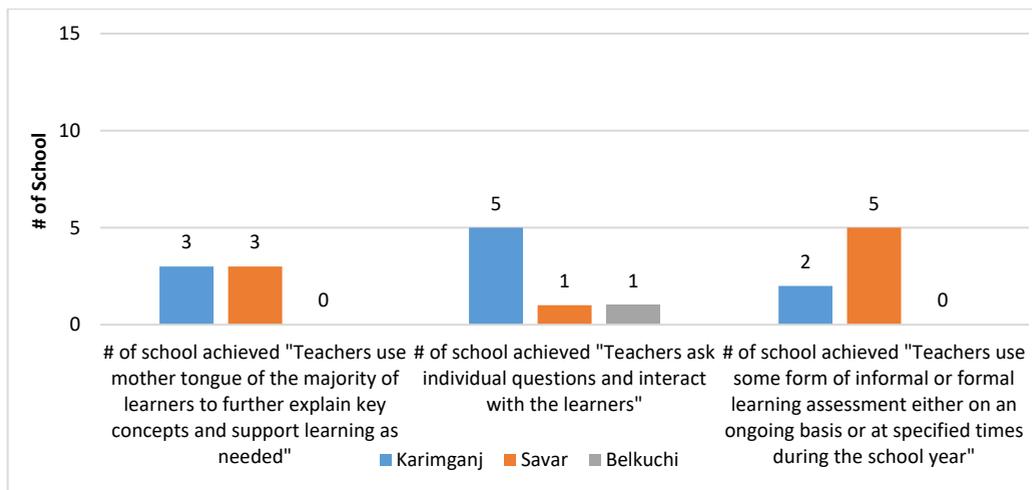


Figure 7: Teachers support to children in standard view.

It has been also analysed that, three to six schools of Karimganj and Savar Upazila have achieved results for all the indicators of deaf-mute children who can learn within a normal classroom, teachers interacting with all learners and also using different forms of learning assessment adapting to the needs of the children. Schools in Savar Upazila are comparatively doing better in case of teachers interacting well with all the learners. However, in great contrast it can be seen that no schools in Belkuchi Upazila has achieved any result in any of these indicators (Figure 8).

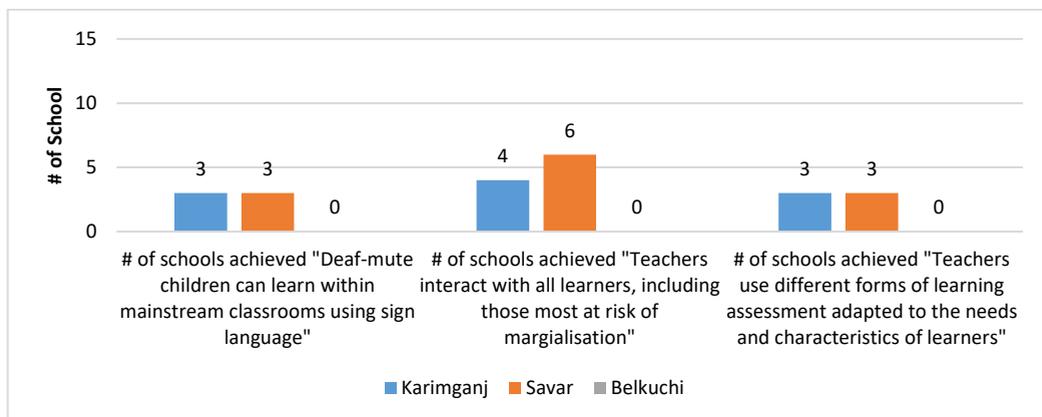


Figure 8: Teachers support to children in an inclusive view.

## Conclusion

To ensure the inclusion of all children in schools, it is critical to comprehend schools' attitudes towards inclusive education. While the school authorities may have a positive approach towards establishing a quality learning environment, overall infrastructural and psycho-social environments are hampering an inclusive school environment. Most of the schools have safety issues, which is the first and foremost requirement which must be met before developing a quality learning environment. The need for a boundary wall around the school premises was rightly emphasized by most of the parents and teachers interviewed. Furthermore, in some schools, other than the teaching process, the overall environment is worsened by the practice of an unfriendly code of conduct and even the use of violence against the students by the teachers. The environment is detrimental for any meaningful participation and learning by children with disabilities.

In spite of the significant achievement in primary level enrolment in schools, still a big number of children are not in schools in the targeted areas. The enrolment status of children with disabilities are 48%. In social and cultural activities, though

children with disabilities who are in school get the opportunities to participate, but the participation of out of school children is very low pushing them further below the marginalization ladder. The number of children with disabilities decreased gradually in the upper classes. Teachers use different methods of teaching as well as various type of materials to make the lesson easy and interesting to the students. The lesson plan is one of the most important components in the teaching-learning which assists a teacher to get impactful preparation for a lesson. But the majority of the teachers do not follow any lesson plan. According to Nes (2000) the way in which teachers are trained in their initial education seems to have a serious role to play in the development of inclusive practices in the schools they will work at in future. In addition, Haug (2003) argues that if student teachers develop inclusive practices at university these will then be transferred later to their practice as teachers.

Despite the fact that this is a rather small sample sized assessment, it could be useful for higher education institutions and developmental organizations that try to design pre-service teachers training and professional development programmes. The authors would like to make the following points recommendations: -

Interventions need to take place for making school environment (pathway, toilet, classroom, drinking water facility, and playground) accessible and safe for all children, particularly those with disabilities.

Needs based budget should be allocated for the education section in local Government yearly budget plan as well a pro-inclusive fund utilization guideline is also required for proper utilization of the existing funds.

Comprehensive teachers training and capacity development interventions need to be made for teachers for making inclusive pedagogy a common practise.

Interventions have to consider providing technical support and guidelines to teachers for developing multi-sensory teaching/educational materials.

Interventions need to focus on ensuring practice of pro-inclusive co-curricular activities at school level also finding practical ways to reach out to out of school children with disabilities.

Interventions have to be designed that would cover the inclusive leadership quality development training for Upazila Education Officers, Assistant Upazilla Education Officers, Upazilla Resource Centre instructors, Union Parishad Chairman.

Interventions should take place to develop a local level professional learning community of practise for solving challenges of implementation of inclusive education at local level.

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### **Notes on contributors**

Bushra Zulfikar, is Sector Director for Education at Save the Children in Bangladesh.

Mohammed Kamal Hossain, is Project Director for an inclusive education project named Holistic approach towards Promotion of Inclusive Education (HOPE)at Save the Children in Bangladesh.

Md. Najmul Hossain, is working in HOPE Project as Manager-Community Based Rehabilitation & Inclusive Education at Save the Children in Bangladesh.

Md. Shahnurjaman, is working in HOPE Project as Deputy Manager-Monitoring Evaluation Accountability and Learning at Save the Children in Bangladesh.

### **Declaration of interest statement**

The authors declare that there is no conflict of interests regarding the publication of this paper.

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## The Relationship Between the Language of Tourism, Tourism and Sociology

Silvia Blanca IRIMIEA, Phd

### Abstract

The unprecedented development of all areas of human concern, in particular the growth of tourism as a central and global phenomenon has drawn the researchers' attention to tourism and the investigative potential of the language used in tourism. This paper discusses the ways in which the English language relates to tourism and sociology, laying particular emphasis on the role language plays in revealing much about how tourism operates, how perceptions, identities are formed and, henceforth, how tourism as a system depends on the use of language. The article is grounded in the seminal works of Dann, G.M. (1996, 1996a, 2012; Mesthrie, R. Swann, J. et al., 2000; Cohen, D. 1984; Dann, G.M. and Cohen, E., 1996, 2001; Thurlow and Jaworsky, 2003; Fox, 2008) and their views on the sociological aspects of the language of tourism.

**Keywords:** the language of tourism, specialized language, the sociology of tourism, language and sociology, the relationship language of tourism-tourism-sociology

### Introduction

Tourism as an industry has boosted at an unprecedented pace over the last decades. Tourism education and training has caught up both with the developments in the tourism sector and the remarkable advancements in other fields, such as linguistics, sociology and IT. In order to design a viable strategy for the development of tourism it is not enough to look at the progress registered by tourism-related areas or academic disciplines, but to consider the contribution of other research areas to tourism, amongst which research in linguistics and sociolinguistics plays an important role.

For some decades the study of the language of tourism has emerged as an ESP or a 'specialised' language, a language used in tourism by tourism staff for tourism purposes. Some decades later, the language of tourism, just like any other language variety, was investigated for its capacity to unveil some aspects of tourism as a prosperous, market-driven industry. At the same time, language was used, or rather exploited, to impose rules of conduct and constraints on the relationships established between actors/providers and beneficiaries of tourist services.

Then, tourism has been linked with the linguistic research carried out in the fields of discourse analysis, critical discourse analysis, interactional analysis, etc., some insight methods which proved helpful in unveiling many of the hidden aspects of tourism discourse and tourism.

While language studies were more driven towards sociological issues and theories and followed a sociological bend, tourism studies also turned to sociology for the clarification of some fundamental concepts which, however, kept the industry growing. The study of the relationship between tourism and sociology started in antiquity but, after some less mature and consistent studies, gained momentum during the 1970s, 1980s and 1990s. The turning point of the sociology-driven research on tourism and on the language of tourism was represented by the outstanding works of Dann (1996), followed by Thurlow and Jaworsky (2003), Jaworsky and Pritchard (eds) (2005), Cappelli (2006), Fox (2006b), Phipps (2006), Brice (2007), Jaworsky, Thurlow, Ylanne-McEwen and Lawson (2007) and others.

Finally, tourism researchers saw in sociolinguistics a valuable aid to the investigation of the world of tourism.

Within this broad context, which became unrecognisably interdisciplinary, the present paper seeks to shed light on the relationships between the language of tourism, tourism and sociology. In this respect, the paper is built around the following main issues: the emergence of tourism education, the study of the language of tourism, the language of tourism as a specialised language, the sociology of tourism, the language of tourism and its sociological turn, and finally, a transdisciplinary view of the language of tourism and its relationship to tourism and sociology. Within this intricate web, the paper also highlights the role played by discourse analysis as a valuable contributor to the sociolinguistic study of tourism.

### **Precursory steps to the study of the language of tourism: the emergence of tourism education**

The concern for *the language of tourism* and its subsequent, more rigorous study is rooted in at least two areas of enquiry: on the one hand, its emergence pays tribute to the development of tourism studies and the rise of tourism education, and on the other, its development is the result of the focus of linguistic research on the language of tourism as a specialized language.

Tourism education emerged slowly but it has developed both steadily and outstandingly over the last 50 years. According to some researchers, it developed in an *ad hoc* and unplanned way in several countries, resulting thus in a visible fragmentation, which has been perpetuated up to the present (Irimiea, 2009). In 1988 Goeldner admitted that tourism education was still emerging as a discipline, while Airey (1988) offered four approaches to the origin of tourism education in the UK: a first approach that locates the beginnings of tourism education in the early 1900s when the first courses trained chefs and waiters, a second approach which attributed its beginnings to the 1950s when courses for ticket agents and travel agency staff were initiated, a third approach according to which tourism education emerged in the 1960s as a distinct domain for hotel management courses, and a fourth approach which suggests that tourism education has been always part of geography or economic studies.

The emergence of tourism education raised another question that about its status: should tourism education be considered 'a discipline *per se*, a relative new comer discipline to the academic world', or 'an older subliminal, accessorial discipline' that branches out from other disciplines? Despite the uncertainty that surrounds the rise of tourism education, it has developed in an unprecedented way in the last two decades (Irimiea, 2009: 283).

Cooper, Shepherd and Westlake (1996) take a look back at the evolution of tourism education and remark that tourism courses were organized in developed countries in the 1970s and 1980s and that since there were no accepted academic or institutional frameworks for these courses, they developed in an *ad hoc* and unplanned way. The courses were organized as part of geography studies, as recreation or sport-related activities, or as part of hotel management studies. Such an uncoordinated approach, unregulated by standards, let alone by quality standards, resulted in the development of loose and fragmentary training systems.

Cooper (1996) opinionates that there were three ways in which the study of tourism has matured into an academic discipline: (1) sector-based courses have developed and influenced tourism education and training, (2) tourism courses have developed as fertilizers to other business studies by providing them with a vocational orientation- in this particular case tourism training has become an industry application, (3) tourism has grown from other traditional and standing disciplines, such as geography, sociology, and linguistics) which have expanded their concern over tourism. However, gradually, from the status of 'add-on' discipline, tourism has become a stand-alone, autonomous area of study and practice which has drawn its characteristics from 16 different areas and disciplines, including: anthropology, business, law, psychology, economics, political sciences, etc. (Jafari and Richie, 1981). The growth of tourism and its interdisciplinary character has called for a more consistent, responsible and thorough curriculum design and organization of training activities.

However, tourism education has moved towards a sociological approach in many of the universities which teach tourism or carry out research on tourism. Lanfant (1995) suggests that the sociology of tourism and its sociological object should capture the multi-polarity of tourism as a "total social phenomenon". Lanfant (1995) also posits that to deal with tourism social theories does not mean only abstractly linking them with general sociology and its main paradigms, but also taking into consideration all social issues.

Finally, if we turn to the curricula design process of many European universities which embraced tourism studies we understand that the process was prevalingly influenced by the European projects under the coordination of the European Union. The projects' most remarkable achievement was the collaboration of universities in view of bringing about cornerstone changes through reforms in tourism education. Most of the advances were the result of exchanges of good practices and intake of innovative teaching and learning strategies. The education and training programs offered to European students and staff under the framework of Tempus, Leonardo da Vinci, Grundtvig, Erasmus and other community programs gave a strong impetus to East and Center-European universities to develop rigorous and competitive tourism programs in line with the EU models. Teaching English for tourism purposes developed side by side with the development of tourism studies.

The evolution of *English for tourism* in an educational environment, in particular that of the Babes-Bolyai University of Cluj, has been accounted for by Irimiea (1998, 2008, 2009).

From understanding the broad picture which tourism education became part of, we shall move on to the language of tourism and show its staged development. It should be noted that before acquiring the status of 'specialised' language or ESP, the language of tourism emerged in the vicinity of tourism and business studies.

### The language of tourism

#### *The development of teaching materials on the language of tourism*

The 1990s represented a period in which many linguists turned their attention to the study of other specialized languages as part of the endeavours to serve ESP (English for Specific Purposes) and EFL (English as a foreign language) teaching and learning needs. In this context, applied linguists became more inclined to research the language of science and technology, the legal language, the language of business communication and genre studies, varieties of languages, areas that tended to be more in demand. The language of tourism and its discourse attracted the interest of English language teachers only later as a consequence of the tremendous development of international tourism and the need to provide the tourists and the professionals with teaching methods and materials that could teach them the efficient or proficient use of English. Thus, tourism discourse became an object of scholarly concern in this thriving context. At the same time, tourism training materials were released to worldwide users, both teachers and students in the form of prolific and proficient teaching/course books (Duckworth, 1994; Jacob and Strutt, 1997).

The books on *English for tourism* adopted a communicative, topic-based and student-centred approach, while seeking to develop all the four skills involved in the use of tourism-related English. Second, the course books provided professional information in a friendly and interactive way aiming to improve the trainees' familiarity with the professional areas of work. Third, the books provided excellent preparation opportunities for the major European examinations in English for Tourism, including the London Chamber of Commerce and Industry English for Tourist Industry exams.

The books written on *English for international tourism* thrived or prospered in the vicinity of other books for professionals and trainees, in general in the field of teaching business English. Such books were written in the 1970s and 1980s and included English on Business (Collins, 1984), English for Business (Ferrier Mavor, 1971), Write for Business (Doherty, M. et al., 1987), to mention just a few.

Tourism studies took off in close connection with concerns which addressed tourism-based topics. The range of books which turned attention to these topics included: *The Good Tourist* (K. Wood and S. House, 1992), *The Business of Tourism* (Holloway J.C.), *Tourism: The International Business* (Mill, R.C.), *Working in Tourism* (Times Newspapers and The Careers and Occupational Information Centre), *The Travel Agent* (Bottomley, R.M, 1992), etc. Such professional English language teaching books were included in various book series, one of which is the *Professional Reading Skills Series* (Prentice Hall International English Language Teaching series) issued in the 1990s.

These attempts to serve such teaching needs of English for tourism were continued in the first and second decade of the 21<sup>st</sup> century by writers such as Peter Strutt, Margaret O'Keeffe, Iwonna Dubicka (English for International Tourism), Anna Cowper (Pearson Education Limited, 2013), etc. Digital and friendlier .com support materials have known a wide distribution and consumption after the tremendous development of the internet. Such internet-shared materials included: <https://www.learnenglishfeelgood.com/travelenglish/english-travel-airport1.html>,

<https://www.fluentu.com/blog/english/english-for-tourism-and-hospitality/>, etc.

### The language of tourism as a specialised language

Side by side with these advancements in the teaching of English for tourism came the recognition of the *language of tourism* as a distinct, specialised or special language. The recognition was the result of the conjoined efforts and consensus among researchers such as Febas Borra (1978), Moeran (1983), Hollinshead (1999), Selwyn (1993), Boyer and Viallon (1994), Dann (1996) that tourism has 'a language of its own' (Dann, 1996).

From this recognition, it follows that its discourse, regardless of the medium of communication used, has a persuasive function or 'even a social control' one, where 'the goals of the promoter are merged with the attributed satisfaction need of the consumer' (Dann, 1996:247). Dann asserts that 'Through pictures, brochures and other media, the language of tourism attempts to seduce millions of people into becoming tourists and subsequently to control their attitudes and behaviour. As tourists, such people then contribute further to this language through the communication of their experiences'(summary to the 1996 volume). Dann's book represents a hallmark for the development of the language of tourism, since it provides the earliest sociolinguistic treatment of tourism and its language. In addition, in the same book

Dann further postulates that 'once a linguistic paradigm for tourism is accepted, it follows that the type of language it employs will vary according to the object of promotion and the corresponding needs which it attempts to fulfill'(idem.).

Following this consideration, Dann (1996) claims that the language of tourism can take the form of several registers as a result of the differences in topic and of the envisaged motivational appeal. From among the possible registers, Dann provides the example of 'Greenspeak' which he defines as the language of 'eco-tourism'(1996:48). He further explains that this register 'exists not only on account of its subject matter (the environment), but also through the myriad ways it addresses the associated "green concerns" of its clients' (idem.).

### **The sociology of tourism**

Prior to engaging in the discussion of the language of tourism and its related sociological aspects, first we should take a closer look at the sociological insights into tourism. A remarkable work in this direction is David Cohen's book *The Sociology of Tourism: Approaches, Issues and Findings* (1984: 373), which, in the 'Introduction', asserts that 'The sociology of tourism is an emergent speciality concerned with the study of touristic motivations, roles, relationships, and institutions and of their impact on tourists and on the societies who receive them'. The author provides a brief survey of early contributions to the sociology of tourism, admitting that they were in German (cf Homberg 1978:36-37). Cohen notes the following stages in the development of sociological insights into tourism. The first stage is represented by early investigations written in German, beginning with L. von Wiese's (1930) classic article and leading to the first full-length sociological work on the subject by H. J. Knebel (1960). A second stage was marked by Ogilvie's (1933) book on tourism, the first social scientific treatise on the subject in English. Another, more consistent stage, characterised the post-World War research, when the 'the rapid expansion of tourism provoked some spirited, critical writings (Mitford 1959; Boorstin 1964:77-117) and the first empirical studies (Nunez 1963, Forster 1964)'(1984:373). The rise of the disciplinary studies was followed by the marked sociological turn in the 1970s:

The study of tourism as a sociological specialty rather than merely as an exotic, marginal topic emerged only in the 1970s with Cohen's (1972) typological essay and MacCannell's (1973) first theoretical synthesis. Since the mid- 1970s, the field has grown rapidly, which is attested by the publication of a series of treatises and reviews (Young 1973; L. Turner & Ash 1975; MacCannell 1976; Noronha 1977; de Kadt 1979:3-76) and general collections of articles (V. L. Smith 1977c, 1978a; Cohen 1979d; de Kadt 1979:77-335; Lengyel 1980; Graburn 1983b). (1984:373-4).

Cohen (1984) chooses eight conceptual approaches from the number of general philosophical, ideological and theoretical approaches to tourism:

*Tourism as commercialized hospitality* with focus on the visitor component (Cohen 1974:545-46) of the tourist's role.

*Tourism as democratized travel*, with emphasis placed on the traveler component of the tourist role, where the tourist is viewed as a kind of traveler marked by some distinct analytical traits (Cohen 1974; P. L. Pearce 1982:280). Cohen opines that the authors who pioneered this approach regarded modern mass tourism as a democratized expansion of the aristocratic travel of an earlier age (Boorstin 1964:77-117). He also suggests that this perspective generated some important work on the historical transformation of touristic roles (e.g. Knebel 1960, L. Turner & Ash 1975).

*Tourism as a modern leisure activity*, where tourism is viewed as a type of leisure (Dumazdier 1967:123-38; P. L. Pearce 1982:20) and the tourist as a "person at leisure who also travels" (Nash 1981:462). The promoters of this perspective focus less on the deeper cultural significance of leisure activities, and take a functionalist view instead, one which identifies leisure-and hence tourism-with recreation (e.g. Scheuch 1981:1099; see also Cohen 1979b:183-85). Cohen estimates that this approach 'informs much of the macrosociological and institutional research on modern tourism (e.g. Dumazdier 1967:123-38; Scheuch 1981)'(1984:375).

*Tourism as a modern variety of the traditional pilgrimage*, a perspective that focuses on the deeper structural significance of modern tourism and identifies it with pilgrimages in traditional societies (MacCannell 1973 :589; Graburn' s 1977) i.e. tourism as a form of the "sacred journey".

*Tourism as an expression of basic cultural themes*, an approach which emphasises the deeper cultural meaning of tourism as perceived by tourists themselves (Gottlieb 1982: 167; cf Graburn 1983a).

*Tourism as an acculturative process* focused upon the effects that tourists have on their hosts and strive to integrate the study of tourism into the wider framework of the theory of acculturation (Nunez 1963:347-78).

*Tourism as a type of ethnic relations*, an approach that seeks to integrate the analysis of the tourist-host relationship into

the wider field of ethnicity and ethnic relations (Pi-Sunyer 1977, Gamper 1981).

*Tourism as a form of neocolonialism*, which deals with the role of tourism in creating dependencies between tourism-generating, "metropolitan" countries and tourism-receiving, "peripheral" nations that replicate colonial or "imperialist" forms of domination and structural underdevelopment.

Cohen (1984) also specifies the major issues that should receive attention in the sociology of tourism, which, according to him, are: the tourist, tourists and locals and their relationships, the structure of the tourist system and the impact of tourism. Cohen recognizes in the conclusion to his article that 'sociology has only recently discovered tourism as a field of systematic inquiry, but that many sociologists still view it with suspicion or even disdain' and that 'It is hoped that this review helped to bring theory and empirical research closer together and to codify the field, as well as to further recognition of it as a legitimate and significant sociological specialty' (1984:388).

Another seminal book, similarly called *The Sociology of Tourism. Theoretical and Empirical Investigations* edited by Apostolopoulos, Yiorgos, Stella Leivadi, Andrew Yiannakis (first edition published in 1996, reprinted in 1999, 2000, 2001), is 'a pioneering work aimed at introducing and legitimizing the sociological study of tourism in international academia'. Addressing tourism as an academic concern, in the 'Introduction' to the book Apostolopoulos contends that the book 'is intended to "reinvent" an area first presented three decades ago' based on the premise that 'tourism as a far-reaching transnational industry continues to affect crucially the "post-industrial" world'(2001:4). The author admits that in the book 'tourism is addressed in a conventional sociological text manner with all the major societal areas covered as they relate to the touristic phenomenon'(idem.). The authors of the volume approach the following themes that are tourism-bound: *A sociological understanding of contemporary tourism, The tourism system and the individual, Structures of social inequality in the tourism system, Tourism, underdevelopment and dependency, Tourism and social change, and, finally, Towards a 'new' sociology of tourism.* The editors and the authors state firmly that 'a formal sociological approach to tourism will serve as a long-overdue vehicle for moving beyond a limited examination of the touristic phenomenon to a comprehensive understanding of all its socioeconomic, political, and cultural effects through a careful integration of grounded theory and empirical investigation' (idem.)

In the same book, Dann Graham and Erik Cohen provide a synthetic 'Sociological treatment of tourism' (2001:304). Their sociological survey of tourism studies tackles: developmental (evolutionary and cyclical) perspectives or macro-level perspectives (showing how tourism has been institutionalized, industrialized and internationalized, with little emphasis on its impact on individuals); neo-Durkheimian perspectives, conflict and critical perspectives, functionalist perspectives, Weberian perspectives, formalism, phenomenology and ethnomethodology, and symbolic interactionism. They conclude their study with the words: 'it appears that sociology itself provides only a partial interpretation of the multifaceted phenomenon of tourism. For a more complete picture, it is necessary to combine sociological insights with those from other social science disciplines.'(1996:313).

It is noteworthy to point out that from the sociology-based approaches to tourism the ones that view it from a language and discourse perspective are *ethnomethodology* and *symbolic interactionism*. Both approaches are micro-approaches and focus on the individual in society. In regard to ethnomethodology, the authors admit that it seeks to investigate the 'undeclared assumptions of human action and discourse, and in that sense could be appropriate for an examination of touristic stereotypes and clichés'(1996:310). In spite of the fact that Dann Graham and Erik Cohen (1996) mention only one example, that of McHugh, Raffel, Foss and Blum (1974), who have adopted an ethnomethodological perspective for the study of tourism, they emphasize the relevance of such an approach to the analysis of the tourists' conduct and the tourism industry.

From among the surveyed approaches, the symbolic interaction approach turns to be more influential on tourism researchers and linguistics. Although, in its debut years, symbolic interactionism was mainly focused on the development of 'Self' through its components of 'I' and 'Me', later on the trend took to the detailed examination of 'the process of role negotiation by individuals, through which definitions of situations were exchanged, accepted, modified or rejected' (Dann & Cohen, 1996:311).

In his research on tourism and the language of tourism Dann (1989) examined the 'tourist as a child' posture and how it is checked by the industry through its 'language of social control (in brochures, travelogs, advertisements, couriers, guides, etc)'. The researchers who adopted the interactional approach (Dann, 1989; Mayo and Jarvis 1981) found that *transactional analysis* can be applied to many kinds of relationships that involve participants who are involved both directly and indirectly in the tourism industry. The practice has been taken up by airlines and hotels which use the transactional approach to train their staff. Other researchers have investigated the dynamics of role negotiation in touristic encounters, in particular the

asymmetric one-to-one relationships. The *interactionist perspective* has also been applied to the content of tourist interviews. The interactionist perspective also permitted referencing back to Goffman's (1959) 'presentation of self in everyday life'. Dann & Cohen (1996:311) suggest that 'Yet, there is a great deal in Goffman which has been underutilized by tourism researchers'. Interactionist analysis has also taken the direction of semiotics and semiology (Barthes, 1984). Such studies have applied the semiotic approach to the exploration of tourism promotional literature, some of which have focused on the 'people content' of brochures. They have also investigated the way in which the industry attempts to control the interaction of tourists, hotel staff and locals through the use of pictures and verbal descriptions.

Finally, all these developments stay proof of the vastness of the issues that tourism works with or is related with, its multimodal and inter- or multidisciplinary character, while language has always been its medium. Indeed, the work began by Dann & Cohen (1996) surely calls out for more and further collaboration initiatives and openness, if sociological theorizing on tourism should progress.

A while later, in 2010, Thurlow and Jaworsky admitted that

'tourism as the world's single largest international trade and as a truly global cultural industry (Urry, 2002), is a major site (a social, cultural and economic domain) for the banal enactment of globalization. Tourism is a deeply "semiotic industry" committed to the production, commodification and representation of culture and cultural difference; language is clearly an essential resource in this cultural production' (2010:227).

## **The language of tourism and its sociological turn**

### **Language and sociology**

The relationship between language and sociology goes back to some early and key stages that marked the rise of sociolinguistics. The first step is that represented by the oral treaties on phonetics and language structure produced by Pānini and his followers in India in 500 BC, which stimulated the development of independent traditions. The second achievement was the year 1786 when Sir William Jones delivered a seminal speech concerning the relations between Sanskrit, Latin, Greek and other ancient languages. This is the moment when 'linguistics enters a historical phase in which principles of language comparison and classification emerge' (Mesthrie, R, Swann, J., et al., 2000:3). The third step forward was the emergence of 'structuralism' promoted by Ferdinand de Saussure in Europe and Leonard Bloomfield and others in the USA in the early twentieth century. Their linguistic concern was focused on the internal systems of languages rather than on the historical comparison of languages. The fourth major linguistic event was the publication of Noam Chomsky's *Syntactic Structures* in 1957, which shifted attention to psycho-biological aspects, in particular to the way in which a language is acquired by children on the basis of a 'universal grammar' common to all languages. Scholars like Franz Boas, Leonard Bloomfield and Edward Sapir contributed a cultural or anthropological interest in languages. Such anthropological studies of language represent the forerunners of some branches of sociolinguistics, in particular the ethnographical approach to language study.

The term 'sociolinguistics' is considered to have been first used by Haver Currie, who was a poet and a philosopher and who noticed that research into language matters did not pay any attention to the sociological aspects that could be involved in the use of language. Further significant works on sociolinguistics belong to Weinreich (*Languages in Contact*, 1953), an account of bilingualism, and Einar Haugen, whose two volumes were an account of the social history of the Norwegian language spoken in America (1953). To these works, Joos (1962) added discussions on the dimensions of style.

Chomsky's contribution to linguistics and sociolinguistics in the 1960s by 'abstracting language away from everyday contexts ironically led to the distillation of a core area of sociolinguistics, opposed to his conception of language' (Mesthrie, R., Swann, J et al., 2000:4). Chomsky shifted thus attention on an 'idealized competence' and noted:

'Linguistic theory is concerned primarily with an ideal speaker-listener, in a completely homogeneous speech community, who knows its language perfectly and is unaffected by such grammatically irrelevant conditions as memory limitations, distractions, shifts of attention and interest, and errors...'(1963:3)

In spite of the recognized merits of his theory, in particular of the theory of syntax and phonology, Chomsky's approach marked a break between the sociolinguists who approached language use within human societies and Chomsky's followers, whose interest rested with an 'idealized, non-social, psycholinguistic competence'(Mesthrie, R., Swann, J. et al., 2000:4). While Chomsky's work deals with the structures that can be generated in language and with the means that enhance that generation/production, the social approach to language seeks to explain what can be said in a language, by whom, when, where, in what ways and under what social circumstances (Fishman, 1971; Hymes, 1971; Saviile-Troike, 1982, quoted in

Mastrie et al, 2000). These sociolinguists viewed language acquisition not as a mere cognitive process, based on a predisposition in the human brain, but as a social process as well, which takes place in a social context through social interaction. Hence, they argue that the child's acquisition of its first language is not a passive process, but one which is sensitive to social contextual ('environmental') conditions, including the social identity of the people it closely interacts with.

Dell Hymes departed from Chomsky's definition and study of *linguistic competence*, claiming that a child who produces a sentence without due regard to the social and linguistic context would be a 'social monster' (1974:775), very much likely to be institutionalised. Hymes defined 'communicative competence' as the ability to use language appropriately in different contexts and circumstances. He took his study further in the direction of social-bound aspects indicating when it is appropriate to talk or to keep silent, providing rules of turn-taking, the amount of simultaneous talk and so on.

One issue that generated debate among scholars and was noted by Mesthrie, R., Swann, J. et al., (2000) as persistent in 2000, was the distinction between sociolinguistics (proper) and the sociology of language. Mesthrie, R., Swann, J. et al. (2000:5) suggest that

'some scholars believe that the former [sociolinguistics] is part of the terrain mapped out in linguistics, focusing on language in society for the light that social contexts throw upon language. For these scholars, the latter (sociology of language) is primarily a sub-part of sociology, which examines language use for its ultimate illumination of the nature of societies'.

Mesthrie, R., Swann, J. et al. (2000) viewed the two areas as *alter egos* and not as a dichotomized pair and agreed that the terms *macro-* and *micro-linguistics* could and would express this distinction. According to them, macro-studies involve 'the examination of large-scale patterns relating to social structures (the focus is broad, as in the study of multilingualism in a country). Micro-studies examine finer patterns in contexts (for example, conversational structure or accents in a particular community)' (Mesthrie, R., Swann, J. et al., 2000:5).

Mesthrie, R., Swann, J. et al. (2000:6) emphasise the relations between language and society in their 2000 book. They go out from the statement that, beside its denotative function, language provides signals about the speaker's social and personal background, being thus 'indexical of one's social class, status, region of origin, gender, age group and so on'. Sociolinguists also argue that language 'not only reflects societal patterns and divisions but also sustains and reproduces them. Thus, ways of talking do not reflect the social organisation of a community but form a practice that becomes a part of the social organisation, and as such become involved in expressing the power relations in a society'(idem.).

The relationship between language and thought has been expressed by Benjamin Lee Worf and Edward Sapir, who argued that speakers of different languages may be led to different types of observations and evaluations of exactly similar phenomena. This assumption became known as the Worf-Sapir hypothesis and was recorded by Whorf (1956:213) in the following words: 'we dissect nature along the lines laid down by our native language'. However, language does not have such a strong hold on communities or its members and cannot prevent individuals from viewing things from different perspectives. This assumption was rendered in Gillian Sankoff's (1986:xi) words: 'in the long term language is more dependent on the social world than the other way around...Language does facilitate social intercourse, but if the situation is sufficiently compelling, language will bend'(idem.).

Their hypothesis resulted yet in another suggestion, that 'real translation between widely different languages is not possible' (Mesthrie, R., Swann, J. et al., 2000:7).

Mesthrie, R., Swann, J. et al. (2000) also tackle language 'as a social construct' and languages as individual entities which belong to specific societies. They use the term 'variety' to avoid sensitive debates over the identification of a 'language' or a 'dialect' and conclude that what counts as a language and what does not is judged according to sociopolitical issues. They exemplify this concern with the example of Danish and Norwegian, where for centuries Danish was the official language (as Norway was ruled by Denmark), while Norwegian was regarded as a dialect. Norwegian became the 'official language' upon the declaration of Norway's independence. They also hold that language varieties exist as 'geographical continua without natural divisions into "languages"(2000:10)'.

### **The language of tourism and its sociological turn**

Dann's contribution to the development of the sociolinguistic perspective to the language of tourism (1996)

From language and its relationship to society, we turn to the language of tourism, its social functions and the underlying social aspects. Dann's seminal work *The Language of Tourism: A Sociolinguistic Perspective* (1996) claims that tourism has a discourse of its own, that 'tourism, indeed, *constitutes* discourse', that the language of tourism performs many social

functions: as an instrument of the consumers' active involvement (both in the process of consumption and in the process of co-creating language, which, in turn, induces them to consume), as a process of social control (by the norms and values), and as a medium of socialization (employed by all stakeholders involved in activities and the development of their identities).

Dann notes that 'The language constitutes a very special type of communication, one which differs from other forms of human exchange since it represents the largest industry in the world- that of tourism.' (1996:1). He further deplors the lack of interest shown by researchers to it: 'amazingly, no one has expansively investigated it as a phenomenon in its own right' and insists that 'Certainly there have been some studies which have alluded to the linguistic features of tourism promotion, but none has so far brought them together and systematically examined tourism as a language per se.' (1996:2)

He compares the language of tourism with other 'languages' such as the language of architecture', or the 'language of music' and admits that 'These have various facets of life, have various ways of communicating to us' (1996:2). Dann enumerates their functions:

They are structured. They follow certain grammatical rules and have specialized vocabularies. They are in many senses language-like in their properties. Analogically, too, these languages convey messages, they have a heuristic or semantic content, they operate through a conventional system of symbols and codes. Many also include the equivalent of dialects and registers. (1996:2)

Dann recognizes the role language plays in tourism given that tourists read about destinations before their departure, and become driven to those destinations by the power of the language. This dependence of tourists on the persuasive power of language is a two way process. Tourists do

feed back into this discourse. They have their own way of constructing images from the information supplied to them by the tourism industry and other independent sources. They build their own systems of expectation, and, when these do not mesh with the promises held out by the language of tourism, one will clearly discern the voice of complaint. On the other hand, when tourists are satisfied with their experiences, they contribute to the language of tourism by becoming promoters themselves' (1996: 3)

Dann argues that the language of tourism is a 'code' whose praxis has the value of language for a group (Thurot, 1989). Quoting Kemper (1993: 594), he states that 'too can one legitimately refer to the "language of tourism" as a "language of modernity", promotion and consumerism. Indeed, so extensive and pervasive is the language of tourism that it merits thorough investigation by tourism researchers' (1996:4). Referring to the language and discourse of tourism, he also admits Hollinshead's view (1993 a:527, 529) that 'although language can be considered neutral, discourse is value-committed. Discourse, through the processes of domination and subjectification, is said to commit violence on people and things and to impose authoritative limits on thought and action' (1996:4). He further explains that this led to several authors' reflecting on the notion of social constraint- and using the term 'discourse' or 'the discourse of tourism'.

Trying to point out the difference between the language of tourism and *rhetoric*, Dann states:

Some academics also refer to the "rhetoric of tourism", which similarly implies the use the power by the speaker to impress the addressee. Rhetoric differs from discourse in its "manner of exercising such power, since above all it is 'the art of persuasive or impressive speaking or writing" (Concise Oxford Dictionary,1959: 1050)- based on eloquence and deceit. (1996:5)

Dann also refers to the 'increasing evidence of various semiotic approaches towards the analysis of tourism and speaks of 4 major theoretical approaches which have contributed significantly to understanding tourism: authenticity, strangerhood, play and conflict. He states that their sociolinguistic correlates are: authentication, differentiation, recreation, and appropriation.

In Chapter 4. 'Tourism as a language of social control in prototypical forms of tourism', Dann looks back at the history of tourism and provides evidence of the type of tourism carried out in ancient Rome and other more attractive resorts and places. Hash (1979, citing Balsdon, 1969) also describes the leisure and travel activities of Romans (games, festivals, pilgrimages, trips to spas) and the excesses associated with resorts. Dann holds that 'He [Hash] quotes passages from Seneca and Cicero to show that these pursuits were expressed in the literature and oratory of the period. In other words, and even at this early stage, there was a definite connection between the language of tourism and tourism itself' (Dann, 1996:70).

Dann emphasizes the power of words providing as example the discussion between St. Augustine and St. Ambrose over the Roman tradition of fasting (on Saturdays as opposed to the Christian tradition of fasting on Sundays). Ambrose's solution was rendered in the saying: 'When I am here (i.e. in Milan) I do not fast on Sabbath. When in Rome I do'. This explanation has been recorded in the words: 'When in Rome I do as the Romans do'. This saying records the assumption that 'the normative requirements of travel have their origins in the language of tourism, a language of prescription and proscription' (1996:70). Going out from this example, Dann quotes the history of the evolution of tourism in relation to language, opinionating that the later centuries provided other guides to travelling and relaxation. Travel writers gave a greater impulse to tourism, again certifying the contribution of language to the development and promotion of tourism.

From the older times Dann moves on to 'Tourism as the language of social control in contemporary tourism' and starts from the paradoxes of tourism: freedom (external, internal) *versus* constraints. He views tourists as determined by the place they are coming from and states that their place of origin will define them who they are and how they interpret what they see. At the other end of the interaction, the tourist's demand has to be channelled and mastered by the tourism industry. In this regard, Dann (1996:75) quotes Micoud's words (1994: 307) that 'International tourism becomes a monolithic system with its own set of formalities to which the individual is subjected and all but disappears'.

In discussing 'The linguistic underpinnings of tourism as a language of social control' Dann goes out from the illocutionary force of the imperative, which is expressed through a request or command (as in 'Eat your breakfast', 'Let's have lunch'). In turn, requests or commands can also be expressed through other means (declarative, interrogative, exclamatory). It is through such devices that a language can exercise control over people. To emphasise his point he quotes Burke (1966) who sustains that 'language is essentially hortatory, a medium through which the cooperation with others is sought. This basic quality is more evident in rhetoric where the attempt to persuade or dissuade is even more evident'(1996:79).

How does social control come into play in the use of language? To prove his point, Dann shows how the tourism industry through its specific establishments and organised activities sets up constraints as to what and how tourists should behave and act as tourists. His book thus turns into the argument that, in spite of the apparent freedom promised by tourist agencies, hotels and other forms of tourism, tourism as a set of institutionalized activities restricts this liberty. First and foremost, according to Roberts (1994:4-5):

All sociologists hesitate before describing any time as totally free, or any experience as freely chosen...Most people's leisure is constrained by economic and political structures, social stratification and prevailing moral conceptions of proper conduct... (Even though) people distinguish leisure from work, they say it is intrinsically motivated, rather than externally constrained.

In line with these assertions, Roberts assumes that although individuals are freed from their professional or social duties, 'they are not automatically free to do anything they wish, since they come under a new set of constraints'(idem.).

Dann looks further at how tourism acts 'as a language of social control in hotels and resorts'. According to Dann, a hotel, for example, can be considered 'as an establishment which encapsulates tourists protecting them from outside dangers' and affirms that 'Through its total institution-like qualities, the hotel above all manages its protégés'(1996:88). Dann quotes Wood's assumption that hotels 'are in essence agents of social control' (Wood, 1994 quoted in Dann, 1996:88), and that 'the larger the hotel the greater the social control exercised by the management' (Wood, 1994 cited in Dann, 1996:88). In a most general sense, social control is a regulation of human behavior and tourists recognize that there are both implicit obligations to use the services provided by a hotel as well as constraints upon their enjoyment. This assumption led to another trend that of self-catering and to some other forms, such as *mass tourism*, *Club Méditerranée* (Club Med), etc. in tourism.

Dann's book stimulated and influenced other sociolinguistic investigations into the language of tourism (Thurlow and Jaworsky, 2003; Jaworsky and Pritchard (eds) 2005; Cappelli, 2006; Fox 2006b; Phipps, 2006; Brice, 2007; Jaworsky, Thurlow, Ylanne-McEwen and Lawson, 2007), which insisted rather on language as 'a creator of identities, power and social differences in the context of tourism' (Fox, 2008: 20).

## 2. Further achievements

From the groundbreaking analysis and conclusions expressed by Dann (1996), the present paper will discuss the further achievements of the sociolinguistic approach to tourism.

Giving credit to Dann's book, Fox (2008) notes that over the last decade the prominent turn in the language of tourism research and in tourism is the *sociolinguistic turn*, represented by Dann (1996), Jaworski and Pritchard (eds.) (2005),

Jaworski, Thurlow, Ylanne-McEwen and Lawson (2007). Fox explains that 'The new angle has redirected the research into English language in tourism towards explicit links between theoretical and empirical perspectives on the tourist experience, identity, performance and authenticity within the frame of sociolinguistics and discourse analysis' (2008:14).

The dominant sociological bend noticed in western tourism research has been acknowledged by Dann and Liebman Parrinello (2009: 1), who note in the *Abstract* to their book: 'Currently there is abundant evidence of the quasi-total domination of the sociology and anthropology of tourism by academics from the English-speaking world, a situation that appears to be aided and abetted by the publishers of books and articles in English. The authors claim that 'This volume is the first attempt of its kind to familiarise readers in the US, UK, Australia and the English speaking regions of Africa and Asia with such evolutionary thinking. In such a manner, also, it will be possible to discern, contextualize and better appreciate the European roots of subsequent theorising in the Anglophone world, thereby enabling a more accurate assessment of its hitherto unchallenged claims to originality' (Idem.).

In the book written in 2009, Dann Graham and Liebman Parrinello Giuli take a closer and a more ambitious look at tourism in its relation to social theories and their emergence in various countries in Europe. Their study was aimed at drawing up a comparative study of tourism-related social theories that emerged in Europe.

On the other hand, the relationship between language – tourism- sociology was enriched by the intake of discourse analysis as a more reliable method. Critical discourse analysis has been given the greatest credit for unveiling the sociological underpinnings of tourism.

As the promoter of Critical discourse analysis (CDA), Fairclough defines it as a form of critical social analysis which focuses upon relations between discourse and other aspects of social life, claiming that its critique is in part ethical. Fairclough states that CDA is both normative critique and explanatory critique (Chouliaraki & Fairclough 1999: 33, 59-69; Fairclough 2015: 10-13), while his more recent works point to an ethical critique which is a part of normative critique. In his 2015 article, he regards *ethical critique* as primarily a critique of actions, but, at the same time, actions are conditioned and constrained by social practices, institutions and structures, so ethical critique needs to be extended to them, he suggests. It should be understood with no doubt that what Fairclough defines ethical critique will expand over much of what is being said or written as part of any discourse.

### **Discussion: Transdisciplinarity. The relationship between language, tourism and sociology**

All these achievements, in particular the adoption of sociolinguistics by the tourism-based disciplines, disciplines such as destination management, marketing or branding, hospitality, etc., represents a proof of the transdisciplinarity of tourism as a field of study, which grows on the contribution of other disciplines. In addition, according to Fox, 'the adoption of sociolinguistics as an accredited theory (or a set of theories) by the scholars in tourism and the tendency to work with other disciplines would dispel its "undisciplined" character (Tribe, 1997)' (2008: 20). Fox argues that 'sociolinguistics can provide a researcher with an objective insight into the language – tourism relationship', explaining that 'more precisely, it offers a theoretical frame for the systemic and critical analysis of the use of language in tourism from a variety of perspectives' (2008:21).

On the other hand, in the first decade of the 21st century, the language of tourism acquired a distinctive status and became a means of investigating other areas of concern to tourism, such areas as destination marketing, management, branding, hospitality, advertising, sociology of tourism. In this respect, according to Fox (2008:13-14), *English in tourism*

'has been highlighted as a factor of the process of "language brokerage" (Cohen and Cooper 1986), as a means of promoting a global lifestyle (Thurlow and Jaworski 2003), as a key element of tourist destination branding (Morgan, Pritchard and Pride /eds./ 2002), as enabling individuals to experience their identity through tourism (Palmer 2005), as shaping a tourist destination (Cappelli 2006), as a key factor of tourists' perceptions (Phipps 2006), as a carrier of a destination's "sovereign subjectivity" (Bryce 2007) and, not least, as crucial for the new theorising of tourism (Ateljevic, Pritchard and Morgan /eds./ 2007)'.

Fox (2008) assumes that the growth of transdisciplinarity in any field of study, including tourism, accounts for the fast progress towards *mode - 2 knowledge*; according to her *mode –2 knowledge* is a new type of knowledge which involves a variety of mechanisms of creating/communicating knowledge, participants from numerous disciplinary backgrounds, and a great diversity of sites in which knowledge is produced. Fox explains the significance of 'mode - 2 knowledge':

'Unlike traditional forms of knowledge, usually referred to as mode- 1 knowledge, which are disciplinary, homogenous, hierarchical and dictated by the interests of academic communities, mode - 2 knowledge production is transdisciplinary,

heterogenous, heterarchical and transient' (2008:20).

Fox (2008: 20) resumes the benefits of the transdisciplinary character of tourism and the contribution *sociolinguistics* can bring to its growth:

'Therefore, the adoption of sociolinguistics as supportive to the theory of tourism will constitute a decisive move towards a new paradigm of tourism research which will lead to the generation of new types of knowledge and, in turn, enable new insights into the increasingly complex relationship between language and tourism.'

Fox further suggests that 'a sociolinguistic understanding' of, for example, a tourist destination's public discourse enables researchers, and practicing managers too, to recognise a tourist destination's public discourse as much more than just *feeding information cum promotion to the consumer*'(2008:21). In addition, Fox concludes that

A tourist destination language/discourse researchers' awareness of the indispensability of sociolinguistics to a systemic understanding of a destination's public discourse will gradually make sociolinguistics an integral part of a metatheorising tourism: a process aimed both at an improved understanding of the existing theories within tourism as a field of study, and at further development of the theory of tourism itself, that is, at creating perspectives that overarch the existing theory by involving a seemingly distant field of study: sociolinguistics.(2008:21)

She agrees that sociolinguistics can contribute a theoretical multi-perspective frame to the analysis of the language used in tourism, which is what other scholars have tried to demonstrate as well.

## Conclusion

Tourism has become a global phenomenon in the post-modern society, owing much of its development to its relationship with language. Over the last two decades, the use of language in tourism has attracted interest from many other tourism-related fields and has drawn in considerable sociolinguistic research.

From a timid start up in the 1950s and 1960s, tourism education has gained more focus and has acquired a steady growth in the last decades of the 20th century. Against the background of the development of tourism education and applied linguistics, the present study argues that the language of tourism slowly made its way into tourism, tourism education and sociolinguistics. However, the relationship between the language of tourism and tourism and sociology is a two way relationship, to which, indeed, both tourism and sociology bring their useful contribution.

The present study surveyed the development of teaching materials on the language of tourism by emphasising the role played by the rise of English for tourism as a *specialised language* in the larger context of the 1990s advancements in linguistic studies.

The link between tourism and sociology was noted by Lanfant (1995) who also suggested that the *sociology of tourism* and its sociological object should capture the multi-polarity of tourism. To give relevance to the sociological turn of the language of tourism, the present article tackled the relationship between language and sociology and then the relation that sociology bears to tourism. The remarkable and seminal works of Cohen (1984), Apostolopoulos, et al. (1996), Dann (1996), and Dann and Cohen (1996) in the field of the sociology of tourism have been discussed.

However, the article's main focus has been the sociological turn of the language of tourism, a phenomenon that marked the 21st century. Broadly speaking, the 21st century has resulted in two firm and discernable perspectives on the language of tourism and its study. On the one hand, the language of tourism has acquired a more investigative turn which headed in the direction of applied linguistic studies, moving towards discourse analysis, multimodal analysis (Faircough, 2012) and semiotic discourse analysis. On the other hand, the transdisciplinary studies have gone in the direction of tourism. Such investigations have been carried out in multiple tourism-related fields or other areas of concern to tourism, such as: destination marketing, destination management, branding, hospitality, advertising and so on. For these tourism-related areas of scholarly concern the study of the language of tourism turned into an active and useful contributor to their study (Fox, 2008).

On the other hand, another research perspective which liaises English for tourism with sociology, has resulted in the adoption of a profound sociological approach to tourism, a phenomenon detailed in the final sections of the article. In this respect, the paper also sought to underscore the deep and interdependent relationship between tourism, the language of tourism and sociology. Then, quoting Fox (2008:14), the article mentions the new angle represented by Dann (1996), Jaworski and Pritchard (eds.) (2005), and Jaworski, Thurlow, Ylanne-McEwen and Lawson (2007) who have 'redirected the research into English language in tourism towards explicit links between theoretical and empirical perspectives on the

tourist experience, identity, performance and authenticity within the frame of sociolinguistics and discourse analysis' (2008:14). The dominant sociological bend noticed in western tourism research has been acknowledged by Dann and Liebman Parrinello in their 2009 work.

Finally, as a corollary of the presented views and assumptions, the article points out the transdisciplinary character of the language of tourism. The growth of transdisciplinarity in any field of study has become an incontestable reality and *English in tourism* is no exception. As suggested by Fox (2008) it has become a factor of the process of 'language brokerage', a means of studying other areas of concern to tourism, from destination management, branding, advertising, hospitality to sociological issues and investigations that pertain to the individual's perception of tourism, tourist experience, identity, performance and authenticity (Fox, 2008).

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## Satisfaction, Resilience and Achievement. Towards a Change in Priorities Within the Framework of New Sociocultural and Educational Paradigms

Miriam Aparicio

National Council of Scientific Research (CONICET).

National University of Cuyo<sup>1</sup>.

Mendoza, Argentina.

### Abstract

The importance of Satisfaction and Resilience is shown (linked to numerous “social competencies”) in processes of Academic and Professional Achievement in various contexts (scientific, academic, professional). The results support empirical research linked to academic-professional pathways. Our objective was to explain the factors associated with achievement (included as conditions or effects within the models, as independent or dependent variables) and to understand the “reasons” and “processes” that underlie the numerical results (statistics, rankings). These included base, psychosocial, pedagogical-institutional, organizational and structural factors. In particular, we sought to observe the weight of psychosocial variables, which the author named “social competencies” 20 years ago and which today are prioritized (“soft skills”) by countries that lead the rankings in educational quality. Among these, Resilience and Satisfaction have recently been incorporated by PISA (2014) for their importance for achievement within the learning paradigm. A synthesis of studies is presented in which these variables’ weight is shown. The strategy for analysis was micro-meso-macro-micro in light of the author’s theory of three interacting levels or *The Three-Dimensional Spiral of Sense*. The results show that—as the basis for achievement or as an associated effect- social competencies play a key role in facilitating learning. Without listening, communication, implication, engagement, satisfaction, solid relationships and strategies for overcoming adversity, both learning as well as integral changes in education systems that respond to new demands will be difficult to produce, as will changes at the individual and institutional levels.

**Keywords:** Satisfaction – Resilience – Achievement – Social Competencies – New Paradigm

### 1. Introduction

In this era of knowledge, and from a paradigm of learning where what is most important is learning how to learn, educational priorities in developed countries have changed to incorporate skills and competencies, whereas before education was restricted to disciplinary knowledge and excluded knowing how to do, how to be, how to live and how to be happy. These all become necessary in the context of dramatic changes that place value not only on the knowledge one has but also on “what one is able to do with that knowledge.” This involves the development of creativity, flexibility, a critical eye, open-mindedness, recognition, decision-making and negotiation abilities and related competencies.

Globally, this change in priorities can be observed at two levels:

a) At the level of education, said skills/competencies have evolved looking towards the demands of the future, towards the “future of the workplace” or “workplace of the future”, each with its own connotations. Competencies that were developed 10 years ago and those that are currently prioritized are located at different ends of the spectrum in countries that lead the rankings of institutional quality and learning (OECD. World Economic Forum “Future of jobs report”). These competencies, more developed in some countries than in others, -within a model that links determining factors with effects- generally enter as factors determining individual/professional achievement. From the author’s perspective, and through added effects, these factors influence the respective institutional quality and lead to improvements at the national level (macro level, reflected in country rankings) (Aparicio, 2015 a, b).

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b) In terms of the expected or most valued effects, both in academic and workplace systems (more precisely in the educational systems that lead the rankings), there are two factors to recover and attempt to measure. On the one hand, the factor/dimension of *Satisfaction* and achievement of better conditions, both academic (a climate of collaboration, founded on motivation and individual interest) and professional (healthy relationships with colleagues and bosses, greater transversality without limiting authority and opportunities for continuing education) (Mostafa & Pál, 2018). On the other hand, the factor of Resilience or ability to cope with adversity in a complex world where one must learn strategies to deal with unexpected situations in the academic institution and in life (problem-solving, coping) (Agacisti et al, 2018). PISA (Programme for International Student Assessment), which measures Language, Mathematics and Reading performance of teenage students in 72 countries, began to compare these two factors in 2014.

Previously, countries were concerned with being highly ranked and being aware of professional mobility, with overcoming social inequalities in broad terms and with reaching greater equity; now, in a global and competitive world which is ever more demanding, it is also important to study aspects such as satisfaction (an effect reached within a system) and resilience (a condition for achievement in difficult contexts or the result of the co-construction of bonds between individuals and institutions/communities).

Interest is centered on individuals, conditioned by their contexts which are limiting but not determining (in this line, some countries show high results for all levels of society, a fact which represents advances in terms of equity).

What's more, revaluing said "soft" skills and competencies which are more related to the subjective level (Chernyshenko, Kankaraš & Drasgow, 2018), indicates that there is a certain return to the individual in the epistemic and sociological-cultural paradigms at the base of the current educational paradigm shift: the learning paradigm. The interactionist paradigm (Boudon, 1973) and the "grammaires de l'individu" (Martucelli, 2002) would oppose hyperfunctionalism and the "grammaire génétique- structurelle" of Bourdieu and Passeron (1979). An individual's achievement is not *determined* only by his origin, mediated by the school (reproducer of bourgeois cultural codes and social classes), but is conditioned by the development of multiple abilities/competencies (among them psychosocial competencies) as part of the educational system, a system that is now demanding rapid, equal and integrative changes in many countries, including Argentina, and that involves both politicians and educators as well as students, the system's main actors. Thus, three systems in interaction.

## II. Brief Theoretical Framework: Research focus

Here we take up certain approaches that guided our research and which we will detail as follows.

As opposed to PISA: a) our research deals with quantitative-qualitative investigations in the "field", carried out from a systemic perspective *sui generis* using interactive models that shed light on the "goings" and "comings" (feedback) within the individual and educational micro-systems as related to the workplace and of all systems in sustained interaction (recursive spiral movements with advances and relapses, with positive and negative effects, not linear but rather dynamic) (Aparicio, 2007; 2009 a, b; d, 2016). In fact, learning and results are also observed in organizational contexts (Shön, 1992; Argyris, 1982). b) We work with university students rather than with adolescents, which highlights the fact that resilience and satisfaction continue to be relevant factors over time. c) Our strategy of analysis was micro-meso-macro-micro, which has not been well developed in our field. d) Using this strategy, we attempt to capture, from a comprehensive perspective (Dubar, 1995; Boudon, 1973), the "reasons" that underlie an individual's achievement or failure and the "meaning" that they find in their behavior, using a personalized investigation that helps to listen to the actors, their problems and from their experience. e) Our models include not only numerical inputs and outputs but also psychosocial/relational, cultural and cognitive processes, processes that mediate results. f) Opting for a systemic paradigm *sui generis* (far from its biological or administrative origins) emerges from the absence of quantitative-qualitative integrative studies that cover long periods of time (not only synchronic but also diachronic and even longitudinal). During these periods, important macro-structural changes are produced in policy, in education systems, in evaluation and in employment (new systems of recruiting, prioritization of certain competencies in contexts of growing competition, different models of human resources and management). All of this results in greater or lesser opportunities for academic achievement (entrance, permanence, graduation); for workplace achievement (insertion according to education, promotion, dignified working conditions) and for individual achievement (according to aspirations, goals, perspectives for the future and life projects). Only studies over broad ranges of time and space allow for an observation of processes of *inter-systemic feedback and of the inside of each micro-system*, pillars of the author's theory.

Finally, we must remember that this research had as its focus an improvement in the quality both of the education system and of employment. This is an issue that began to appear at the center of the political agenda in the 1990s and that is still difficult to give shape to, particularly when taking into account the criteria of *relevance* or the response that the education

system provides when faced with new problems and social crises in contexts of growing competition, looking to the requirements of the future and to long-term country projects.

### III. Empirical Research: Focus and Results

The following are studies that include Satisfaction and Resilience, both in the academic system and the workplace, and that reveal the quantitative weight (predictive models) or the qualitative strength of values, beliefs and representations related to achievement.

#### 1. Satisfaction

##### 1.1. Satisfaction and Achievement in PhDs

This variable has been included in several of the author's programs and complementary research projects. Here we refer to two (2) in particular, carried out with different populations though –quantitatively or qualitatively- both have been present in the majority of her studies, many of which last until current times.

If in the last century the question of Satisfaction was already important at the level of Industrial Psychology, despite the criticism that it provoked (Hertzberg, cit in House & Wigdor, 1967), today in times of uncertainty and a crisis of paradigms, the variable Satisfaction becomes particularly relevant from two angles: the individual begins to prioritize satisfaction, his free time, his schedule, and his rights; and workplaces for their part seek ways to maintain the interest and satisfaction of their personnel, linked to production, effectiveness and competitiveness.

##### 1.1.1. Satisfaction in scientists (PhDs) in the R+D System: A quantitative study

###### Problem

Given the importance that the variable Satisfaction has in relation to Achievement in other contexts, there have been very few studies carried out in the field of science, and fewer still that distinguish between factors associated with Achievement in the hard sciences and in the soft sciences, according to disciplinary culture. In this sense, this study filled a void in our context (for more detail, cf. Aparicio, 2014 b). The interest that the study generated led us to extend it to the present day in the context of other projects (UNCuyo /National Science Agency). Currently there are two (2) running: a) the PICTO 2016-2019 Program which addresses current issues facing scientists/PhDs, those responsible for innovation; b) a study carried out in France with Argentine and other foreign PhDs and post-docs participating in academic exchanges in Paris. The objective is to analyze which factors (objective and subjective) have influenced their pathways and what impact their elected education abroad has had on national innovation.

**Objective:** The main objective of this research was to analyze the relationship between human (psychosocial) and material (resources) factors, and the efficiency of the Research Units (R+DUI) (Andrews, .1979). Satisfaction enters in the first group.

To achieve this, scales and indexes were developed, especially concerning the product. As far as human factors were concerned, many scales and indexes were included, especially connected with satisfaction at work.

**Hypothesis:** a) Satisfaction among scientists (all PhDs) is associated with Professional Mobility (the higher the position in the scientific system, the higher the satisfaction) and with the Product<sup>1</sup>. b) Satisfaction is associated with different aspects according to disciplinary fields. c) the role of leaders (bosses) of research groups is a central factor for team development and satisfaction.

###### Methodology

**The Sample :** A stratified sample was taken from universities and different disciplines, based on a population of research teachers from the National University of Cuyo (N= 53) R+DU: one chief or director and members.

**The Techniques:** Techniques were quantitative and qualitative. Two questionnaires, anecdotes and non-obstructive observation were used.

1) The Research & Development United Questionnaire, R+DU (going forward, R+D Questionnaire), was given only to

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<sup>1</sup> As we will see, they were in part confirmed. They are not aspects that run in parallel. The same was observed in the study carried out with PhDs at Cnam and UNCuyo which we will detail below.

Directors who responded with data concerning the R+D United (institutional and financial resources, human resources, R+DU age, sources of national and foreign income, scientific exchange programs and product).

2) The Core Members Questionnaire provided data related to R+DU members of the and to concrete modes of organization. It included objective data (personal and institutional-disciplinary profiles), opinions and representations of the R+DU members regarding levels of personal participation, workplace climate (dedication, cooperation, interference, etc.) and regarding employment (pressure, responsibilities and commitment). Likewise, it included opinions about budgeting and resources; satisfaction with respect to bosses (frequency of contact and effects on scientific performance and professional competencies). It also included representations of power and influence in decision-making and with respect to the effectiveness/productivity of the R+DU according to the objectives sought and the capacity for innovation, as well as to satisfaction in relation with the dissemination of results.

**The Scales:** Scales and indexes were created using the responses obtained for the items corresponding to variables on the Core Member Questionnaire and we then proceeded to cross them with other variables, among them *Production* (as an indicator of effectiveness), *Professional Mobility* (an indicator of achievement, particularly in the scientific and academic realms) and disciplinary fields of relevance.

Regarding that which concerns our study, we established 7 Central Scales of Satisfaction. In addition, we created a Product Scale and a Professional Mobility Scale. Detailing these scales will not be our objective here (Aparicio, 2014 b).

We will only point out that the Social Mobility Index varied between 4.67 and 100.00, with a mean (or average satisfaction) of 53.99 and a standard deviation of 25.53, the lowest observed.

The Index of Product was constructed by taking into account 3 clusters: Publications, Patents and Prototypes, and Reports and Algorithms.

Here we will concentrate on the Scales of Satisfaction.

Items are based on the Liker scale from 1 to 5, with 5 being the most positive situation and 1 the most negative. The individual gave his/her opinion about each of the pairs of opposite statements (X-Y), grading them as follows: 5) X is applicable, 4) Tendency to X, 3) Halfway, 2) Tendency to Y, 1) Y is applicable.

Let us take a look at a summary of the resulting Satisfaction Indexes and at a descriptive analysis of them, considering their level of satisfaction.

Table 1. **Satisfaction Indexes.**

	Minimum	Maximum	Mean	Deviation
Planning	50.77	100.00	88.7590	10.0119
Atmosphere at Work	44.71	96.47	80.5409	10.5910
Supervision/boss	2.50	100.00	74.3000	26.2832
Level of Satisfaction with Co-workers	6.67	100.00	63.4234	25.2896
Material Factors	21.54	92.31	61.9982	14.7697
About your Job	35.00	91.67	61.6858	12.2830
Responsibility	10.00	100.00	58.7059	28.0216

As shown in the scale, the highest level of Satisfaction is present for the variables Planning (88.75) and Atmosphere at Work (80.54), whilst the index for Professional Mobility is among the lowest (53.99).

Likewise, we constructed a **General Index of Satisfaction**. This varied between 25.93 and 88.89, with a mean (or average satisfaction) of 68.72 and a standard deviation of 13.19.

We now proceed to describe Satisfaction scales, which show significant differences<sup>1</sup>.

**Scale L: About the Job:** The index varied between 35.00 and 91.67, with a mean (or average satisfaction) of 61.68 and a standard deviation of 12.28, which indicates a moderate level of satisfaction with respect to the variable.

<sup>1</sup> Names in the scale remain the same as those of the previously mentioned UNESCO research study, 1971.

**Scale N: Satisfaction with Chief of Research Unit:** The index varied between 2.50 and 100.00, with a mean of 74.30 and a standard deviation of 26.28, which indicates a high level of Satisfaction.

**Scale O: Planning and Organization of Research Activities in the Unit:** The index varied between 50.77 and 100.00, with a mean of 88.55 and a standard deviation of 10.01, which indicates the highest level of Satisfaction in the variables considered.

**Scale I: Responsibility/Attributions:** The index varied between 10.00 and 100.00, with a mean of 58.70 and a standard deviation of 28.02. These figures show one of the lowest levels of Satisfaction in the variables considered.

## Results

We observed that levels of satisfaction are not independent from professional mobility and from the associated specialty domains. a) There is a significant relationship between professional mobility and satisfaction in the workplace without making a distinction between hard and soft sciences (disciplinary domains); b) Distinguishing between the two types of sciences, there exists a different association between factors of satisfaction in the workplace and professional mobility in the domains of "hard" sciences and "soft" sciences (institutional culture); c) No co-relation was found between Mobility and Product; d) And finally, the generalized non-conformism found in the mobile subjects as opposed to the team leader or boss of these scientific-academic organizations *sui generis* is of great interest.

We will analyze these results in three instances:

*Co-relation between Professional Mobility and the Index of General Satisfaction* was significant: 5 % ( $r = .450^{**}$ ,  $p < 0.05$ ).

*Co-relation between Professional Mobility and Indexes of Satisfaction:* After the scales were created and indexes calculated, the Mobility Index was co-related to the different indexes of Satisfaction. It becomes clear that there is a positive significant association between Professional Mobility and the indexes of Satisfaction at Work, Responsibility for Specific Tasks and Planning; and a negative significant association with the Boss/Supervisor.

*Co-relation between Professional Mobility and Satisfaction in "Hard" and "Soft" Sciences*

"Hard" Sciences: Professional Mobility is positively and significantly associated with the indexes for Job (0.48 at 1%) and Responsibility (0.57 at 1%). There is, in addition, a negative significant co-relation with the index for Satisfaction with bosses or directors (-0.45 at 1%).

"Social" Sciences: Here, a negative and significant association can only be found in the index for Satisfaction with the Supervision or the unit's leader (-0.456 at 5%), while there is a positive association with Planning (0.354 at 5%).

Analyzing the scale of co-relations (Pearson), we can see that significant associations at 1% and 5% between Professional Mobility and Satisfaction are different in the "hard" and "soft" sciences scale, which implies that each disciplinary group values different aspects of Satisfaction. In other words, the most movable subjects in "hard" sciences find Satisfaction in some aspects –typically present in their discipline– which are different from those in "soft" sciences (Crane, 1972).

There is only one aspect common to both: researchers from both fields feel they are not satisfied with the leadership in their teams (Hollander, 1971; Etzioni, 1965; Rossel, 1970; Meyer, 1976). This result can be read in light of different frameworks.

From the Expectation-Valency theory, it is thought that the most mobile individuals (that is, those who have ascended in their career) have higher expectations and demand more than those at the top of the system (Feather & Davenport, 1981).

From the "investment" model (Becker, 1964), it is thought that those who have ascended most expect greater benefits, many of which are linked to their position as Bosses.

Finally, it is not surprising in the current situation of structural crisis that the Index of Satisfaction with respect to Mobility is among the lowest: promotion is less likely when positions are limited. This generates non-conformism and anomy in light of the distance between the institutionalized means and goals to reach (Merton, 1968; Heintz, 1970). We see that psychosocial actors overlap with other structural actors, making linear readings difficult.

Otherwise, we find a certain homogenization or disciplinary identity for factors concerning socialization (Crane, 1972). Scientists (PhDs) from the hard sciences and those from the soft sciences only share one aspect: non-conformism with their R+DU bosses. Psychosocial and structural factors thus feed each other in the Science and Technical system.

### 1.1.2. PhDs, Satisfaction and Professional Future: A French-Argentine study (qualitative-quantitative)

#### Problem

Abrupt changes in the world of work and the high levels of professionalization now required demand both the implementation of new mechanisms and education in new competencies, not only disciplinary but also psychosocial competencies for management and self-management. In addition, the conditions for practicing in the professional world have changed and insertion and promotion has become a more complex issue.

To these issues are added others, such as PhD saturation in some disciplinary fields, the “plafond” effects at the professional level that result in unemployment or structural sub-employment; derived non-conformism, related especially to the lack of recognition expected, etc. Discontent also emerges from macro-national and political factors, despite having reached, many times, a high professional position (Aparicio, 2017 a; 2009 c). All of this has impacts at the level of identity, demanding a reconstruction of this identity (Goffman, 1963, Silva & Aparicio, 2015).

In this framework, the *link between personal pathways, educational pathways and professional pathways* constitutes a source of worry. Our objective was to understand a) the objective and subjective factors (among them Satisfaction and/or Unease, VD) associated with achievement; b) the competencies and expectations of the future that define the identity profile of PhDs according to disciplinary field, university and country.

**Methodology:** Quantitative and qualitative.

**Population:** PhD students/PhDs from Cnam (France) from three programs of study: Management, Sociology and Adult Education. At the National University of Cuyo (Argentina) we worked with PhD students/PhDs from PhD programs in Social Sciences and Education (both with sociodemographic profiles similar to those at Cnam) over the same time period.

**Techniques:** We used a semi-structured survey, carried out personally with PhD students/PhDs (2005-2009 period), and later updated the institutional listings. The survey included open-ended questions which allowed the actors to express themselves freely. The fundamental qualitative technique was hierarchical evocation. This allows us to capture the central representations shared by this population in relation to important nodes (for an in-depth analysis cf. Aparicio, 2009 e, Award Marie de Paris; also Aparicio et al, 2015c). In our report, we address diverse qualitative nodes linked to the value of a PhD degree and the “plus” that it provides or doesn’t provide in terms of personal and professional achievement (including the satisfaction reached after obtaining the degree), representations of the world of work, objectives sought for life projects, essential values for those who lead organizations and those necessary to reach high levels of satisfaction in the workplace, among others. All of these shed light on “where” PhDs place their Satisfaction of Dissatisfaction, that is, in what spaces it is achieved (relationships with bosses, teams, required competencies versus learned competencies, the relationship with Career Mobility and Professionalization, and the relationship between Satisfaction and Positioning, among many others) (Aparicio, 2017 a,b,c).

In terms of the quantitative analysis (descriptive and correlational level) cf. Aparicio, 2009 c, Rapport Award Marie de Paris, 158 pp.

#### Results related to the variable of Satisfaction

Here we present a brief synthesis of our findings and the variables/dimensions associated with Satisfaction.

1. Greater professional mobility means greater satisfaction, both at Cnam (62% of those who reach the Director level report being Very Satisfied) and at UNCuyo (cf. Aparicio & Cros, 2015 c, op cit, pp. 57- 63). We highlight the fact that it is not only entrance which causes happiness.
2. Greater income results in greater Satisfaction.
3. Professional reorientations (narrated in interviews) served to revive and resignify their non-linear paths, sometimes cut short by unexpected situations (war, death). Those who changed their program of study reported finding satisfaction with the option (even when desertion, addressed statistically, is considered a negative aspect which affects both the individual and the quality of the education system).
4. As regards disciplinary fields, notable satisfaction emerges with the program of study and with employment, though with variations according to fields/programs of study and according to objectives sought (economic benefits, power, prestige, personal development). Nevertheless, Mobility brings with it greater Status and though this does produce objective Satisfaction, in some programs a certain subjective Dissatisfaction emerges, despite it seeming redundant. In fact,

individuals were not always educated to lead, to manage competencies and programs of study, in moments when the social climate is tense and the world of work is seen by some as a ruthless struggle where competition reigns (Aparicio, 2017). These individuals are satisfied with having completed a PhD, with having ascended to be bosses as such, but when describing this world, they do so in the worst way.

5. The majority occupies positions appropriate to their education and this creates satisfaction.

6. The value of a degree is associated with two factors: mobility and resulting satisfaction. However, the numbers are low: only between 14% and 30% say that a doctoral education results in mobility. Despite this, they report that although mobility is not reached easily, there has been an improvement in their careers (between 60% and 70% in all careers) since starting the doctorate. 20% to 38% say they have seen no progress.

This data points in the same direction as the CEREQ data. Nevertheless, the relationship between Education/Work/Mobility and the Value of a Doctoral Degree/Satisfaction continues to be the object of debate. And though tightening of the relationship between education and employment is not the norm, a positivist vision prevails.

8/ To sum up, while not denying difficulties, the majority are satisfied with their degree and/or doctoral studies and, though these do not always imply economic benefits, they continue to have value at the symbolic level. In this sense, the value seems more symbolic in France than in Argentina. Here PhDs still hope for a brighter future for the sole fact of having reached the PhD.

## 1.2. Satisfaction and Achievement for Teachers

### Introduction

A number of comparative studies have been carried out with this population at the university, tertiary and secondary levels (cf. Aparicio, 2017 and 2018: this article contains a synthesis of all studies completed).

In these studies, we address the issue of teaching from two large dimensions: a) the philosophical bases that underlie the different stages of development of teacher education, political-institutional, historical and legal aspects; b) using empirical studies in the field to understand these issues *in vivo*, teachers' concerns, the system's demands (professionalization, rights, etc.); all of these aspects that define a teaching identity.

### Methodology

Fundamentally, we used a qualitative methodology (interviews and hierarchical evocations). The quantitative techniques used included institutional listings and semi-structured surveys that included open-ended questions to allow participants to speak freely.

### Results

Globally: among the "non-variants" or common aspects –shared and expressed through social representations– we observed that:

Teachers are satisfied with aspects related to the affective and relational dimension (bonds, interaction). Their achievement is found within the context of their vocation and decisions: within their life project they opted for personal fulfillment and not for economic benefits, prestige or power in their profession (Becker, 1964, "consumption" model *versus* "investment" model).

There are also dissatisfied individuals who demonstrate a certain level of discontent because of greater social demands (particularly, on behalf of families and the media) and because of the increased presence of violence and lack of respect (Aparicio, 2011 a, b 2013)

It is also important to note that we have found issues common to both the Argentine and French contexts, demonstrated by common expressions and/or words used.

Finally, in line with the author's strategy of analysis –micro-meso-macro-micro–, we observe that the historic problem of identity in the teacher education system, a system which has been weakened and fragmented by political decisions, falls back on teachers themselves, which further weakens their identity. We find fragmented identities at the macro-national and meso-institutional levels and ruptured identities at the micro level which in some cases in France go so far as to lead to early abandonment of the goal (Aparicio 2009 c; 2012; 2015 a, b; 2017 e; Silva & Aparicio, 2015).

## 2. Resilience or the importance of “social competencies” to university achievement. The case of students who prolong their studies.

We will now detail some of the research studies carried out, quantitatively and qualitatively.

### 2.1. Negative performance: a quantitative study of individuals who extend their studies<sup>1</sup>

#### Introduction

As were previous studies, this research was carried out within the general framework of improvement in Educational Quality as linked to Negative Performance. We used a sample of individuals that extend or delay their studies at six schools (1985-2004), with the objective of understanding what factors/dimensions influenced this decision of extension. The statistics are alarming: only 17% of the students graduate, 60% drop out and the rest extend their studies. This problem represents material and human cost in terms of frustration.

What concerns us in this article, which attempts to show the importance of resilience through empirical studies, are the characteristics of our university education, very focused on the disciplinary aspect, which can be found at the base of the “relative failure” statistics, impacting the “low institutional and learning quality”. In fact, though there are differences according to program of study, education in “social competencies” is frequently forgotten. These competencies, studied by the author for at least 15 years, include: communicational competencies, coping strategies, and resilience, among others (Aparicio, 2016 a,b).

Resilience develops social bonds, relational competencies which will be very useful in the university, in the workplace and in life in general. It is defined as an individual’s ability to react to adverse and sometimes unexpected situations and to overcome obstacles. It implies a set of sub-factors that favor success when one is faced with the changes and processes of adaptation which these suppose, evermore necessary in current times.

Here we cannot go into the theory (cf. Aparicio 2007 b). However, it is important to highlight the fact that this ability to resist pressure which allows for a healthy life in adverse environments entails: a) a set of social and intra-psychic processes, and b) concerns not only *individuals* but also, equally, *groups and institutions*. It is not an innate ability, it is the result of a personal and institutional construction that reaffirms a *belief in one’s own efficacy to solve problems and adapt to changes* (Hernández, 1998; Puerta de Klinkert, 2002).

All of these aspects and/or competencies are precisely those which are currently being prioritized by the educational systems that lead quality rankings. In the line of positive performance, these studies carried out with university students demonstrate resilience to be the most important factor for “negative performance” in the models (cf. Studies on ‘delay’, Aparicio 2009 a, b).

Briefly, as the foundation for achievement, including disciplinary achievement, we find the social competencies, of being and living (listening, companionship, bonds and affects, emotional intelligence). Added to these are the cognitive-procedural competencies (flexibility, the ability to reflect, make decisions and act, cf. Aparicio, 2007 a; 2016 b). It will be impossible to change the way of working at school, at university and at work without improving human relations, without giving new value to the individuals in educational institutions or workplace organizations, without developing their unique potential, without sharing and reflecting by setting aside selfish motives, and without developing creativity or encouraging motivation (Argyris, 1982). It will be impossible to replace retrospective representations of ways of acting for others considered more appropriate (at the level of administration/teachers, teachers/students, bosses/operators). It will be impossible to negotiate, knowing that something is always lost but more is gained in these new exchanges, for oneself, for one’s life, for the life of the group and for life as citizens. At times when depersonalization reigns and the term personality has even begun to fall into disuse, it is important to give new value to the individual. On the contrary, in recursive returns or feedback, the individual (consciously or subconsciously) goes against the micro or macro system, generating negative results, at least from the author’s systemic perspective *sui generis*.

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<sup>1</sup> We must point out that in this research on University Student Delay, Satisfaction in the *workplace* was also part of the predictive model, appearing as a factor in line with the extension of studies. In effect, at times when it is difficult to find a job and feel satisfied, students opt to work and prolong their studies. (Cf. Aparicio, 2009 b, cit., Levy-Garboua, 1976). In addition, Satisfaction and Self-Esteem were analyzed as part of the author’s second doctoral thesis (Sorbonne, 2005) as factors linked to achievement in quantitative-predictive models. Results were calculated in detail according to univariate and bivariate analyses. Cf. Aparicio, 2009 (published thesis).

Change must start from all spheres, as well as from oneself and from critical reflection on one's own practices, not always expecting directives from outside sources. Without this, there will be no teacher or educational reform that improves the quality of learning for life.

**Objective:** to understand the relationship between Resilience and achievement for individuals who extend their studies.

**Specific Hypothesis:** High levels of resilience (RESIL) – favored by instances of socialization (family, school, etc.) and by concrete instances of education – will generate profiles more favorable to achievement.

**Methodology:** quantitative and qualitative. Here we will make reference to our quantitative findings.

**Population:** 229 subjects from six schools at the UNCuyo (1985-2004).

**Techniques:** we used a semi-structured survey with open-ended questions. We also used specific tests to measure psychosocial and other variables in relation to university achievement (RU, measured with a compound index); concretely: Coping Strategies to face difficulties, attributional styles, motivational factors and Resilience (Henderson & Milstein, 2003 Questionnaire). We worked at a descriptive level (resilience according to school/program of study), bivariate and multivariate (cf. Studies on delay, volume 1).

The Questionnaire used is composed of three scales: Students (RESIALUM), Personnel – administration and teachers – (RESIPERS) and Institutions – schools – (RESIFACU). In addition, it was divided into six sub-scales that can be regrouped into two dimensions. The aspects evaluated here are two: A) *Mitigate Risk*: 1. Enrich prosocial links; 2. Set clear and firm limits; 3. Teach competencies for life (cooperation, conflict resolution, communicational competencies and healthy ways to manage stress). B) *Build Resilience*: 1. Give affection and support; 2. Establish and convey realistic expectations and avoid the plafond notion for development; 3. Provide meaningful opportunities for participation (problem solving, definition of objectives and goals, helping others).

## Results

The results demonstrate the role that resilience plays in academic achievement (here, in lengthening studies).

For the three scales, Students (RESIALUM), Personnel – administration and teachers – (RESIPERS) and Institutions – Schools – (RESIFACU)<sup>1</sup>, the mean is concentrated in category 3, which indicates that Resilience is currently in the initial stages, with very low values. Generally speaking, this means that at all Schools, Resilience is low for Students, Personnel and for the Institution itself. Nevertheless, each school has its own profile or identity, with some generating more Resilience than others (Aparicio, 2007 b). This fact demands a situated, contextualized analysis (interaction between the meso-institutional and individual levels). Therefore there must be spaces that generate *resilience* (Schools/Programs of Study in our research) and that favor its emergence.

### 2.2. Negative performance: a qualitative study of individuals that extend their studies

A complete volume of research work (more than 500 pages) with individuals who delay their studies is dedicated to the treatment of data and qualitative findings. Among these findings, many refer to resilience and to “low resilience” rates developed to face obstacles and reach the goal of graduation in the time stipulated by the Plan of Study. Individuals refer to the lack of precise life projects, the absence of clear goals, entering a program that was not his/her first choice only to “try it out” and when not feeling comfortable, dropping out. They also said that they were influenced by the situation many graduates in the workforce are struggling with: that a diploma does not currently ensure better job positions and if they do get a job, or even without one, many decide to prolong their studies (Levy Garboua, 1976, theory of differed gratification). Once more, we observe that much achievement depends on the individual, on the person in contexts which condition but do not determine. In effect, the entire system could change (increase infrastructure, nighttime course schedules for those students who work, etc.). However, if an individual decides not to prioritize his/her studies, he or she will extend their studies despite reforms to the system. A return to the individual from a “situated” context? The individual, his/her values (cultural factors), motivations and decisions (psychosocial factors), according to the findings, play a key role.

Finally, the influence context has is particularly observed in the qualitative analysis. Individual and context are in interaction in a movement that may or may not be enriching for both. Here, the responsibility that institutions have as generators of

<sup>1</sup> Variables have a point-value: Number 1 indicates the individual is doing ok, 2. he advanced, 3. he is beginning, 4. nothing has been done. Elevated point-values, o those above 48, demonstrate that the student (in our research) evaluates his resilience as null or non-existent. On the contrary, the minimum value for the student/personnel/institution scales is 12, which shows that the student evaluates resilience taught as something positive, he understands his institution to be a generator of resilience.

this competence emerges, despite the structural or current limitations that will always exist. Socialization emerges in the heart of the results in this line of development.

### 2.3. Resilience in other research studies

In other studies, this factor was measured qualitatively, using the technique of hierarchical evocation, and was observed through the value of the links, support, and companionship of the extracurricular experiences that strengthen and/or create solid bonds, among many other aspects (Cf. PICTO 2010, interinstitutional research program carried out on Retention, a positive facet of achievement cf. Aparicio (Dir.) 2015 d).

These aspects, using well-known models produced in the US over the last century, appear as central factors linked to achievement (in a positive sense, as is the case of retention and graduation, or a negative sense, as is the case of dropping out). (The first refers to Aparicio, 2007; 2015 a; in both publications there is a synthesis of research with dropouts. See also, cf. Aparicio 2014a. Here we refer to the primary global models on the subject, where the *supra* aspects cited are decisive and findings are interpreted in light of the author's theory: The Three-Dimensional Spiral of Sense).

### Conclusion

The findings show that the learning paradigm implies the development of soft abilities/competencies at its base. Without developing these, learning becomes difficult, either because of a lack of interest or a lack of strategies to overcome adversity. And said abilities/competencies are generated in an individual within contexts favorable to development, later resulting in an improvement of institution and macro national quality.

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## The Path of Standard Albanian Language Formation

**Prof. Ass. Dr. Sindorela Doli Kryeziu**

University of Gjakova, Faculty of Education,

Professor of Albanian language, Kosovo

### Abstract

In our paper we will talk about the whole process of standardization of the Albanian language, where it has gone through a long historical route, for almost a century. When talking about standard Albanian language history and according to Albanian language literature, it is often thought that the Albanian language was standardized in the Albanian Language Orthography Congress, held in Tirana in 1972, or after the publication of the Orthographic Rules (which was a project at that time) of 1967 and the decisions of the Linguistic Conference, a conference of great importance that took place in Pristina, in 1968. All of these have influenced chronologically during a very difficult historical journey, until the standardization of the Albanian language. Considering a slightly wider and more complex view than what is often presented in Albanian language literature, we will try to describe the path (history) of the standard Albanian formation under the influence of many historical, political, social and cultural factors that are known in the history of the Albanian people. These factors have contributed to the formation of a common state, which would have, over time, a common standard language. It is fair to think that "all activity in the development of writing and the Albanian language, in the field of standardization and linguistic planning, should be seen as a single unit of Albanian culture, of course with frequent manifestations of specific polycentric organization, either because of divisions within the cultural body itself, or because of the external imposition" (*Rexhep Ismajli, "In Language and for Language", Dukagjini, Peja, 1998, pp. 15-18.*)

**Keywords:** formation and development of the Albanian Standard Language, Albanian culture, the history of Albanian people

### Introduction

The whole process of the standardization of the Albanian language has gone through a long historical path, for nearly a century. When talking about the history of the standard Albanian language and according to the Albanian language literature, it is often thought that the Albanian language is standardized in the Albanian Language Orthography Congress, held in Tirana in 1972<sup>1</sup>, or after the publication of the Orthographic Rules in 1967 (which was a project at that time), and the Linguistic Conference decisions, which was of great importance, held in Pristina in 1968. All of these have influenced chronologically alongside a very difficult historical journey, to the standardization of the Albanian language.

Considering a slightly wider and more complex look than what is often presented in Albanian language literature, we will try to describe the path (history) of the formation of standard Albanian language under the influence of many historical, political, social and cultural factors that are known in the history of the Albanian people. These factors have contributed to the formation of a common state, which would have, over time, even a common standard language. It is fair to think that "all activity in the development of writing and the Albanian language, and therefore in the field of standardization and linguistic planning, should be seen as a single unit of Albanian culture, of course with frequent manifestations of specific polycentric organization, either because of divisions within the cultural body itself, or because of external impositions. "

In chronological order during the historical development of standard Albanian, this development is closely related to the attempt to unite the alphabet with the "Society for the Publication of Albanian Writings" of Istanbul (1879) and continues with the gathering of "the Union" of Shkodra<sup>1</sup> (1899) out of which came out three important alphabets: the one of Istanbul, the Arbëresh (1895 and 1897) and that of "the Union" of Shkodra. All of these collective efforts have been finalized in the

<sup>1</sup> Instituti Albanologjik, *Kongresi i Drejtshkrimimit të Gjuhës Shqipe*, Prishtinë, 1974, f. 95.

<sup>1</sup> Alfabeti i shoqërisë "Agimi" të Shkodrës, është rezultat i punës individuale të Ndre Mjedës.

second phase of this stage: at the Congress of Manastir (1908) from which the present alphabet came out, which would be put into the base of the standardization of the Albanian language at Shkodra's Literary Commission (1916-1917) and later in the Albanian Language Orthography Congress in 1972.

The unification of the Albanian language orthography, planned at the Congress of Manastir, was initially accomplished in the period of World War I, at the Albanian Literary Commission of Shkodra in 1916-17. In this important event, the standardized Albanian language was born for the first time in the history of the Albanian people; its norm was based on Elbasan variant, which functioned for several decades. This standardized language had a proper orthography published, which served with great success for all those who wanted to respect it in writing and speaking.

It should be noted that this literary variant was used after World War II, in Kosovo and Macedonia as the only spoken and written norm of the Albanian literary language, until the Orthography Congress (1972), but also had a slightly wider basis and included linguistic elements of other Gheg variants (especially of Kosovar, Debar etc.).

The standardized language at Shkodra's Literary Commission did not spread in the entire Albanian language terrain. In the southern part of Albania there was still functioning a variant of the literary Tosk. Perhaps, this could be due to the fact that the vast majority of the participants in the Literary Commission of Shkodra were citizens of Shkodra. Even Shkodra's representatives did not apply the norm of the standard language of the Albanian Literary Commission of Shkodra, because in the daily practice they kept the variant of literary Shkodra.

Most literary languages in the early stages of their historical development have had literary variants. But in cases of the literary language where there are variants that have not had any differences between them, they have ended in a single form of standard language. This can happen in standard homogeneous languages, spoken and written by homogenous nations.

However, when speaking of written Albanian dialects, they appear in the first written documents of this language, such as "The Baptismal Formula" (1462) and Von Harif's Dictionary (1497), which are of the literary variant of Gheg, while the "Gospel of Easter" of St. Matthew, which belongs to the end of the 15<sup>th</sup> century, comes out in the literary variant of Tosk. Nevertheless, the clearest and most complete differences of Albanian literary variants emerge in the second half of the 16<sup>th</sup> century. Buzuku wrote his "Meshar" in the variant of literary Gheg, while the work of Lekë Matrënga, "*Embsuame e krështerë*", is written in the variant of the literary Tosk.

Later, in the 19<sup>th</sup> and 20<sup>th</sup> centuries on the basis of this literary variant, another variant would be formed. Less widely spread functioned the literary variant based on the Elbasan's variant, which is known as the variant of the middle Gheg. This form was chosen because they tried to find a middle of both dialects in the entire Albanian speaking territory, where it was located the Elbasan.

It is well known that the variant of Elbasan with its orthographic rules foresaw the preservation of non emphasised vowel *ë* in all the positions of the word, just as it also emerged in the literary variant of Tosk. In the period of Zog I's government, it was accepted and proclaimed as an official language of Albania by decree in the 1923 Official Gazette, since it had previously been accepted by the Lushnja Educational Congress, eventually receiving the standardized language seal<sup>1</sup>. However, the Albanian Government of Post-Liberation ignored this completely by sending orders from its top authorities so that all the schools in Albania use the ABC-book of the literary tosk variant<sup>2</sup>.

It is known that the northern variant of literary Gheg or literary variant of Shkodra has a history a bit earlier than other variants, distinguishing it from "Meshari" (this is mentioned by B. Beci in "For the dialect affiliation of" Meshari ", Seminary XVIII, p. 393) from the other authors of that time. Also, Shkodra's variety was followed as a literary variant at the time of the Albanian National Renaissance in the works of Gjergj Fishta, Filip Shiroka, Ndre Mjeda, and other writers of Shkodra.

These characteristics of literary variety of Shkodra can be found in the language texts and in the other writings of A. Xanon, Justin Rrotës, in the Dictionary of "the Union" of Shkodra, etc. After the end of the Second World War, the use and value of the variety of Shkodra started to fade, especially when it became the standardization of the literary norm.

<sup>1</sup> Shih F. Raka, *Historia e shqipës letrare*, Prishtinë 1997, f. 182.

<sup>2</sup> Shih B. Beci, *Gjuha letrare shqipe dhe baza e saj dialektore*, Seminari XVII, Tiranë 1995, f. 202.

However, the former variants of Albanian, as well as their dialects, always remain a precious treasure for enriching the standard Albanian language<sup>1</sup>.

As will be discussed below, in linguistic terms, the source of this phenomenon is found in the fact that both literary variants of Albanian were based on the source of everyday language and in the Albanian dialect language.

**The effort of National Renaissance for Standard Albanian:** The treatment of standard Albanian began since the Albanian National Renaissance period, dating from the second half of the 19<sup>th</sup> century. The interest in the writing of literary Albanian began with various articles published in the magazines of that time. The national conscience began to rise for a language that is written in Albanian, with propaganda not to write about the interests of foreign states of Istanbul, Athens, Vatican and various Balkan centers who tried to prevail in our country through their language and writings.

However, it influenced the rulers of that time in the anti-Albanian propaganda from Ottoman long rule, where they did not allow publishing magazines and newspapers in Albanian, not even in Albanian speaking territory. This helped our Renaissance people in the further development of the Albanian literary language against anti-Albanian propaganda. Various magazines and newspapers began to be published in other European countries, such as Romania, Bulgaria, Italy etc. During the Renaissance, many different magazines were published in Albanian and other European languages, even in Arabic<sup>2</sup>, run by patriotic societies, private persons, religious political organizations etc.

The first Albanian newspaper is "The Albanian of Italy"(L'albanese d'Italia), which was directed by De Rada in 1848, the newspaper "Pellazgu" in 1860 by the Greek arbëresh Anastas Byku, the newspaper "Prizren" in 1871-74 in Prizren , as well as the newspaper "Kosovo" in Pristina in 1877-88, in Pristina (both of them were published in Turkish and Serbian )<sup>3</sup>.

Other papers were also published, which devoted special importance to the protection and development of the Albanian literary language such as " Fjamuri i Arbërit " (1883-1887) and "Drita-Ditura" (1884).

The newspaper of A. Kulluriot was entirely in the service of Albanians to protect and develop Albanian literary language. This newspaper made a fiery propaganda against Greeks saying that "**The Albanian language was not capable of being written and serving the national idea of freedom**"<sup>4</sup> The newspaper countered with great skill against this propaganda, where the issue of Albanian language and education was protected with much love and patriotism.

In addition, there was another magazine "Albania", which was published in Brussels and London during 1897-1909, led by one of the most important national Renaissance personalities, Faik Konica. This magazine had as a special purpose the purity of the Albanian literary language from the foreign elements that prevailed at that time. There were discussed the problems of uniting the Albanian alphabet, the spelling of literary Albanian, the theoretical treatment of Albanian orthography by many well-known authors of this period such as: Konica, Gurakuqi, Xhuvani, Logoreci and others<sup>5</sup>.

As noted above, other European countries where the National Renaissance magazines and newspapers were published were Romania and Bulgaria. In Bucharest was the newspaper "Albania" in 1897-99<sup>6</sup>, where it played a very important role for education and raising the national awareness of the Albanians. It also contributed to the unification of the alphabet of the Albanian language. It should be mentioned that it was the newspaper that used the Latin alphabet during the whole time of its publication.

The issue of the common literary language also appeared in "Ditura" that was in Thessaloniki in 1909. It can be said that during the Albanian National Renaissance a greater awareness of all Albanians was achieved to see the acceleration of the liberation of Albanian lands from the Ottomans, Greeks etc, as well as the issue of a very valuable importance that we can boast with this period of development of the unity for a common Albanian literary language.

Among the first and old sources of Albanian dialect in Kosovo, written and published for the first time in their discourse, was the work of Pjetër Bogdani written in Padua, Italy in 1685. So, from that time are preserved the tracks of the old Kosovar, especially in the phonetic aspect (the change of the consonant cluster kl, gl in the k e g, a quality that shows and

<sup>1</sup> Shih M. Samara, *Roli i dialekteve të shqipes për zhvillimin e normës letrare në fushë të leksikut*, Konferenca shkencore "Gjuha letrare kombëtare dhe bota shqiptare sot", Tiranë 2002, f. 333.

<sup>2</sup> R. Fadil, *Historia e shqipes letrare*, Prishtinë 2005, f. 175

<sup>3</sup> Po aty.

<sup>4</sup> Po aty.

<sup>5</sup> M. Blaku, *Rreth trajtimit të gjuhës letrare në organet e shtypit të Rilindjes*, Seminari 4, f. 183.

<sup>6</sup> I. Dermaku, *Rilindja Kombëtare dhe kolonitë shqiptare të mërgimit*, Prishtinë 1983, f. 183.

confirms the age of a phenomenon of the Albanian variant in Kosovo). Also a not too long time after Bogdani, in Albanian language is also the writing of the Gjakovar Nikollë Kazazi, who in 1743 published "The Christian Doctrine" in Rome, where in the absence of full material, a short fragment was found where, apart from the diphthong *uo*, usually encountered *u*, it has no great value for Albanian language. With the death of Kazazi, ends the literary activity of the old Albanian authors where there was a long pause of Gheg dialect writing.

The first place based on antiquity takes "Vehbija" of Tahir Efendi Gjakova, which was written in 1835, published in Istanbul. Always with this Arabic-Turkish alphabet, at the end of the century (1900), a mevlud was written by the author Tahir Efendi Popova (from Popovë of Vushtrri). Later it was discovered in the field of literature and with this alphabet, Sheh Maliq of Rahovec.

**The Congress of Manastir - an important event for a common Albanian language:** The awareness of Albanians of this period continued to grow even more. Different political events in the Ottoman Empire further influenced the development of patriotic activities for the opening of schools in Albanian language. A task of great national, scientific and political importance was also the issue of forming a common alphabet, which started to grow in this period.

The efforts to organize a congress at the national level in order to see and reach a unified conclusion of the alphabet issue in the interest of all Albanians were becoming numerous. The initiative was taken by the "Union" club of Manastir, which in its meeting of August 23, 1908 decided to organize a congress aimed *"to end this great need for the unification of all Albanians in one language"*<sup>1</sup>. This congress was attended by many representatives from all the countries where Albanians lived, there was a total of 50 delegates, representatives of 23 societies of Albanian clubs, while the right to vote was accepted only to 32 people. Participants were newspaper directors, writers and linguists, National Renaissance veterans, and delegated from different cities where Albanians lived<sup>2</sup>. It lasted for nine days, while the interest was quite large, where about 400 people participated in the plenary session. Through the discussions, unique stands were achieved for the national alphabet for all Albanians. In addition, in these plenary sessions were approved important decisions, such as:

- a) It was supported the idea that the base of the next alphabet of the Albanian language would exclusively be the Latin alphabet;
- b) The congress chose an 11-member<sup>3</sup> Committee or Commission that would decide on the Albanian alphabet, while congressional participants vowed to accept the decisions of the Congress Committee<sup>4</sup>.

The congress would look at the Latin letters for the alphabet of the Albanian language, because those three alphabets that were in circulation had small graphic changes of sounds, which Latin language does not have, but they were in Albanian. The committee would select one of these three existing options:

1. Take one of the three alphabets that were most prevalent in Istanbul, the "Union" or "Agim" of Shkodra with or without any changes, as they were until then;
2. Create an alphabet with the elements of the three systems, merging the three alphabets into one;
3. Create a new alphabet, regardless of the alphabets that existed and were used until then<sup>5</sup>.

The Commission decided to create a new alphabet, thus complying with the third point. There were many discussions especially for letters that Latin did not have (*dh, gj, nj, ll, rr, ë, y, sh, th etj*).<sup>6</sup>

After nine days of work, the Congress of Manastir successfully completed the work on November 22, 1908 and entered the history of Albanian culture as the Congress that decided to unify the alphabet of the Albanian language. It was a victory of special importance to the entire Albanian people, from the Albanian National Renaissance period to the present, helping to

<sup>1</sup> Shezai Rrokaj, "çeshtje te gjuhës shqipe 2" Kongresi i Manastirit: një alfabet, një gjuhë një komb".

Kongresi i Manastirit, "Liria", Selanik 8 Vjeshtë e tretë 1908, Mot i parë, nr. 15, f.1-3, cit. nga R. Fadil, Historia e shqipes letrare, Prishtinë 2005, f. 186.

<sup>2</sup> Mahir Domi, Alfabeti i gjuhës shqipe dhe Kongresi i Manastirit, f. 7.

<sup>3</sup> Komiteti/Komisioni kishtë këtë përbërje: Gjergj Fishta (kryetar), L.Gurakuqi (zv.kryetar), N.Mjeda, Gj. Qiriaz, M.Frashëri, G. Cikla, T.Buda, Sh. Kolonja, S.Peci, B.Topulli e N.Vrioni.

<sup>4</sup> R. Fadil, Historia e shqipes letrare, Prishtinë 2005, f. 187.

<sup>5</sup> R. Selman, Tri monografina albanologjike, Tiranë 1944, f. 52.

<sup>6</sup> D.Shaban, K. Prifti, Kongresi i Manastirit, Tiranë 1978, f. 79.

establish a common Albanian literary language. As professor Rrokaj rightly states, this Congress finally gave the Albanians the Latin alphabet by turning them towards the West, removing them from the clutches of the Turks and territorial greed of the neighbors. Language and blood this binominal DNA of our nation<sup>1</sup>.

The Albanian Literary Commission of Shkodra (1916-17): After the Congress of the Manastir for the designation of the Latin alphabet, it was thought that another convention would be held, but this time it would be devoted to the orthography of the Albanian language.

However, after many events that occurred in that period, such as the liberation from the Ottoman Empire, the First World War, and considering also the invasion of northern and middle Albania by Austro-Hungary, in order not to further make Albanians angry, decided to give some rights to Albanians for their national affair. In the framework of these rights, the Austro-Hungarian conqueror allegedly attempted to solve the issue of the common nationwide Albanian language, so they sent scientific staff from the Vienna Academy of Sciences and organized the Albanian Literary Commission of Shkodra, which was led by the Albanian linguist dr. Gjergj Pekmezi. In Shkodra Albanian Literary Commission were outstanding fighters and workers of well-known Albanian culture: L.Gurakuqi, N.Mjeda, A.Xhuvani, M.Logoreci, S.Peci, H.Mosi, Gj.Fishta, A. Marlaskaj, N.Paluc and others. There were participants also two foreign Albanians: Rajko Nahtigal and Maksimilian Lamberc, the first one is from Graz of Austria and the second one from Vienna<sup>2</sup>.

Albanian Literary Commission of Shkodra, which operated for a year with irregular interruptions, arrived on January 3, 1917 to announce its decisions in Shkodra. The orthography of this committee marked an important step for the structure of the word, while maintaining the literary variants of Albanian.

When talking about the variants, regarding the base of dialect where the orthography would be based, the variant of the middle Gheg was preserved. This proposal was presented by Luigj Gurakuqi who was the chairman of the commission of the Shkodra's Albanian Literary Commission. It had to rely on this variant because this literary variant also has linguistic elements of literary Tosk. This proposal by L. Gurakuqi was fully endorsed by the Albanian Literary Commission of Shkodra.

In the decisions of this Commission, the phonetic principle was of great importance for later orthography, as they achieved a correct linguistic solution.

- It was specifically mentioned the vocal field of the preservation of not emphasized – ë, when used in the body of the word in the pre-stressed position (shtëpi, (home), shëndet (health), etc.); in the final position of female nouns (mollë (apples), lugë (spoon), punë (work)) to the plural of male nouns (punëtorë (workers), fshatarë (peasants), qytetarë (citizens), etc.). Also, in the first person and in the third person of the present tense (lexojmë (we read), punojmë (we work), rrëfejme (we confess) shkojmë (we go), etc.) Preserving the ë in the final position was also an achievement of the approximation of literary Gheg to that of literary Tosk.

The matter of preserving the two Albanian literary variants by approaching the writing, as well as maintaining the full structure was also approved for the use of vowel groups of the type ie, ue, ye (diell, miell (flour), mësue (learn), punue (work), lye (paint), fyell (flute) etc.

- Preserving the graphic sign (^) in only two occasions: zâ, âsht, pê, frê etc.

- The consonant groups should also be fully preserved (mb, nd, ng, ngj etc)

The Orthography of the Albanian Literary Commission of Shkodra is of great importance for the first orthography in our history in a scientific gathering; the approximation of two written forms of literary variants of Albanian; and we can say that for the first time the Albanian literary language was standardized. In addition, this standardization was also approved in the official acts of King Zog's Government in 1923.

**Linguistic Conference of Prishtina (1968):** In contrast to all the events that took place for a standardization of the Albanian language organized in the Linguistic Conference of Prishtina organized by the Albanological Institute and the Department of Language and Literature of the Prishtina Philosophical Faculty, on April 27-28 1968, with 150 participants, all authors, writers, politicians, the renaissance people of this period were from ethnic Albania. The linguistic conference of Prishtina

<sup>1</sup> Sheza Rrokaj, *Cështje të gjuhës shqipe 2*, Tiranë 2009, f. 66

<sup>2</sup> J. Kastrati, *Për historinë e ortografisë shqipe*, Përparimi 1971, nr.7, f. 607.

F. Jakopin, *Kontributi i R. Nahtigalit shkencës së albanologjisë*, Gja VII-1978, 221-228.

V. Fidler, Maksimilian Lambertz, GJA 1965, 2, 331-340. cit. nga Fadil Raka, *Historia e shqipes letrare*, Prishtinë, 2005, f. 192.

was opened by the director of this Institute, Fehmi Agani. This meeting was intended to reach a position for Albanian language in Kosovo and those areas where Albanians lived in the former Yugoslavia. The goal was to designate one of the two existing opportunities that had emerged in the 1967 project, so whether or not to accept the orthography of the Albanian language (1967), which implied the common Albanian inclusion of Kosovo Albanians and other ethnic areas, or to continue the path of the existing literary Albanian of the areas where Albanians lived and to be used to variant of literary Gheg. The 150 participants who participated in the Language Conference in Prishtina '68 decided to choose the first variant that is the most straightforward way of unification of the Albanian literary language.

Linguistic Conference of Prishtina '68, was also of great importance, where the persistence of all Albanians was noted for the standardization of the Albanian language; which was undoubtedly an important step in Kosovo and throughout the Albanian territory. This Language Conference was the route that preceded the preparation of the Albanian Language Orthography Congress in 1972. According to the member of this Linguistic Conference professor Idriz Ajeti emphasizes the importance of this meeting: **"Although at that time we did not see the possibility of the rapid spread of the unified Albanian literary language, the insistence that its issue was brought by the experts and other representatives present in this Conference, their unreserved disposition to use the common Albanian literary language gave us greater hopes than being accepted it would soon expand into the school, in editions and in radio and television programs"**<sup>1</sup>

**Orthography Congress, Standardization of Albanian:** As we described above the historical path of the standard Albanian language, it is noticed that the vast majority of the writings, meetings, congresses were intended to reach a full definition of the standard of Albanian language in the whole Albanian speaking territory. Different principles have been established for an adequate acquisition of written Albanian, ranging from the phonetic principle, the morphological principle and the syntax principle (where the spoken form of the Albanian language was in direct proximity to the spoken language of the people).

The final standardization of the Albanian language throughout the Albanian speaking territory was a historic and actual necessity for national unification. This began in 1972 with the holding of the Orthography Congress held in Tirana, which must be said without doubt that it was the result of the numerous efforts of all the intellectuals and prominent patriots whom we aforementioned. It should be noted that this koine came as a nationwide result, as an imposed language that even Albanians will eventually have a common language and will eventually be a more organic and more united nation than before.

Since the time of the final standardization of '72, over 40 years have passed that we are very strictly observing the protection of standardization, always bearing in mind the political challenges that the people of Kosovo have overcome. We can already say that this language has stood and is continuing to stand up to the challenges of the time.

"The Orthographic Congress is primarily directed at the Albanian school as the core of linguistic formation of younger generations ... to evaluate the acquisition of unified literary and spelling norms approved by Congress as a fundamental duty and to completely implement new orthographic rules, starting from 1973-74 <sup>2</sup>". Hence, it was of particular importance that the linguistic formation to be learnt correctly and systematically, starting with the 8-year-olds of that time in our schools.

In Kosovo, it is well known that a high percentage of school literature was in Slavic (Serb-Croat), and that literature began to be translated in Albanian, where there was considerable violation of the norm, especially in the field of syntax. As we will discuss in the following chapters, we find these violations to this day, but not so much in writing as in speaking in Kosovo. In the Orthographic Congress '72, the normative sanctioned Albanian code was introduced: "Today's structure of the literary language is open and will remain so." Otherwise, the development of the literary language would be discontinued. Hence, "the ultimate crystallization of the norm" is never really final, eternal, static, but constantly evolved and perfected<sup>3</sup>.

In adopting the literary norm according to the 1977 Orthography Congress, Kosovars tried to stay on the standardization to the fullest so that there were no Slavic words and non-original translations and often turned out with different meanings in different school literature. This was also reinforced by the Kosovar education within Kosovo at the University of Prishtina where the Albanian language was studied, without having to be educated in other republics of former Yugoslavia, where it was necessarily influenced by Serbian language. Also, the educational and cultural integration was influenced by the

<sup>1</sup> Idriz Ajeti, *Rruga e zhvillimit të gjuhës letrare në Kosovë*, KDGJSH 1974, f.37

<sup>2</sup> ASH e Shqipërisë, *Drejtshtkrimi i gjuhës shqipe*, Tiranë 1973, f. 25. Cit. nga F. Raka, në "Studime rreth shqipes standarde", Prishtinë, 2007, f. 25.

<sup>3</sup> Gazeta ditore "Koha ditore", *Dymbëdhjetë propozime për pasurimin e standardit të shqipes*, e diel 19 dhjetor 2011.

change of the political situation in Kosovo, the great literature contributions from Albania in the drafting of texts not only in language subject, but also in other subjects where the importance was multifaceted and of great benefits in acquiring the standard.

It is worth mentioning that the development of the Albanian standard language has had an Albanian support, even to the Arbëresh of Italy, bringing dexterity into the further development of the Albanian language itself.

According to Professor Fadil Raka<sup>1</sup>, the process of standardization of the Albanian language is divided into two periods of time: "the first, the years 1972-90 and the second, from 1990 to the present day". We think that a particular stage of development should be treated after the post-war period in Kosovo after 1999. To tackle this issue, one should also observe the role of some of the important non linguistic factors that directly affect the Kosovar variant, taking into account the circumstances, geopolitical contexts, various interlingual contacts, etc. Through verifications in the structure of discourse we have come to some theoretical conclusions about the many sociolinguistic phenomena that have occurred there. We will observe these phenomena in the following chapters as they relate to the development of standard Albanian language in different grammatical aspects.

**The dialect base of standard:** Regarding the graphical representation of standardized Albanian, we can examine from the point of view of dominance of its two main dialects<sup>2</sup>. Thus, as we know, the two main dialects of the Albanian language Gheg in the north and Tosk in the south are roughly separated from the Shkumbin River. Gheg and the Tosk have branched out for at least a millennium, and their less extreme forms are in a mutual way understandable.

It is known that both dialects have their own specific: phonetic, morphological and syntax forms. Looking at the perspective of the development of the dialect base of standard Albanian, we will notice some features that are common, but also have differences between them. We will try to present these differences in the phonetic, morphological, lexical-semantic, and the word that is not considered in Albanian standard Albanian.

From the chronological presentation of the development of standardization of the Albanian language, we noticed that especially during the National Renaissance, but even later, during the years until the end of the 20th century, Albanians had as a means of communication both variants (as in speaking also in writing).

Albanians worked and acted to have a common nationwide language that eventually came to be configured at the 1972 Orthography Congress. In the standard Albanian language structure, are noticed the common language elements that are included in the grammatical system of the standard Albanian, such as:

nouns: mal-i,(mountain) thes-i,(sack) mur-i,(wall)

adjectives: i ri(new,young), i vjetër(old), bukurosh,(handsome)

personal pronouns: unë,(I) ti(you) ai/ajo(he/she), ne(we), ju(you) ata/ato,(they)

Interrogative pronouns: cili,(which) kush,(who)

numerals: dy,(two) tre,(three) pesë,(five)

auxiliary verbs: kam,(have) ke, (have)ka,(has) kemi,(have) keni,(have) kanë,(have)

Adverbs: atje,(there) këtej,(this way) bukur.(pretty) tepër,(extremely) kur,(when) në,(in) sa(how much/many) etj.

Therefore, in terms of both phonetic structure and grammatical form and word formation are the same in both dialect variants and in standard Albanian language.

As it is already known, the Albanian language has 7 vowels and 29 consonants, which are found in both the literary variants of Albanian as well as according to their vernaculars. Unlike the Gheg dialect, which has the nasal vowel system, it is also known that this system is left out of the standard of the Albanian language. Vocal groups, ie, ye, are prevalent in our two dialects, but they have ended as the simplest vowels (i, y), or that are known in particular in one of these dialects.

<sup>1</sup> Fadil Raka, *Studime rreth shqipes standardre*, Prishtinë, 2007, f. 35.

<sup>2</sup> *Ky burim grafik i rolit të dialekteve në standard është marrë nga interneti.*

Among the common features of the two dialects we have the definite and indefinite form of nouns, the system of adjectives, most of the forms of the pronoun system, the modes of verb tenses etc. Likewise, we have cases in the Albanian lexicon, which includes the internationalisms that have entered our lexicon and have become an inseparable part of it especially lately with the respective developments in different fields.

There are differences in the phonetic system, namely the structural composition of the pronounced vowel -ë, which replaces the nasal -â that is characteristic of Gheg and its former variant.

It is also important the process of rotation, such as: emër (name), rërë (sand), bëri (did) etc, which is taken from the variant of Tosk, but we should not forget the language units that are included into the standardization according to the variant of Gheg e.g. ranishte (sand), rini (youth), zanore (vowel) etc.

However, the fact remains that the group of old, significant and relatively compact isoglosses, whose northern limit (rotation and development of \*uo in ue in the [Gheg] or in ua in [Tosk] in syllables that end with a sound) is along the course of the Shkumbin River, and the southern belt of which is extended some ten to twenty kilometers southwards (with the change of \*vo-> va- in the middle position), represent a decisive moment in the history of the Albanian language, unlike other languages which are distinguished by the Albanian language from their contact with Latin.

It is the same case with the vowel diphthong of Gheg ue that is not outside the norm of standard Albanian language, it is found at the type of nouns: mësues,(teacher) punues,(worker) lexues,(reader) botues (publisher) etc. Also, this phenomenon is noticed at the derived adjectives with the productive suffix: - shëm, e.g i lexueshëm,(readable) i punueshëm(acceptable) etc. Moreover, the verbs that are supported by the former variant of Gheg of the first person in the declarative case in the present tense with - j (puno-j, (work) mëso-j,(learn) lexo-j (read)etc), but in the imperfect declarative mood of the present tense have entered in the norm of the Albanian language according to the personal suffixes, such as : -ja, -je, -nte (that is the same with the Gheg suffix), -nim, -nit, -nin(punoja,(I worked) punoje (you worked), punonte (he/she worked), punonim (we worked), punonit (you worked), punonin (they worked) where they are left aside from the former Gheg variant : - jsha, -jshe,-nte, -jshim, -jshit, -jshin, (punojsha, punojshje, punonte, punojshim, punojshit, punojshin), it is left aside of standard -nja, -nje, -nte, -njim, -njit, - njin (punonja, punonje, punonte, punjonim, punonjit, punonjin).

Another important phenomenon is the infinitive of Gheg, which is formed by prepositional particle and participle Gheg me shkue (to go), which is removed from the standard Albanian language, however is inserted in the standard according to the type of subjunctive mood with the participle: për të lexuar (to read), për të punuar (to work) etc.

Regarding the infinitive, which is the earliest mood of Albanian language history, so the infinitive “me” (“to”) the sigmatic imperfect. The main phonological features are simultaneously emblematic, but also datable. The fact that the division between the two dialects dates after the contact with Latin, is clear since Latin borrowings undergo the corresponding developments in these two dialects, for example, > *vorfën/varfër*, (*h)arënus* > *ranë/rërë*. Also, it is certain that these changes occurred before medieval migrations of Arvanites and Arbëresh, which are obviously Tosk. However, between the *terminus ad quem* e *terminus a quo*, it is extended a period of seven or eight centuries during which another important event occurred in the history of the Albanian language: Slavic invasions.

The case of the participle of the standard Albanian language is included in the norm according to the support of the former Tosk variant:lexuar(read), punuar (worked), kënduar (sang) etc.

Regarding the separation between Gheg and Tosk, there are three main thoughts about the chronology of the division of these two dialects:

1. has been conducted prior to the contact with Slavic languages;<sup>1</sup>
  2. started before, but continued during contacts with Slavic languages;<sup>2</sup>
- and
3. started after contact with Slavic languages.<sup>3</sup>

<sup>1</sup> Jorgji Gjinarî. *Dialektet e gjuhës shqipe*, Tiranë 1989, Akademia e Shkencave a RPS të Shqipërisë,

<sup>2</sup> Eric Hamp, *Albanian. The Encyclopedia of Language and Linguistics*, P. 1994. R.E. Asher (ed.), f. 65-67. Oxford: Pergamon Press.

<sup>3</sup> Janson Bernd, *Etymologische und chronologische Untersuchungen zu den Bedingungen des Rhotacismus im Albanischen*. Frankfurt am Main: Pater Lang, 1986.

In order to establish the dialect base of the standard Albanian language, the first work that was done was the norm of completely similar phenomena in both dialect variants, thus matching the entirety of the linguistic system. Although most think that the dialect of Tosk is the standard dialect of the standard Albanian language, this can be noticed even according to the percentage of Albanian speakers and the acquisition of standard language.

However, Gheg speakers have some language difficulties in speech, which we will also see in response to the respondents and those who are recorded. Therefore, many scientific meetings, symposiums, conferences and scientific congresses, is being seen again the possibility of flexibility that the standard language should have, extending to the different linguistic inclusiveness, which lie within the grammatical systems in phonetic, morphological, syntax, lexical, and word-formation field.

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## Comparative Review of Tax Systems in the Republic of Albania and Great Britain

Henris Balliu LL.M (PhD Cand)

Lector at the Faculty of Law, University of Tirana, Albania

### Abstract

The taxation system is most certainly one of the main pillars of economic development towards sustainable growth. The aim of this paper is to critically assess the importance of an effective Tax System, its impact on the Albanian economy. Furthermore we shall outline a comparison of the Albanian Tax system to that of the United Kingdom. At this time a number of very important reforms are being undertaken by the government of Albania in light of future integration towards the European Union. The overview on the United Kingdom has the aim to enlighten the path on what should be our focus while building a Tax System that can help economic growth, to that effect Great Britain as a country of a stable and strong economy can be of example. Many differences can be noticed between the United Kingdom tax system and the Albanian one. This fact is simple to be accepted as Britain is one of the world superpowers, while the Albanian economy is a developing one. The tax systems in these two countries, the development history, application of VAT or Income Tax have had very different processes. The United Kingdom has one of the most voluminous Tax Acts in the world. The international company of legal research "LexisNexis" discovered that the Acts of Parliament on Taxation in the United Kingdom have more than doubled since 1997. The annual amendments to taxation are part of the Finance Act which has the power to change norms and principles of taxation as previously defined. Taxation in the United Kingdom usually includes payments for central government agencies called Her Majesty's Revenues and Incomes and local councils. Local Councils collect a tax called business norms from businesses. The Albanian Taxation System consists of a packet of laws, regulations, guidance and tax agreements, on the procedure of application, measure, amendment and removal of taxes. Taxes are the main source of income in the state budget and the local government budget and the foundation of the whole Albanian tax system. In conclusion, we shall analyze the impact of the frequent changes to Taxation Law within the Albanian system and the challenges faced in light of this changes in terms of implementation and application.

**Keywords:** Tax system, economy, growth, development

### Introduction

#### Foundations of Tax Systems

Everything United Kingdom or Albania represents nowadays comes as a result of history. As far as history of tax system in United Kingdom is concerned, we see that it is a system dating back to its origin far earlier than the Albanian system.

The Tax revenue was initially implemented in Great Britain by William Pitt the Younger in his December 1798 budget in order to pay weaponry and equipments in preparation for Napoleonic wars. On the other hand, the tax revenue until the end of 1928, in our country has failed to apply as a tax denominated as tax on revenues. A similar kind of taxation can be considered the progressive tax, established since 1922 based upon the law on roads dated 26-11-1921, a tax that continued to be collected until the entry into force of the revenue tax. Despite the revenues increased during this period, the tax increase policy and especially the monopoly on several kind of important items aggravated the fiscal burden on the

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London@office.co

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population. The inheritance tax upon special law has been established with the law dated 26-03 -1929, which was collected previously in a different fashion through mortgage tax.

Thus, while Great Britain laid the foundations of a genuine tax system our country at a time distance of roughly 130 years began to operate with similar policies, which could not be denominated "tax system" based on what we implement nowadays.

It is worth mentioning that the revenue tax in Britain was updated by Sir Robert Peel in the Revenue Tax Act in 1842. He requested only the taxation of those people with revenues above £ 150, a period where the Albanian government had not yet won independence. This explains that history has been the cause for time distance and difference between the two tax systems and their development. During that period, under the Ottoman invasion a reform was established. The first centralized reform was announced on November 3, 1839 and continued until 1855. The Ferman (reform) was denominated as the honorable reform of Gjylhane.

In view of the measures to be envisioned there existed also the tax collection. The aim of their collection stood at the increase of fiscal revenues, confrontation of huge expenditures that requested the keeping of state and military apparatus, payment of interest on international loans. We notice that while Britain updated the tax revenue reform, Albanian under Ottoman invasion imposed the first centralized reform.

### **Development During 1914-1918**

During World War One (1914-1918) the treasury rejected proposals on a severe capital tax that the Labour Party wanted to use in order to debilitate capitalists. Instead, there was a profit tax of 50% of profits above the normal rate of the pre-war period and the norm was increased to 80 percent in 1917. The main increase of revenues came from revenue tax, which in 1915 amounted to 17.5%, and individual exemptions were reduced. The revenue tax norm was increased to 25% in 1916 and 30% in 1918. In total, the taxes provided at most 30% of national expenditures, whereas the remaining part came from loaning. The inflation was escalated to such extent that in 1919 it would be able to buy one third of the fiscal basket that was bought in 1914. The salaries remained low and especially the poor class and retirees were seriously dealt a blow.

The year 1912 marked the independence of Albania. The new state after the proclamation of country independence inherited a backward tax system especially from World War One. Despite all efforts to improve and change the tax system, it failed to reform the previous system of the Ottoman Empire due to non-transformation of economy and non-possession of a strong administration. Several measures were taken in the tax field, easing <sup>1</sup> the peasantry from their heavy burden. In this regard, it was removed the overtaxation that dealt with one tenth and the addition of the war tax, which was imposed on the tax on salt as an effort to reduce the burden of direct taxes that were the main budget revenues. During this period, particular importance was paid to collection of revenue tax in the coffer of the new Albanian state, putting an end to their transfer and robbery by the Ottoman government.

The main basis of new Albanian state revenues was the direct taxes. These taxes were inherited by the previous system and affected directly the product or the revenues of producers at the moment of their production and creation.

While Britain was in continuous efforts to improve economic reforms and tax system, Albania had just won independence, therefore it was a newly established country, which duty was initially to separate from Ottoman economy.

### **Development During Modern Period**

The revenue tax in Britain has changed in the course of the years. It initially taxed the revenues of a person, regardless of wose was the right for these revenues, but now a person is subjected to revenue tax for which he/she has the right to benefit.

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The overwhelming part of companies has been taken from net revenue tax in 1965 when corporate tax was introduced. These changes were consolidated by the Revenue Act and Corporations in 1970. In 1974, up to 750,000 people were forced to pay the highest revenue tax.

Margaret Thatcher who favored indirect taxes reduced the personal revenue tax norm in 1980. In the first budget after her election victory in 1979, the high norm was reduced from 83% to 60% and the basic norm from 33% to 30%.

The succeeding governments further reduced the basic norm to the current rate 20% in 2007. Thus, we see the introduction of modern rules of the tax system in United Kingdom. The biggest source of revenues for the government of United Kingdom is personal income tax. The second biggest source is national social insurance contributions, the third is the value added tax (VAT) and the biggest fourth is the corporate tax.

In our country from 1977-1990, the role of tax system was the undo of private property. The tax policy of Albanian government was based on principles of socialist classics on taxes and imposts. According to this concept, the tax power was initially used as a political and economical instrument to implement very high progressive taxes on rich people (up to 80%) aiming at their economic debilitation.

The Albanian Parliament approved in January 1992 a legal tax package that laid the necessary legal foundation in the field of taxes and imposts. It created a new indispensable fiscal instrument that provided opportunities on public receipts and the stoppage of crisis the country was living through. The tax legislation that began to be implemented in 1992 can be considered as the connerstone of the modern tax system. Recently, until 2012 the fiscal policy on collection of budget revenues has been based on levels of administration as to central level with two main agencies that are; the central tax administration and customs administration and the local level with the establishment of local tax administrations.

At the time when Britain worked on reduction of personal tax to the mutual benefit of people and government, Albanian under the communist influence remains once more backward, where the main goal of this government was to harm the rich people in order to undo the classes. Thus, the real legal basis on the tax system in Albania can be considered in 1992.

Nowadays, the biggest source of revenues in Britain are the tax on personal incomes, national social insurance contributions, the value added tax and corporate tax, whereas in Albania unlike Britain, the main role is played by central taxes and customs.

### **Comparison of Value Added Tax**

VAT, an indirect taxation that determines value added tax as a general tax on consumption of goods and services proportional to their prices and imposed at any stage of production and the process of price distribution without impost. VAT is implemented as a percentage tax on prices of goods and services. VAT in United Kingdom is regulated by Added Value Tax Act 1994 and other acts such as Finance Act, which imposes annual VAT norms. There are three VAT norms: standard norm (20%), reduced norm (5%) and zero norm (0%). Apart from that, several goods and services are exempted from VAT or outside VAT system.

In 1995 in Albania it was imposed the Value Added Tax that was announced upon decree No.1096, dated 12.05.1995, replacing in this way the tax on circulation. On October 1, 1997, after the crisis triggered by pyramid schemes and indispensable legal amendments, there began to be implemented the standard tax rate 20% from 12.5% that was previously. The main purpose was to curb economic decline and increase the revenues in order to pull the country out of economic and financial crisis. As we notice, VAT application in Albania has had a very serious purpose, given that pyramid schemes caused a huge damage to Albanian people. The dating of establishment of acts that regulate their application pertains to the very year even though with respective amendments in its norms.

The compulsory registration threshold on businesses in United Kingdom is £ 83,000 of revenues exempted from VAT for the fiscal year. The registration threshold on distance sale in Great Britain is £ 70,000. Businesses may wish to register on voluntary basis in order to request VAT on purchases made prior to the expiration of VAT registration threshold. There is a time limit on reimbursement of VAT that has been paid prior to registration. The time limit is 4 years on goods and 6 months on services purchased prior to VAT registration date. The reimbursements of VAT are submitted every three months, those periods are denominated "VAT accounting period ". This three month VAT reimbursements must be submitted only through internet. Businesses can choose VAT accounting period when they register for VAT with HM Revenue & Customs. It is possible to file VAT in internet even though it is safer to allow qualified accountants to do that.

In January 1998 in Albania, the registration threshold was increased from ALL 2 million to ALL 5 million. In January 1, 2001, the registration threshold was increased from ALL 5 million to ALL 8 million. In January 2010, the registration threshold was reduced from ALL 8 million to ALL 5 million. The taxable person requires reimbursement of surplus of VAT tax crediting if the taxable person has carried deductible VAT surplus for 3 months in a row. The requested VAT to be reimbursed is above ALL 400 000 lekë. Reimbursement is carried out when exporters have the right to request it, if their surplus exceeds ALL 400 000 lekë, thus, needing not to request the first condition. Within 60 days from the filing of the taxpayer's request and within 30 days from the filing of exporting taxpayers' request, the regional tax office verifies the tax situation. The payment of reimbursable crediting surplus takes place within 5 days from approval through the treasury system.

It is clear that the registration threshold figures are different and apart from that the Albanian figures have suffered a visible fluctuation in years. Britain on the other hand practices voluntary registration and distance sale. Likewise we have also the time limit on VAT restitution, reimbursement. Despite both of them have various applications, they merge at the point where they help the person in the role of the taxpayer to benefit something in his favour from the sale and purchase process. Despite the Value Added Tax is a broad sector within the tax system field, from the analysis of some of its elements it appears clearly that both countries applies different applications. Nevertheless, VAT purpose is to increase country revenues in order to create a solid state economy.<sup>1</sup>

### Comparison of Personal Income Tax

The personal income tax is a compulsory fee that is collected based on personal incomes of every person.

The personal income tax in United Kingdom is regulated by Tax Act<sup>2</sup> in Incomes and other acts. The personal income tax rate that a person must pay depends on how much of their benefited incomes exceeds their personal allowance in the fiscal year. The current tax year goes from April 6, 2016 until April 5, 2017. The personal payments of most people are £11,000 per tax year. This is the no-tax payment for all inhabitants of Great Britain. Personal assistance goes down from £ 1 for every £ 2 that benefited incomes exceed £ 100,000. It means that personal compensation is zero if the benefited incomes are £ 120,000 or above.

For incomes benefited from £ 0 to £ 32,000 on personal compensation, that is £11,000 until £43,000 of benefited gross incomes, the basic tax rate on incomes is 20%. The highest rate 40% can be applied when benefited incomes are £32,001 until £150,000 over personal payment. There is an additional norm 45% on gross incomes exceeding £150,000. There are various tax norms on incomes from dividends and savings.

As to foreign entrepreneurs it is worth mentioning that independent tradesmen, partners in business partnership and directors of companies must be registered for tax reimbursements of self-assessment. After their registration, they will receive a letter in April or May by HM Revenue and Customs explaining them to file a tax restitution until January 31. The submission of tax restitution of self-assessment is necessary even if there are no taxes to be paid. For the tax restitution in paper, the time limit is the last day of October and for tax restitution online is the last day of January. The final payment of each certain tax is the last day of January. In our country, the personal income tax is regulated by Law No.8438, DATED 28.12.1998 ON INCOME TAX. Individuals residing in Albania are subjected to personal income tax during the tax period for all income sources. Non-resident individuals are subjected to personal income tax during tax period for income sources realized in the territory of the Republic of Albania.

Procedures of personal income tax are stipulated upon instruction of Minister of Finance that pays to the employee a salary or bonus, retains the personal income tax and deposits the retained personal income tax to tax bodies, no later than 20th day of the succeeding month when payment was made. Salary 0 - 30,000 tax 0, salary 30,001-130,000 tax 13% of the amount above ALL 30,000 lek, Salary 130,001 tax 13,000 lek + 23% of the amount above ALL 130,000 lek. Every employer deposits the retained tax to the tax bodies no later than the 20th day of the succeeding month when payment was made. The tax period starts on January 1 and ends on December 31 of each calendar year.

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<sup>1</sup>Office making business simple  
London@office.co

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<sup>2</sup>Office making business simple

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In both systems<sup>1</sup> we see a regular tax collection defined with respective dates and time limits for deposit. We notice that the class with minimum salary in Albania is not liable to pay revenue tax while Great Britain has imposed a respective price even for that category of salary. Given that the revenues are higher, and those given as minimum salary cover an important part of monthly expenditures.

Based on this factor we see that the tax percentage is dependant and as a result, Britain taxes with higher percentage.

### Conclusions

The tax system is a broad field with huge study opportunities in all sectors it involves. Comparing accordingly the history of the course of creation and functioning of British and Albanian tax system, the application fashion of **Value Added Tax (VAT)** and **Tax on Personal Incomes** as well as their functioning, we come to the conclusion that both systems differ largely from each-other.

The establishment time comes to the assistance of their comparison. The analysis of factors leading to the establishment of tax systems and their development shows that the basis of differences between them is attributed to history. Time, place and influence of various external factors brought about a non-similar creation in tax systems. While Great Britain laid the foundations of a genuine tax system, our country at a time distance of roughly 130 years began to operate with similar policies that could not be denominated "tax system" based on what we have today in implementation.

While Britain was in ongoing efforts to improve economic reforms and tax system, Albania had just won independence, therefore it was a newly established country which duty was initially to separate from Ottoman economy.

Based on substantial original discrepancies, the two above mentioned sectors got developed (**Value Added Tax (TVSH) dhe Tatimi mbi të Ardhurat Personale**). Given that the entire tax system is based on the economy of the country and that British economy is far more advanced, cultivated and organized than Albanian economy, then the collection of taxes and imposts will be higher where even receipts, expenditures and revenues will be higher.

It would be wise for our country to follow up in a similar fashion the policies used by Great Britain for future and efficient development of the entire tax system package. Apart from increase of standards, I believe we shall encounter a marked economic growth. It cannot be an easy way of change, given that it is a many-year long path with continuous improvements observed by British personalities who had an impact on the establishment of current nowadays tax system, but the approach effort to their organizational fashion would bring about positive consequences.

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## Moving on the Chain: Push-Pull Factors Affecting the Migration of Laotian Workers to Udon Thani, Thailand

**Dr. Thanapauge Chamaratana**

Assistant Professor, Development of Social Sciences,  
Faculty of Humanities and Social Sciences, Khon Kaen University, Thailand

**Thawatchai Sangseema**

MA. Student Social Development Program,  
Faculty of Humanities and Social Sciences, Khon Kaen University, Thailand

### Abstract

The tendency of migration of Lao workers to Thailand is likely to increase especially migration pattern is social network. The objective of this research was to study factors effecting the migration through social network of Lao workers in Udon Thani. Qualitative research method was applied in the study. Unit of analysis was group level. In-depth interview guideline was applied to collect data from 15 Laotian workers. The research site was Udon Thani, Thailand. Participatory observation and non-participatory observation were use for additional data collection. The ATLAS.ti programme was applied to categorize data, and data analysis was based on the content analysis method. The research results showed that the crucial push factors which contributed migration among Laotian workers included Udon Thani Unemployment in residency, and low revenue in residency and important pull factors include higher compensation, worker demand of establishments in Udon Thani province, Laotian employers' values in Udon Thani, and social network of Laotian workers in destination.

**Keywords:** Social Network, Migration, Push factors, Pull factors, Laotian workers

### Introduction

Labour migration is a global phenomenon which has been observed over the world. Tendency of labour migration has been increasing due to the development of socio-economics and advancement of technology (IMU, 2008). In Southeast Asia, labour migration occurs due to a different rate of economic development in ASEAN countries. Burma is the country where send the most workers to destination countries, followed by Indonesia, Laos, Malaysia, Thailand, the Philippines, and Vietnam respectively. Here, Brunei, Singapore, Malaysia, and Thailand are counted as the destination country. It is to say that labour migration in Southeast Asian Region is an output of economic development of ASEAN countries (Chamaratana, 2016)

Thailand has been considered as origin country and destination country (Chamaratana et al, 2554), since economic change of Thailand in past decades boosted economic growth in Thailand. A huge number of development project has been settled up in Thailand especially development project on infrastructure facilities and industrial sector. Those conditions has caused the flow of labour migration in Thailand. In addition, Thailand currently is becoming the aging society, and it resulted in a decrease of working-aged people. In addition, the working-aged people seems not to work as workers due to higher education they received. This circumstance tends to be contrast with current country's economic which is growing and need more unskilled workers to serve industry (Kulkolkam, 2010).

Udon Thani is a city located in northeastern region of Thailand. Udon Thani nowadays is growing rapidly due to the growth of economics. According to statistics of Udon Thani Economics (2013), the provincial economic revenue of Udon Thani is 8.5 billion Baht (257.5 million USD), GDP is 52,000 Baht/year (1,575.76 USD/year), total loan is 6.3 billion Baht (190.9 million USD), and total deposit of 4.9 billion Baht (148.5 million USD). Economic growth rate is increasing 5 % comparing to year 2008, and 100% comparing to year 2003 (The Udon Thani Provincial Office of The Comptroller General, 2013). A massive economic growth rate offers a huge number of employment slot in Udon Thani However, it appears that number of unskilled workers in Udon Thani is insufficient due to the fact that many Thai workers have their own lands so that they

prefer doing agriculture in their own lands to working in some unskilled jobs. These are reasons why Udon Thani needs migrant workers to serve economic sector. (Thongyou and Ayuwat, 2005)

Udon Thani located 70 Kilometers away from Vientiane capital of Lao PDR, and there are international bus that serve passengers travelling from Udon Thani to Vientiane capital. Moreover, people from those two cities have shared same culture. They have similar language and traditions. These conditions encourage a number of Lao worker moving to work in Udon Thani through their social networks, which are labour broker network and their relatives (Chamaratana, 2010). Migration through social network is necessary for Laotian migrants in order to ensure security during they are working abroad such as jobs, housing, and etc. Moreover, social network reduces risk on migration, such as human trafficking, exploitation by employers, etc. (Chamaratana et al, 2011).

As mentioned earlier, research question has been set up to explore what are factors encouraging migration through social network of Laotian migrant workers in Udon Thani. Findings of the study are advantage to governmental organizations and private organizations that are working on migrant workers to cope with an increasing of migration circumstance practically. That let us to research objective as to investigate factors encouraging migration through social network of Lao labour in Udon Thani, Thailand.

### Conceptual Framework Development

This paper investigated factors encouraging migration through social network of Laotian migrant workers in Udon Thani. The study applied academic concepts including **1) Migration**, which explores meaning of migration and factors influencing on migration, and **2) Social Network**, which describes meaning of social network as following details.

**Migration**; a concept of migration refers to the movement from one place to another place. International migration means the movement of people across state or country's boundary. Purposes of the movement are to settle permanently at destination areas, or look for jobs. In addition, migration can be made legally and illegally (Applyard, 1992).

Everett S. Lee (1996) describes factors that influenced on migration. Migration consists of four elements including 1) push factor; which is factor that forces migrants to move out of origin area, 2) pull factor; is factor that encourages migrants moving to destination area. 3) Intervening of sets of obstacles, which is the condition, such as law, that obstructs migrants to move to another places, and 4) personal factor that causes decision of migration. Personal factors appears differently among migrants.

This paper aims to investigate push factors and pull factors, which are important factors of the migration, and it is essential to explain migration circumstance of Laotian migrant workers in Thailand.

**Social Network**; is an interrelationship among individuals, groups, or organizations, who share same goals, rules, and resources together. Functions of social network also coordinate and create interrelationships to each other through mindset of individuals and activities that individuals do together. In addition, interaction of social networks relate to roles of individuals within the network (Niratrom, 2000; Niyomna et al, 2009; Chamaratana, 2011).

Moreover, social network can be considered as another type of collaboration among people within the network, and it is useful to analyze behavior of people. Social network is a social phenomenon that expresses social relations among individuals (Ponpanatham et al, 2010; Chamaratana, 2011).

Therefore, the definition of social network is applied to the study to explain factors encouraging migration through social network of Laotian migrant workers in Udon Thani as a figure below (see figure 1).

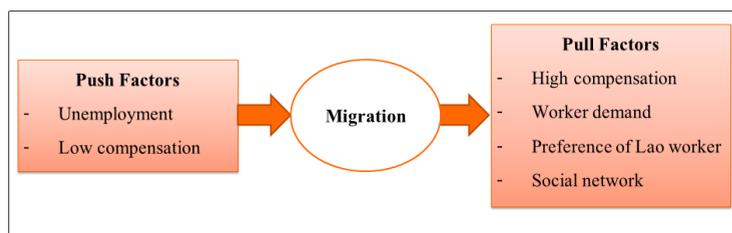


Figure 1 Conceptual framework

## Research Methodology

This paper applied qualitative methodological approach to the study, and unit of analysis was group level. Key informants consisted of fifteen Laotian migrant workers who immigrated to Udon Thani, Thailand, legally and illegally through their social networks. Criteria of key informants including 1) key informants must be Laotian migrant workers, 2) they must work in Udon Thani. 3) They used social network as a mechanism to assist moving to Udon Thani, 4) key informants were experienced in recruiting other Laotian migrant workers to work in Udon Thani, and 5) they all are in the same social network. In-depth interview, participatory observation, and non-participatory observation were used as research tool. For in-depth interview, we use interview guideline which content validity approved by two experts.

Data collection started with contacting employers in Udon Thani. We introduced ourself to employers, and explained research objective to employers. Thus, researcher asked for permission to employers to collect research data from Laotian migrant workers. Once researcher and Laotian migrant workers met each other, researcher made appointment with Laotian migrant workers to interview on later date.

Data analysis was made briefly during the interview, and it would be analyzed carefully based on conceptual framework of the study after the interview. Data, thus, was categorized and analyzed by the ATLAS.ti platform. In addition, analytical description was used to present research findings.

## Findings

This paper presented empirical findings in three topics including 1) characteristics of Laotian migrant workers in Udon Thani, 2) push factors of Laotian migrant workers in Udon Thani, and 3) pull factors of Laotian migrant workers in Udon Thani.

### Characteristics of Laotian migrant workers in Udon Thani

Most Laotian migrant workers who worked in Udon Thani is female worker. Interviewed Laotian migrant workers consisted of nine female workers and six male workers, who aged between 18 to 30 years old. Most of them did not graduate junior high school because they were poor and their families could not support education expense for them. Laotian migrant workers experienced in migration 2-5 times averagely. Agriculture, self-employed job, and industrial jobs were prior occupations before they moved to work in Udon Thani. Since they were in Udon Thani, five of them worked at noodle restaurant, five of them worked at livestock farms, and another five worked at Som Tam (Papaya Salad – the favorite local food) restaurant. In addition, it was found that most of Laotian migrant workers came from the same community.

### Push factors of Laotian migrant workers in Udon Thani

#### 2.1 Unemployment in Lao PDR

Laotian migrant workers who migrated through social networks to work in Udon Thani, most of them did not work on a regular basis. Their works mostly based on agricultural tasks, which operated on seasonal basis such as in wet season (eg. rice cultivation), or harvesting in winter season. However, in off-season, they were unemployed, so it resulted in financial insecurity of the families. They did not have sufficient income to support all family members, while the cost of living in Laos is high.

To solve this problem, Laotian migrant workers tried to look for jobs near their own communities. Some of them got a short-contracted job, while some of them were getting a job in factories, where located nearby Vientiane capital. Although they got higher income from those jobs, they had to pay other expenses such as travelling, meals, accommodation, etc. Therefore, they did not have much money for savings. They had only money to spend in each day.

When their social networks encouraged them to work in Udon Thani, Thailand. Those who interested in would ask about job details, income, and lifestyle in Udon Thani as Mr.Tong said for example;

“Once I finished rice cultivation, I stayed at home and had nothing to do. My friends who have worked at Udon Thani came to my house. He convinced me to work together at Udon Thani. I firstly consulted with my parents, and they were okay if I agreed to work. Therefore, I decided going with my friend because I trusted him. My friend and I knew each other very well for a long time. I then went to governmental bureau to get the passport” (interviewed on September 18, 2017)

Unemployment in Lao PDR is one of major factors contributing the migration, and the social network that they had at Udon Thani functioned the migration as a supporter in which encouraged Laotian migrant workers to work at Udon Thani easier.

In this case, social network was presented as his friends who encouraged Lao worker with information about income they would get in Udon Thani.

## **2.2 Low income in Lao PDR**

Low income is a crucial issue that directly affected livelihoods of Lao families. Background of Lao families mostly based on agricultural activity. They were poor and lived in rural area. Financial issue was a primary issue that caused education problem of young family members. When families could not have sufficient income, their family members could not attend higher education. Many of Lao children have to leave school to work for families.

The study found that when migrant workers stayed at their homes, they did not have regular income. They did agricultural tasks which provided low income to families. Moreover, they also faced with a circumstance of low production price and natural disaster such as drought and flood. Some years they only had agriculture products to consume within the household, the evidence example as Ms. Dee mentioned.

“Once I stayed at home, I did rice farming. I had sufficient rice for livings. However, some years my rice field was flooded, and I did not have rice to eat. Sometime I had to ask my relative for rice. I also grew vegetables, but it provided small amount of income. I got few money in each month” (interviewed September 18, 2017)

Due to those reasons, families of Laotian migrant worker were not able to generate sufficient incomes. This became a reason that pushed them to work outside community in order to support families. Some went to work in the factory, while some worked at restaurants in Vientiane capital.

In conclusion, low income and poverty among Lao families is a crucial factor that influenced on migration. Laotian migrant workers had to work outside their hometown to support their families. When they accumulated sufficient income, some of them would return their home. They would change occupation to improve the quality of life of the families.

## **Pull factors of Laotian migrant workers in Udon Thani**

### **3.1 Higher income**

Income is the first factor that Laotian migrant workers concern when they migrated to work in Udon Thani, since they needed more incomes to support family expenses at origin area, for instance, living expenses, education expense, etc. the evidence example as Mr. D mentioned.

“Firstly I heard that working in Udon Thani was a well-paid option. You easily got at least THB 9,000 each month, or you could get THB 300 daily. It is hard to find such a well-paid job in Laos. It is impossible for those who did not graduate school to get a good job” (interviewed September 18, 2017)

Laotian migrant workers decided working in Thailand because of higher wage, and they did not pay too much for living expenses because they had relatives or colleagues, who previously worked in Thailand, took care of them during they are working in Thailand. It resulted in Laotian migrant workers had much remittance to send to their households, the evidence example as MS.A said.

“It is reasonable for migrants to get THB 9,000. Moreover, you can stay with employers. Employers normally provide accommodation to Laotian migrant workers. You can save money as much as you could. If you work in Laos, you get THB 5,000, and you had to pay for accommodation. It is difficult to save money” (interviewed September 18, 2017)

According to statement above, Laotian migrant workers compared wage between Laos and Thailand. They concluded that working in Thailand could be better than working in Laos. Many of them, thus, decided migrating to Thailand. Income they got in Udon Thani was between THB 8,000-12,000. Most of Laotian migrant workers worked at restaurants and livestock farms. Employers would offer free accommodation and meals. Laotian migrant workers spent some money for personal expenses, and a large portion of the wage would be sent to their families in Laos. Comparing to the factory job in Laos, workers would get monthly THB 3,000-4,000. It was impossible to save money, since they had to pay for accommodation, meals, and travelling cost.

### **3.2 Worker demand in Udon Thani**

Udon Thani currently has been facing with labour shortage especially unskilled worker. Many unskilled workers were working in agricultural sector, but there were a huge number of job available in service sector. Therefore, it was an opportunity for Laotian migrant workers to find job in Udon Thani. Working in Udon Thani was not difficult for Laotian migrant

workers, since people in those two countries shared similar culture such as language, tradition, etc. Moreover, Udon Thani located not far from Thai-Lao border, and there were convenient transportation system to serve people from two countries, such as international bus or train.

Due to those reasons, it caused number of Laotian migrant workers living in Udon Thani was higher than migrant workers from other GMS countries. Moreover, employment demand in agricultural sector, service sector, and industrial sector are still high, and it resulted in vary jobs available for Laotian migrant workers, the evidence example as Ms.Koy mentioned.

“Previously the shop I worked for was small. There were only two workers. Later, the business was growing. The owner decided expanding the shop, and he needed more workers. I then took my brother from Laos to work together” (interviewed November 29, 2017)

Economic growth in Udon Thani caused more job positions, but domestic workers could not support employment demand. Therefore, Laotian migrant workers were option for employers especially on the jobs that Thai workers considered as dirty job, hard job, and low-paid job.

### **3.3 Employment trends on Lao worker among employers in Udon Thani**

Thai employers preferred Laotian migrant workers to Thai workers because Laotian migrant workers would be diligent, and the wage was lower than Thai worker's wage. Almost Laotian migrant workers had only one purpose in Thailand. They wanted to make money as much as they could. When they had enough money, they would back home and started small business. Therefore, Laotian migrant workers would work very hard to make money. This was different from Thai workers. Thai workers had more chances to choose jobs. They might change jobs immediately once they found new opportunity. This was why labour shortage became a major issue in Udon Thani, the evidence example as Ms.C said.

“My boss said she don't want to hire Thai workers because Thai workers always come to work late, and they have many requirement of working. They can't work hard. It's different from Laotian migrant workers.” (interviewed September 18, 2017)

Moreover, some Thai employers preferred hiring Laotian migrant workers due to low wage paid. Wage of Laotian migrant workers was lower than Thai worker's wage. Employers would like to recall Laotian migrant workers, who were in their labour network, to work with them again once labour shortage arose as Ms. A said.

“At that time the shop needed more workers. My employer asked me to work at his shop again because I was ex-employee at his shop. We had a contact each other such as Facebook, or Line. I had nothing to do in Laos, so I said okay. Another reason is; my boss contacts me directly. He said he really wanted me to work for him. I appreciated him” (interviewed September 18, 2017)

According to information above, it is concluded that Thai employers in Udon Thani, who had ever hired Laotian migrant workers, preferred Laotian migrant workers to Thai workers. Moreover, there was an encouragement of migration among Laotian migrant workers. Laotian migrant workers would be rewarded by Thai employers once they recruited Laotian migrant workers to work for Thai employers during labour shortage circumstance.

### **3.4 Social network of Laotian migrant workers in Udon Thani**

Social network is another factor that influenced on migration. Laotian migrant workers used advantage from their own social network to help working in Udon Thani. Social network performed through kin relationship. Laotian migrant workers normally convinced their relative to work in Udon Thani, and they would prepare travelling details for the new comers, the evidence example as Ms.A reported.

“I allowed him to prepare my travelling. When he had completed everything, he and I made appointment to go to Udon Thani. I asked him to pick me up at my house because I never go to Udon Thani. He came to my house, and crossed the border. I worked immediately when I arrived Udon Thani. He would introduce me to others, and advise me to work” (interviewed September 18, 2017)

Social network is a mechanism to ensure that migration to work in Udon Thani would be smoothly. Laotian migrant workers decided moving to work because they trusted persons who were in social network, mostly were their relatives. Moreover, Laotian migrant workers would be safe if they came to work with their relatives. They would be safe from human trafficking or exploitation.

Social network is another pull factor which influenced on migration. Social network would have major impact on migrant workers, since most of social networks of Laotian migrant workers were relative each other, such as siblings, or close friends. This was a reason why Laotian migrant workers had confidence in migration, and they made a decision to migrate easily.

In conclusion, both push factors and pull factors are influenced on migration of Laotian migrant workers. Push factors consist of unemployment in Lao PDR, and low income in Lao PDR. While pull factors consist of higher income in Udon Thani, worker demand in Udon Thani, and employment trends among Thai employers. Thai employers prefer Laotian migrant workers to Thai workers because Laotian migrant workers are diligent, and they share similar culture such as language. In addition, the wage paid to Laotian migrant workers is lower than Thai worker's wage, and social network is a mechanism to ensure safety during they are working in Udon Thani.

### **Conclusion and Recommendation**

Push factors that influenced on migration of Lao worker consist of two causes including 1) unemployment in Lao PDR, and 2) low income in Lao PDR. This result is supported by Suwicha (2008), Laosai (2012), and Wannahong (2016) who suggested that push factors of migration in Laos are poverty and high unemployment rate in Laos. Those migrants are considered as surplus labour who are not able to find jobs in Laos. While pull factors consist of conditions including 1) higher income in Udon Thani, 2) worker demand in Udon Thani, 3) employment trends among Thai employers, and 4) social network of Laotian migrant workers in Udon Thani. These conditions are supported by Suwicha (2008), and JungJing (2016) who suggested that high employment wage in Thailand is a priority that convinces Laotian migrant workers come to work in Thailand, while employment availability and social network are important as well. Wannahong (2016) also suggested that decision of migrating to Thailand has been made easily when Laotian migrant workers have their networks at destination country. Friend, neighbors, or relatives who have moved to Thailand earlier would facilitate the new comers, and encourage them to live in Thailand smoothly.

The research result show that effect from social network contribute to the decision to migrate more. So that, Department of employment ministry of labour, Thailand deserving has measures receive migration from social network. When it was discovered that Laotian migrant workers has migration with relatives who used tourist passports to doubt beforehand that is migrating to work. And signing a letter of intent to work and then came the registration of labor later.

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## What Has in Common the Relationships of the Adolescents with the Authoritative Parents and Their Close Friend?

Ingrit Luani

University of Tirana (Albania) / PhD

### Abstract

The aim of this study: is to evaluate only the characteristics in common between the relationship of the adolescents with their authoritative parents and their relationship with the closed friend. Methodology: This study is a mix one, because it is both quantitative and qualitative. It's conducted at first with 25 pupils the questionnaire "What's your parenting style" (Active Parenting Publishers). The questionnaire is divided into two parts with 15 statements each. Part I is designed to help the identifying of the beliefs about parenting. Part II is focused on the current home situation. For each statement there is a scale of agreement 1 to 5: 1 - strongly disagree; 2 - disagree; 3 - neutral; 4 - agree; 5 - strongly agree. The highest combined score suggests the style of parenting that the adolescent's parents are currently using. Then with only 15 of them that result to have an authoritative parenting style it's conducted the interview "How authoritative parenting style influences the social relationship with the closed friend?" that contains 7 opened questions. This study has been realized in the public middle school "Jordan Misja" of Shkodra (Albania), in april 2018. Conclusions: From the conducted interviews resulted that the adolescents appreciated more in their both relationship (with the affiliated parent and the close friend): ove despite the mistakes (that's mean the adolescent is not afraid that can be excluded for a mistake); the good communication (that's mean understanding); the continous support (that's mean they help him/her whenever it is needed).

**Keywords:** adolescent, authoritative parenting style, close friend

### Introduction

Authoritative parents are high in responsiveness and demandingness and exhibit more supportive than harsh behaviors. Authoritative parents encourage verbal give and take, convey the reasoning behind rules, and use reason, power, and shaping to reinforce objectives. This parenting style is most often associated with positive adolescent outcomes and has been found to be the most effective and beneficial style of parenting among most families. It is well established that authoritative parenting fosters adolescents' positive well-being<sup>1</sup>. Adolescents with authoritative parents are less prone to externalizing behaviors, and specifically are less likely to engage in drug use than individuals with uninvolved parents<sup>2</sup>. Recent findings show that positive effects of authoritative parenting are amplified when both parents engage in an authoritative parenting style<sup>3</sup>. Findings from this study suggest that the authoritative parenting style is associated with the lowest levels of depression and the highest levels of school commitment among adolescents. This study also indicated that having at least one authoritative parent fosters better outcomes than family parenting styles that do not include an authoritative parent. In another study, adolescents whose parents are both authoritative or whose mother alone is authoritative report higher well-being, such as higher self-esteem and life-satisfaction, than participants with no authoritative parent<sup>4</sup>. Similarly, researchers controlled for several mother-related variables and found that having an authoritative father

<sup>1</sup>Gonzalez, A.; Holbein, M.; Quilter, S. High school students' goal orientations and their relationship to perceived parenting styles. *Contemp. Educ. Psychol.* 2002, 27, 450–471.

<sup>2</sup>Fletcher, A.C.; Jefferies, B.C. Parental mediators of associations between parental authoritative parenting and early adolescent substance use. *J. Early Adolesc.* 1999, 19, 465–487.

<sup>3</sup>Simons, L.G.; Conger, R.D. Linking mother-father differences in parenting to a typology of family parenting styles and adolescent outcomes. *J. Fam. Issues* 2007, 28, 212–241.

<sup>4</sup>Milevsky, A.; Schlechter, M.; Klem, L.; Kehl, R. Constellations of maternal and paternal parenting styles in adolescence: Congruity and well-being. *Marriage Fam. Rev.* 2008, 44, 81–98.

was associated with positive outcomes among adolescents<sup>1</sup>. These research findings suggest that regardless of gender of the parent, the presence of even one authoritative parent is beneficial for adolescent outcomes.

Interestingly, researchers found that monitoring varies among parenting styles. Researchers found that authoritative parents exhibit higher levels of parental monitoring during their child's childhood and slight decreases across adolescence<sup>2</sup>. These findings suggest that authoritative parents somewhat relinquish their monitoring in response to adolescents' increasing demands for independent decision-making.

Authoritative parent	The adolescent	Authoritarian parent	The adolescent	Permissive parent	The adolescent
He/she has a clear idea of the type of discipline (rules).	He/she trusts in his abilities, is competent and shows interest in things.	Demands to obey but does not provide information.	He/she is withdrawn from social life; tends to be anxious, frustrated, and has low self-esteem.	He/she is not strict and there is no expectation for children.	There are no concrete goals that seek to achieve, display low interest.
Controls children and requires concrete results from them.	He/she is independent, confident, friendly with his peers, cooperative with his parents, happy, motivated in achieving the results.	Uses intimidation and punishment.	Displays spontaneity shortage.	He/she is a little coherent in terms of discipline, there are little or no rules.	Is positive and alive, has good humor, but is immature regarding to self-control, social responsibility and self-confidence.
Respects the child's wishes.	He/she has developed critical sense and fits easily.	Does not bring children closer, but puts the emphasis on parenting power and control.	He/she's obedient, but a bit dear.	He/she is not punishing.	He/she tends to be aggressive.
There are realistic expectations for the child to behave according to his age and ability.	He/she has optimum self-esteem.	Expresses various assessments and judgments, but rarely praises or appreciates what the child says or does.	Girls become dependent and lack motivation for realizing the goals they can have in life.	He/she does not orientate the child in the choices he/she makes.	He/she thinks the parent is not interested in him/her at all.
Interested in the child's feelings and opinions.		Imposes non-flexible rules.	Boys tend to be aggressive and provocative to others (behavioral problems, social problems, are rejected by society).	Does not feel responsible for correcting children.	He/she feels lack of support in difficult times.
Give explanations for the decisions it takes.		Trys to shape the child according to his ideal.		Consults with the child when making decisions.	
Show his feelings authentically.		Does not accept the child for what he/she is.		He/she is close and dear to the children.	
He accepts the child unconditionally, but does not approve of any behavior.		Deactivates the dialog.		Satisfies the children any desire, though they may be exaggerated.	
Empathic to the child, evaluating his words, feelings, and experiences.				Is a receiver, understandable and focuses on the child.	
Assess him/herself and his/her child, trusts in him/herself and in his/her child.				Accepts the child as he/she is.	

**Keywords:** *Adolescent* – is a young man who is experiencing the process of development and conversion from one child to one adult.

<sup>1</sup> Bronte-Tinkew, J.; Moore, K.A.; Carrano, J. The father-child relationship, parenting styles, and adolescent risk behaviors in intact families. *J. Fam. Issues* 2006, 27, 850–881.

<sup>2</sup> Luyckx, K.; Tildeley, E.A.; Soenens, B.; Andrews, J.A.; Hampson, S.E.; Peterson, M.; Duriez, B. Parenting and trajectories of children's maladaptive behaviors: A 12-year prospective community study. *J. Clin. Child Adolesc. Psychol.* 2011, 40, 468–478, doi:10.1080/15374416.2011.563470.

*Authoritativ parenting style* – is a parental style characterized by respectable and responsible parents; as well as from an approach that puts the child in the center, to which they exhibit high expectations but at the same time give importance to what he feels.

*Close friend* - can be defined as a person with whom you can talk everything, that makes you feel comfortable, not frightened and judged. Also, it may be an ever-present person in your life, willing to take care of your well-being.

### **The methodology / The sample:**

This study is a mix one, because it is both quantitative and qualitative.

It's conducted at first with 25 pupils (the questionnaire) and then with only 15 of them (the interview) in the public middle school "Jordan Misja" of Shkodra (Albania), in april 2018.

### **The methodology / The questionnaire "What's your parenting style" (Active Parenting Publishers):**

The questionnaire is divided into two parts with 15 statements each.

Part I is designed to help the identifying of the beliefs about parenting.

Part II is focused on the current home situation. For each statement there is a scale of agreement 1 to 5, that corresponds to the level of agreement:

1 - strongly disagree

2.- disagree;

3.- neutral;

4.- agree

5 - strongly agree

Autocratic beliefs score: statements 2+4+8+12+13

Permissive beliefs score: statements 1+5+7+11+15

Authoritative beliefs score: statements 3+6+9+10+14

Autocratic actions score: statements 17+19+22+24+28

Permissive actions score: statements 16+20+23+25+29

Authoritative actions score: statements 18+21+26+27+30

Beliefs Actions Combined:

Autocratic \_\_\_ + \_\_\_ = \_\_\_

Permissive \_\_\_ + \_\_\_ = \_\_\_

Authoritative \_\_\_ + \_\_\_ = \_\_\_

The highest combined score suggests the style of parenting that the adolescent's parents are currently using.

**The methodology / The interview** "What characteristics have in common the relationships of the adolescents with the authoritative parents and their close friend?":

The interview contains 6 opend questions:

1 – With which of your parents you are more affiliated?

2 – What do you appreciate more about him/her? (not less than 3 qualities)

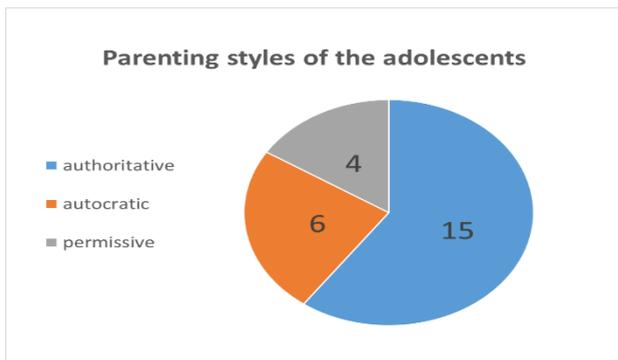
3 – Which are some of the characteristics of your relationship with your affiliated parent?

4 – How long do you know your close friend?

- 5 – What do you appreciate more about him/her? (not less than 3 qualities)
- 6 – Which are some of the characteristics of your relationship with your close friend?
- 7 – Based on what we said above, what do you think that have in common your relationship with your affiliated parent and your relationship with your close friend? (not less than 3 characteristics)

I have taken in consideration the Keywords that have been repeted 3 or more times by the respondents, because the questions request not less than 3 characteristics.

**Results of the study**



Graph 1.

Concerned to the interview, the answers of to the respondents are generally nouns and verbs phrases , in some cases descriptive affirmative sentences.

They are clear, understandable and express specific thoughts for what is required.

It seems to be no ambiguity or variation for interpretations.

Respondents' answers to the **second question** describe what appreciate more to the authoritative parent with wich are more affiliated.

All respondents' responses are grouped into **5 keywords**.

Below is presented what summarizes each key word based on respondents' responses:

\*The color means that the descriptive word of the respective key word is used **≥ 5 times** from the respondents.

Believable	Correct	Affectionate	Persistent	Good expects
I trust in him/her I trust him/her has not abandoned me helps me always has supported me in everything	honest what he/she says is consistent with what he/she does holds promises speaks the least does not want to know more than it is respects what I feel and think	peaceful keeps closed lovely interested in what I say and do empathic kindness positively	constant attitudes coherent strong character insistent patient persevering even when I fall encourages me to fight for what I want	believes that I can handle it believes in my abilities has positive expectations for my future appreciates my future planes

Tab.1

Respondents' answers to the **third question** describe the characteristics of their relationship with the authoritative parent with wich are more affiliated.

All respondents' responses are grouped into **3 keywords**.

Below is presented what summarizes each key word based on respondents' responses:

Love despite the mistakes he/she loves me even when I do mistakes <b>I continue to feel his/her affection even when I am wrong</b> his/her love for me does not change when I do mistakes <b>he/she still cares about me even when I am wrong</b> he/she gives me the best of him/her no matter how things go	Good communication considers my feelings considers what I think is a very good listener does not judge what I say <b>respects my way of perceiving things</b> does not interrupt me when I'm talking to <b>does not impose in what I mean</b>	Supporting he/she always expresses the will to understand my needs and desires advices me without imposed <b>is always there for me</b> does the best to help me in realizing what I want <b>he/she does not take away from me when I fall</b>
--	--	---

\*The color means that the descriptive word of the respective key word is used  $\geq 5$  times from the respondents.

Tab.2

Respondents' answers to the **fifth question** describe what appreciate more to their closed friend.

All respondents' responses are grouped into **4 keywords**.

Below is presented what summarizes each key word based on respondents' responses:

Believable I can trust in him/her <b>keeps secrets</b> <b>does not betray me</b> honest I talk freely with him/her	Affectionate <b>Kindness</b> <b>positively</b> lovely careful	Correct has never lied to me <b>honest</b> does not deal with speculations <b>respects the limits</b> original in what says and does	Persistent coherent <b>encourages me</b> <b>never gives up</b> strong character
---	---	--	---

\*The color means that the descriptive word of the respective key word is used  $\geq 5$  times from the respondents.

Tab.3

Respondents' answers to the **sixth question** describe the characteristics of their relationship with the closed friend.

All respondents' responses are grouped into **3 keywords**.

Below is presented what summarizes each key word based on respondents' responses:

Love despite the mistakes he/she loves me and takes care even when I'm in troubles he/she does not go away from me when I do mistakes <b>he/she forgives me when I'm wrong</b>	Good communication <b>listens to me whenever I need to talk</b> <b>does not judge what I say</b> respects my thoughts and feelings takes always the positive side of things <b>understands me always</b> quiet not imposed	Supporting supports me in everything <b>I know that I have a shoulder to stand on it</b> Is my right arm in what I do <b>Helps me to solve my problems</b> Helps me to do my best
---	---	--

\*The color means that the descriptive word of the respective key word is used  $\geq 5$  times from the respondents.

Tab.4

Now, I am presenting below a summary of the using keywords by the 15 respondents:

Question	Key concepts	R1	R2	R3	R4	R5	R6	R7	R8	R9	R10	R11	R12	R13	R14	R15
1	Mother	+			+		+			+	+	+			+	
	Father		+	+		+		+	+				+	+		+
2	<b>Believable</b>		+	+	+		+	+	+			+			+	
	<b>Correct</b>	+	+	+		+			+					+		+
	<b>Affectionate</b>	+			+					+				+		+
	<b>Persistent</b>		+			+		+			+		+			
	Good expects			+					+						+	
3	<b>Love despite the mistakes</b>	+	+		+		+	+		+			+			+
	<b>Good communication</b>			+	+	+					+	+		+	+	+
	<b>Supporting</b>		+	+				+	+		+			+		+

4		> 4 yea rs	3 yea rs	>3 yea rs	2 yea rs	3 yea rs	3 yea rs	>3 yea rs	5 yea rs	> 4 yea rs	2 yea rs	3 yea rs	3 yea rs	>3 yea rs	2 yea rs	>3 yea rs
5	Believable	+	+				+	+	+			+		+	+	
	Affectionate	+			+	+				+						
	Correct			+								+				+
	Persistent					+					+		+			
6	Love despite the mistakes	+			+		+			+			+			+
	Good communication					+					+	+		+	+	
	Supporting		+	+				+	+							

\*The color means that the key word is used  $\geq 5$  times from the respondents.

Tab.5

## Discussion & conclusions

Referring to the graph 1. we can notice that:

Dominate the adolescents with authoritative parents (15; that have conducted the inreview), then come them with autocratic parents (6) and finally come them with permissive parents (4).

Referring to table 1. we can notice that:

The adolescents describe their affiliated authoritative parent as a person that mainly:

can trust in him/her

what he/she says is consistent with what he/she does

does not want to know more than it is

is lovely

is positively

is coherent

when they fall, he/she encourages them to fight for what they want

has positive expectations for their future

appreciates their future plans

Referring to table 2. we can notice that:

The adolescents describe their relationship with their affiliated authoritative parent in this way:

they continue to feel his/her affection even when they are wrong

he/she still cares about them even when they are wrong

he/she respects their way of perceiving things

he/she does not impose in what they mean

he/she is always there for them

he/she does not take away from them when the fall

Referring to table 3. we can notice that:

The adolescents describe their closed friend as a person that mainly:

keeps secrets

does not betray them

is kindness

is positively

is honest

respects their limits

encourages them

never gives up

Referring to table 4. we can notice that:

The adolescents describe their relationship with their closed friend in this way:

he/she forgives them when they are wrong

listens to them whenever they need to talk

does not judge what they say

understands them always

is a shoulder to stand always on it

helps them to solve their problems

Referring to table 5. we can notice that:

The adolescents have a closed relationship with their best friend from relatively 2-3 years and more.

The adolescents appreciate more about their parents the fact that they are believable, correct, affectionate, persistent and have good expects for them.

The adolescents appreciate more about their relationship with their parents that it's characterized by good communication, love despite the mistakes and continuous supporting.

The adolescents appreciate more about their closed friend the fact that he/she is believable, affectionate, correct and persistent.

The adolescents appreciate more about their relationship with their parents that it's characterized by love despite the mistakes, good communication and continuous supporting.

By comparing results of questions 2 and 5 and 3 and 6, we can see that the adolescents have said almost the same characteristics but aligned in different way. We don't know exactly if they are aligned in different way by their importance for them or randomly thinking at the moment.

By comparing results of questions 2 and 5, we understand that the authoritative parents of the adolscents and their closed friend have a lot in common, but the most important characteristic in common is 'believable' (aligned first in the two cases).

By comparing results of questions 3 and 6, we understand that the relationships between adolscents with their authoritative parents and also with their closed friend have a lot in common too, but the less important characteristic in common seems to be 'continous supporting' (aligned third in the two cases).

Based on the existence of the common positive characteristics and almost the same appreciated ones, we can conclude that the authoritative parents influence positively the relationship between the adoleshents and their closed friend.

### **Recommendations**

Based on the positive relationship that the adolescents have with their authoritative parent and its positive influence on selecting a close friend with positive features and building a friendly relationship for the benefit of the adolescent, we can give some advices to the authoritarian and tolerant parents:

Try to make effective communication with your children, based on freedom, respect and understanding.

Try to put rules together with your children and give them always love, whether they fail or succeed.

Try to leave the needed space to the children to be self-evident and motivated them to express what they feel and think, without imposing them.

Try to be a positive model for them in communication, attitudes and behaviors, so they will have a valid model where to base on choosing people with whom will stay close during their life.

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## Parental Rights Vs Children's Rights

**Spiwe Cecilia Mwanaka**

Middlesex University London, School of Law,

### Abstract

In England, child neglect and abuse came to public attention through high profile cases such as Victoria Climbe, baby Peter and several others. The Children's Act 1989 allocated responsibility for safeguarding the welfare of children to local authorities, parents, the courts and other agencies. There has been a subsequently constant conflict between parental and children's rights in the UK criminal justice system. This paper outlines and considers how far the apparent shift from parental authority to parental responsibility may criminalise parenting in this present 'age of human rights'. To what extent is the parent right to a private life under ECHR Article 8 considered during child abuse investigation, and how far is interference in parenting necessary in the course of child abuse/neglect investigation? In recent years, families have witnessed a staggering number of children taken into care through breach of Human Rights and of Children's Rights. This paper has analysed the challenges faced by Black parents due to cultural differences in child rearing in respect of The Children Act 1989 and Article 12 of United Nations Conventions on the Rights of the Child (UNCRC). Information on child protection has been gathered through attending workshops, seminars, conferences organised by various community groups. It was found that there is a conflict between parental rights and children's rights. Some observations which were carried out in the children's care home. The literature review has been drawn from previous researchers. There is a need of writing new favourable policies that will benefit both parents and children.

**Keywords:** Parental Rights, children, authority, court, UN Convention

### Introduction

This study is aimed at analysing the experience of the families during the investigation of the cases of child abuse/neglect. It will also include exploration of the perspectives of the stakeholders such as social services, social workers, and the criminal justice system. Issues of child neglect and abuse have given rise to intense debates across generations in different sectors such as, health, education and triggered parliamentary debates. The media have also played a greater role in highlighting the pain of the young people who are the most vulnerable members of the society focusing upon the political and moral status of children, and how they are treated. This paper grows out of controversies of rights, stemming from Human Rights Conventions and focuses on the burden of balancing conflicting interests, especially those of the State and those of the individuals. Choudhry and Fenwick (2005) pointed out the resistance to the Human Rights Act, particularly around family law disputes concerning children. Henricson, (2005) mentioned divisions between parents and children services.

Choudhry and Fenwick (2005) constantly say, ignoring the Convention arguments can be a valid stance only if there are no conflicts between the demands of the Convention guarantees and of the welfare principle, considering the duties required from judges by ss 6 (1) and 3 (1) of the Human Rights Act (HRA). It has been argued that the Courts tend to grant rights listed in Article 8, to parents over the right to respect for family life, as explained by Choudhry and Fenwick (2005). They pointed out that, though there is no grading of the rights, they can be separated into two categories such as qualified rights and unqualified rights. They went on to say, unqualified rights exist, such as right to life, depending on what is in the articles, such as stipulated in Article 2, Article 4 right to security and liberty. The qualified rights are the obvious rights available to everyone regardless of the behaviour or status of an individual, that is not to be deprived of life or enslaved. The Strasbourg Court supported the above by referring to some rights as fundamental or core, such as the right to liberty and right not to be tortured. Whereas qualified rights are those specified by the Convention, which indicates the possibility of a 'Contracting Party's' interference. Interfering is seen as a measure to protect certain interest for example the rights listed in Article 8, right to respect for private and family life, Article 1 of protocol, Article 2 freedom of movement. However, the individual alleging a violation of the protected rights by the Convention has a challenge to establish the violation on the

balance of chances. Some rights are supposed to be absolute due to no *derogations* as Article 15, were there is lawful killings in times of war

The study aims to explore and balance the protection available to children against the members of their families and excessive interference with family rights. The study will look into and analyse the legislation of Children's Act 1989 and UN Convention Rights of the Child (UNCRC) Article 12 and their impact on parents, children and the agencies involved in criminal justice investigation system. The paper will also attempt to give a summary of the history of Children's Rights Legislations.

### Literature Review

This paper seeks to outline parental responsibilities and the rights of children and the consequences of granting too much rights to children. It is apparent that all the laws and legislations covering children are designed in response to child abuse and neglect. Child cruelty can back date as far 1800s. In those days there arose an outcry of child cruelty which led utilitarian adults like evangelical philanthropists Shaftesbury to fight for the Factory Acts through Parliament, (Bilston; 2006).

In the past decades the United Kingdom mourned over the death of Maria Cowell who was murdered by her stepfather (James, H. and Lane, D., 2018) This exposed a high level of lack of co-ordination in child safeguarding within the Child Protection Services. The public grieved over the death of Maria which was further followed by the shocking deaths of Heidi Kosea, Jasmine Beckford, and Tyra Henry and many others. It gave the media ammunition to blame the social workers who failed to protect the children from beatings and killings in their homes says (Bilston; 2006).

Bilston, (2006) went on to say, that public reaction did not stop the appalling high level of child sexual exploitation from erupting. The society received another blow as it witnessed social workers' failures to protect the children, and in return the social services bounced into overreaction due to fear and covered their backs as suggested by (Bilston; 2006). Fowler, (2002) stated that exposure of high profile scandals in practices where children were removed from their families over suspicion of parental sexual abuse resulted in unjust family displacement. This includes such cases as Cleveland in 1987, and Rochdale and Orkney in 1990, (Fowler 2002) where parents and carers were alleged of sexual abuse without conclusive evidence. In recent years the death of baby Peter and Victoria Climbe gave another repercussion to the professionals, particularly those who were involved with the cases, says Bilston (2006). In reaction to the children's deaths, The Children Act 1989 section 1, for safeguarding and promotion of the welfare of child/ren was implemented. It introduced the concept of parental responsibility rather than parental rights. Coram Children's Legal Centre confirms that parental responsibilities endeavours to emphasise parental duties rather than rights, (Soo Jee Lee, 2017); as in this section, it covers duties, powers, rights and authority as defined in Children Act 1989 s.3(1).

The act of removing children from home leaves their parents with no rights but responsibilities. Section 1 of Children's Act 1989. Section 2, covers the parental, responsibility, which places the parent in the same category with any other carer. When analysing the Act, it presents itself as a statutory duty instead of a natural right. Swindells *et al.*, (1999) commented on the growing concerns of family lawyers making the interest of children overriding the human rights of parents/family. McGlynn, (2001), as cited by Soo Jee Lee (2017) pointed out that, as in the United Nations Convention on the Rights of a Child, (CRC) children's best interest are only expressed as 'primary' consideration unlike under Children Act 1989 where consideration is paramount. He argues that the covering of Human Rights Act, calls for a review of relationship concerning parents and children's interests in the family law. Revoking parental rights can be deemed to be violation of human rights. Lord Laming, (2003) echoed on how impossible it is to isolated child safeguard from the inclusive support to the families. This means that the needs of children and their families are inseparable. Henricson and Bainham, (2005) also agreed to the above statement by saying, when focusing on the rights and interest of children one has to consider that family is the first port of call for support. They went on to say, it is thought to be equally wrong for the government policies regarding families to only emphasise completely on children's rights and best interest ignoring the parental feelings. Suggestions were made that the United Kingdom needs to keep its commitment to children whilst they do the same to families, (Henricson and Bainham, 2005). Considering these arguments, it is imperative to balance the policies which support the holistic family, since the Government policies do affect the entire family, in different ways either direct or indirect. However, the aspect of the competing interest, of children's rights and of those of parents/family should be reviewed within the governing policies. Henricson and Bainham, (2005), states that the Government policies on looked after children by the State are subject to criticism for disregarding some fundamental rights of parents and families.

## UN Convention on the Rights of the Child (CRC) Article 12

CRC was formed as a reaction of the children who suffered following the World War 2. Article 12 under the Conventions on the Rights of the Child (CRC) affords the respect for the child's views.

1. *States Parties shall assure to the child who is capable of forming his or her own views the right to express those views freely in all matters affecting the child, the views of the child being given due weight in accordance with the age and maturity of the child.*

2. *For this purpose, the child shall in particular be provided the opportunity to be heard in any judicial and administrative proceedings affecting the child, either directly, or through a representative or an appropriate body, in a manner consistent with the procedural rules of national law (UNICEF's Convention on the Rights of the Child, approved on November 20, 1989.)*

CRC acknowledges that children are entitled to political, social, economic, health, civil and cultural rights. One of the fundamental rights given to children in this article is the right to participate. Though it is not clear as stated 'participate' but the term has been accepted as the Article 12's principal, (UNICEF). The Rights affords the child to be heard and empowers him/her to have views to express whatever concerns or affect her/him. The children also expect to be accorded those views, putting into consideration the age, maturity and the matter of the issue. Article 12:2 requires the child to be listened to directly or indirectly; through some representatives in a judicial proceedings or administrative processes affecting the child. Article 12 is regarded to be very vital since it is just one of the few provisions which accommodate children's rights to excise decision making. Article 12 competes with the opposite side of CRC, 'the best interest of a child'. Though participation right of children and best interest of a child are in tension they are both essential pillars of CRC. Conversely some legislation do not go without critics and challenges. Some might view it as another form of revoking parental authority. Soo Jee Lee (2017) sees a further conflict between Article 3, which views children as defenceless beings, requiring protection against parents or other people of authority; whilst Article 12 sees children as autonomous people with full rights to make decisions for their lives, regardless of whether their decisions are in their best interest or not. Rebecca M. Stahl (2007) sees CRC as an law at odds within itself in some aspects such as, children's rights on participation on decision making and of child best interest.

### Interpretation of CRC Article 12

The UNCRC and Article 12 are expected to be employed internationally, but some countries like US have their own reservations. According to the Committee General the Article 12 does not give parents the right to control their children but rather rights to guide their children in exercising their rights in decision making. However the parental rights naturally diminish gradually as the child grows, in all aspects of life such as understanding, knowledge, experiences and etc. Comparatively, Germany and United Kingdom have a different approach to resolve the conflict parental authority and Article 12.

Save the Children (2016) has noted that in Wales and England the Children Act 1989 managing to interpret some crucial principals of CRC and those of Article 12 into national law. This implies that the Acts replaced the notion of parental rights and duties with the conception of parental responsibility by giving up such concept like 'rights' to 'custody in support of child's interest', (Gilmore, S2017). He then pointed out that parenthood is more of a responsibility in comparative to rights. Germany adopted a similar approach to United Kingdom were the child's wellbeing has become more of a focal point. They have replaced the term "parental powers" by "parental care" and "parental rights" into parental "duties". However both countries reflect Committee's accent more on the child rather than parents as to justify parental authority. The US law assets right of parents to be in charge of their children's lives on the basis independent from the interest of a child, (James G. Dwyer, 2017).

Soo Jee Lee (2017) noted that Article 12 on the participation right seem to jeopardise the parental authority, by fragmenting their power to make decisions in relation to their children. Nevertheless it is imperative to analyse Article 12 in three different spheres as it is employed the most. The initial stage is to outline how the Article is applied within the Family Law Proceedings. Rebecca Stahl, (2007) pointed out that at the least Article 12 acknowledges the rights of every child to be heard in legal proceedings that affect the child. On matters regarding abuse and neglect, it is said that US law is consistent with the recommendations of Article 12 and also aware of it posing a level of threat to the parents' authority. E Bartholet (1999) under the US law child participation rights are more recognised during court proceedings particularly during divorce or in child protection proceedings and care. In these circumstances the child's both wishes and rights should be upheld. As discussed earlier the US conforms to Article 12 in child protection and custody proceeding where the state becomes a go between two parents as a child's protector, in the event of divorce proceedings, (Fiona Ang, (2005). In such circumstances

parental rights and authority may be compromised, where children are made to feel that their decisions are more important and final than those of their parents. Child participation rights stronger in the family law and results in weakening parental rights. A case of an 11 year old boy who chose to remain with his father persuaded the courts to grant him his desires (Soo Jee Lee (2017). Where both parents' views are competing the courts are free to step in and make decision according to the wishes of the child.

Whereas the United Kingdom and Ireland focus more on providing directions to the child's advocate for the best interest of a child Australia requires a judge in the family law, where in all circumstances will consider the child's wishes, states Stahl et.al (2007). New Zealand concentrates on according every child the opportunity to be heard and in courts proceedings be it through a representative or directly putting their views into considerations.

Parents and children's decisions are at odds usually during medical decisions making. The US acknowledges the decisions of the parents to be made if a child is under age of majority; but mature minors are expected to participate in decision making.

### **Parents' Views on CRC Article 12**

CRC Article 12 highlights more on the rights of the children to make their own decisions regarding their lives. This is a clear collision of rights between those of parents and of their children. Soo Jee Lee (2017) looks at the UNCRC as a pushy international human rights agreement striving to emphasize the latter over the former. Lee points out the odds between the US law and the CRC where the parental rights are undermined by the CRC. It is said the US law upholds the parental right to control the rearing of their children. Susan Kilbourne (1998) noted that CRC Article 12 does not meet the US standards for parental rights also leaving the parents not clear whether they should excise their rights to participate or not. The conflict of children's participation and the parents' decisions over the affairs of their children brings confusion within the jurisdiction. Bartholet, E., (1999) argues that CRC rights focused approach has a potential to drift away from best interest focused approach, that result in failing to safeguard either the best interest of a child or their rights. Some advocates for CRC for example, (Davidson, 1990) noted that the application of the CRC would improve the children's lives and empowering them under Article 12 as he suggests it would provide children with greater representation in a wider range of proceedings. Controversially, some critics of the CRC argue that Article 12 would suffocate parental rights. Furthermore, (Kilbourne S, 1999), contented that the emphasis on the autonomous rights of children may compromise the quest for best interest for the children's welfare which might result in harming the child. Kilbourne went on to say this will also weaken the authority of parents and other adults involved in the care of a child.

In addition to the above discussions, Kilbourne (1999) argued that CRC has a potential of threatening and interfering with the family's private life. In her argument she expressed that Article 12 has a tendency of inviting the state to interfere with families' private lives. In actual fact more emphasis and trainings should be given to parents to use their parental rights properly, than revoking their rights. She continued suggesting that well-being of children and family values should be best left under the watch of their parents. The CRC Article 12 is like asserting one authority and infringing the other. Although article 12 respects parental authority over their children it fails to recognise parental rights at the same time. In all these debates it is found that race plays a major factor in the child protection investigation (Kilbourne (1999) .

### **Ethnic Minority And Deprivation**

Prior research has found out that the deprived and Black Minority Ethnic (BME) groups are more likely to be found implicated on UNCRC, Article 12 and The Children's Act 1989 (Paul Bywaters et al. 2017). Due to their migration from some countries which are still practising beatings as a form of discipline some BME families end up on the wrong side of the law after administering harsh disciplines to their children hence breaching the children rights.

Unemployment, substance misuse, homelessness and crime rate is disproportionally higher in black families. The situation has been exacerbated by police who have been targeting stop and search towards the black youths. Black children are overrepresented in care more than White children. This is supported by The Lammy Review, (2017) which found that the Black, Asian and Minority Ethnic (BAME) make up 14% of the population yet the 40% of the young people in criminal justice system and custody are from BAME. Nevertheless about 3% of the general population is made up of Black people but more than 20% of their young people were in custody between 2015 and 2016. This shows how the Black people are overrepresented in the criminal justice system. Though other groups are also overrepresented but, they are at a lesser scale. David Lammy, (2017) states that the BAME group are subject to face specific challenges that include discrimination in many different walks of life. Paul Bywaters et al. (2017), confirms that children from ethnic minority groups are much more likely to live in deprived areas than the White children.

Statistics suggest that child inequality mostly affects children whose parents are socially disadvantaged and face unjust systematically (Bywaters et al., 2015). As stated in the Prison Reform Trust (2016) looked after children in England are six times as likely to be convicted of crime in comparison to their counterparts at home with their families (Staines J. & Story P, 2016). It is important to reinforcing both ethnicity and socio-economic circumstances in order to address inequalities during interventions. However, child equality in social care still remains as a state responsibility to protect family life and the social justice.

## Methodology

This paper is based on empirical research within BME communities who have raised concerns about the manner in which they are disproportionately affected by social services interventions that result in the removal of children. Due to the awareness of child abuse/neglect within the BME group resulting in the removal of children into the care system, some communities have taken it upon themselves to educate one another on child safeguarding. Though not very visible enough to be noticed by the law makers but, these groups are mushrooming in the cities. The cultural and religious beliefs which are at odds with the legislation has caused the parents to lift up race cards to the government in response to the removal of their children into care. The enlightened of the community such as teachers, medical professionals, social workers and many others groups took action to educate their communities on child protection. Ignorance, and stubbornness due to their convictions had taken its toll within some BME which prompted the birth of workshops, seminar and conferences. Social workers, community leaders and religious leaders are the main players in these meetings. Due to this research it was important and interesting to attend such meetings as an observer and a researcher. In this case the researcher wanted to know the views and assess the mood of the ordinary parent over child protection. The tools used to gather the information were, recording machine, note pad and writing pen and carried out a participant observation

Out of the four meetings attended in a space of 14 months, two seminars were suitable for academic analysis. Some of the meetings attended were supported by Tower Hamlets local authority. A prominent Then the mother of them all was organised by the Zimbabwean Community and the Zimbabwean community who have been struggling to keep up with the numbers of children taken into care. They sought to educate one another by inviting some experienced social workers of different nationalities to speak to them. On the 18/05/2017 they held a seminar at Milton Keynes to address the pandemic of losing children into care. The parents' grievances were that they viewed their children as disobedient, who do whatever they wanted. The children have access to whistle blow their parents to social services. This is a typical example of a care home set up. Below are some of the cases which are a reflection of what the BME parent and child experience.

## Case Study 1

Some of the attendees had lost their children into care, and carried criminal charges due to their parenting practices and ignorance. One of the social workers of Zimbabwean origin gave a heartfelt narrative case of her experiences. She warned parents of the definition of significant harm. The case scenario A in a Local Authority (LA) H, parents in this play were from an African county G. Child A was aged 12 and had started going into internet chat rooms where she was speaking to unknown males and possibly being groomed for sexual exploitation. When the father found out he reacted by slapping Child A on her face who then reported him to school. The school made a referral and a section 47 was instigated. An investigation was undertaken as a child being at risk or actually have suffered significant harm. A joint investigation was undertaken between Police and Social Workers who then concluded that the father had acted inappropriately by using more force than necessary which resulted in Child A sustaining a bruise to her face. The harm was consistent with the allegations she had made against her father following a Child Protection (CP) medical examination being undertaken, As per CP protocol the child was protected from the risk of further harm by asking the alleged perpetrator to leave the family home during the course of the investigation.

Father of Child A was a teacher and as a person in position of trust, his employers were notified of this investigation which resulted in suspension of his job and eventually loss of his employment. The mother of Child A was a night shift worker who became as sole carer whilst father was out of the family home and unemployed. She also stopped working to assume this sole role of caring for the children. Though the LA and Police took appropriate steps in following CP procedures the intervention was appropriate but the results outweighed the benefits. Interventions should be appropriate and take into cognisance of ethnic historical backgrounds of families. Parents grew up in some African countries where physical chastisement was used as an appropriate disciplinary technic. It is acknowledged that there is no justification of biting the child but a lot of education is required on the immigrants in order to understand the law of the land.

## **Black Mothering Experiences**

Cheryl Rodriguez, (2016), discussed on and analysing some key feminist concepts of Black motherhood. She started by giving an account of one black mother who smacked her son in full view of public. The following is a Case Study of Ms Graham a Black single mother of six.

### **Case Study 2**

Ms Graham's son Toya Graham 16 year old was involved in truancy. She reacted impulsively when she found out and slapped him. She explained that she did not smack her son for truancy but for joining other young people who were opposing the murder of a defenceless black man Freddie Gray, allegedly killed by Baltimore police. It was reported that Ms Graham was praised across media outlets by the Baltimore police (Cheryl Rodriguez, (2016). They hailed her as a hero and very brave mother, who was not afraid to react the way she did after seeing her throwing big stones at the police whilst people were protesting. The author of this paper suggested that Toya's reaction was not different from some other Black mothers throughout the African diaspora, who fight to keep their child alive at any cost. However, her actions are debatable and deemed child abuse from another point of view. One school of thought approved of her actions arguing that she was actually protecting her son from being shot at by the Baltimore police.

### **Case Study 3**

This is an account of a 15-year-old young person (yp) EM, from the time of admission into care home to the end of placement. EM was admitted into care after the break down of the parents' relationship resulting in creating further tensions between the yp and the parents'. The yp kept the family values and rules for some time after admission into care. The yp exhibited good behaviour in all aspects of life, attending school, doing homework and engaging with the staff members. It took less than a month to see a stubborn and aggressive behaviour emerging from the yp. The child started missing school regularly, new disruptive habits developed such as, smoking, drinking and many other behavioural issues. The staff members tried all they could to motivate him but all their efforts were in vain. Ofsted inspectors had their unannounced visits and found the yp refusing to wake-up for school. The inspector gave an attitude suggesting the incompetence of the staff. At 2 pm the inspector attempted to work the yp and was surprised when a shout came from the bedroom, saying "*get away! You are not my mother!, you can't tell me what to do!, mind your own business as I mind mine!*"

It is with much regret that the home was penalised for the actions of the yp regardless of applying all the policies and necessary legislations they could in the home. Upon admissions the yps are inducted about the home, assuring them that the care home will be their home, how and who to report to when there is a concern. Young people can take advantage of certain benefits and abuse them and manipulate the staff. Without an apology some yps could say, to the staff, 'if you don't do this or that I will frame you and make up a story'. This kind of behaviour is understood especial with the knowledge of the trauma the children go through, although this is unacceptable. The staff members are in constant training to keep up with the demands of looking after the yps who have gone through distressing events. Nevertheless the staff cannot force them to comply even though it may be in the best interest of a child. After the home had tried all its strategies including several meetings with the social worker, the bad behaviour continued. Finally the home had to end this yp's placement. Upon hearing the outcome of the new placement it was said the yp kept on breaking placements. When policies and regulations are made, they are intended to improve lives but in the case of this yp, the quality of life and behaviour were found to deteriorate. It leaves a question if the benefits of children's rights are outweighed by some negative outcomes.

## **Discussion**

Parents can bring themselves out of the intrusion of the criminal justice by aligning themselves with the legislations. In the recent years, the emerging of children rights awareness has exploded across the nations at a global level. As shown in the literature review there are constant arguments going back and forth regarding the rights for both children and their parents. Usually parents see themselves caught up in the web of child investigation unprepared during child abuse allegations. Nobody can be better prepared to avoid the intrusion of the stakeholders when they pull out the laws against the alleged parents.

Analysis of Case Study 1; This case sends different messages to different viewers. Both the professionals and the parents may have the same view on child safeguarding. On this case in question, the experts followed the proper procedures and conducted themselves appropriately, but the argument lies within the policies and legislations which cannot be altered to suite some cases. Though it could be argued that the father was reprimanding his daughter and protect the child from, more serious significant danger, however, in contrary the argument will be, how would the loving father protect a child with

a harmful method? The level of penalty given to the father might be seen to fit his actions, but the repercussions affected the entire family system that includes, family income, family attachment and many others, were severe. Child A might interpret that the father's punishing was some form of vindication for her and might continue with the risky behaviour. The professionals were correct by the book, but the actions they took offset the benefits, leaving this child more vulnerable.

In contrast to Case 2, the mother received praises from the Law enforcers, the police and the media across the country, whilst a similar case<sup>1</sup> had different results. This sends a conflicting message to both the public and the courts. These cases do not show improved quality of a life and social relations when a child is removed from home. This statement does not go unchallenged as we analyse the case of baby Peter who died in the care of his mother. Case no 3 shows that a child who was taken into carer deteriorated under the watch of the expects. In the literature review, it has been revealed that the ethnic minorities are affected more by the conflict in childrearing partially due to their backgrounds and also ignorance of the law of the land. Some statistics suggest that that there is a relationship between child protection and deprivation.

### Deprivation

Good parenting is viewed as fulfilling all parental obligations and responsibilities (Harriet Churchill 2011). It is said proper parenting is meeting the children's need. Arguably this might not be a legitimate statement, because some parents with financial burdens might fail to deliver services and quality of life that money can buy. Child maltreatment throughout generations is associated with deprivation. The media, politician and the public alike, scrutinise child safeguarding system, which has been made a subject of high profile major reviews and criticisms, (Gilbert *et al*, 2011). However, whilst these parties are passionate about child protection, equal focus should be given to eradicate poverty and support the pressure groups that relentlessly fight child poverty. Nigel Parton, (2012), criticised the economical shift which has occurred in welfare spending. It is argued that the Coalition government of Conservative and Liberal parties introduced a significant change in policy priorities especially regarding families and children. The Coalition government introduced cuts which affected families benefits and services for children, contrary to New Labour's era. However the current government has continued with the same stance of cuts.

Scarcity of resource feeds criminal justice. Children from the limited resources are likely to be deviant. Delinquency is common among the underclass which places them on a more disadvantageous position of justice. In recent years we have seen the erosion of relative poverty and families slowly and gradually moving into absolute poverty e.g. being propelled by housing benefits and the introduction of bedroom tax.

Outcome aspirations of children in this category are that they may not see themselves beyond current statures, resulting in them turning into a tendency of dependence and circle of deprivation. The Black families are one of those ethnic minorities who have trouble in accessing inclusion and culturally sensitive services, (Rianna Raymond-Williams, 2017). On the other hand, they frequently experience the increase of negligible problems leading them into family breakdown. The above author went on to say, unsteady home environment and lone parenthood, have a tendency to invite children's services into contact with the black families. The author stated that, when black children are in care system, they are subjected to cultural and racial stereotypes, which then feeds institutional racism. Rianna Raymond-Williams, (2017), says ethnic minority children, have certain behavioural and emotional needs in addition to those of the ordinary children which is has been failed by the social services system. Andy Bilson and Katie E.C. Martin (2017) research demonstrates the rhetorical use of this misinterpreted neuroscientific evidence made by policy makers and practitioners. That leads to justifying gendered race and social inequalities policy responses, which are positioning poor mothers as architects of their children's deprivation (Featherstone *et al* 2014).

Through the literature which has been read so far, there is an indication of a strong relationship between levels of deprivation and children on child protection plan or children in care. Pelton, (1978), pointed out that those around the ten percent of deprivation are eleven times or more chances to be under child protection plan or to be in care compared to those in the least deprived percentage. Bywaters *et al* (2017), pointed out that most officially acknowledged emotional abuse and neglect happens in the circumstances of poverty. Unfortunately, most times the practitioners place the blame on parents to respond to their investigations ignoring the effects of poverty which decapitates the parenting abilities. Honeyman K., (2016) noted that children from areas where the uncertainty of housing, poverty, poor health and other kinds of stressors are overrepresented in the care system. This has been a phenomenon backdating centuries of years ago, as further emphasised by, (Honeyman, K., 2016). Honeyman who says back then, child exploitation was convenient because child labour was versatile and cheap for the poor families.

*Over Emphasis of UNCRC & Article 12*

Though Article 12 is paramount to some children it may not be so to others. As discussed above some of the children are difficult to engage with parents or their carers and teachers at school. Children who emotional behavioural difficulties find it difficult to cope with the society. They end up with poor school results, get low paying jobs and are often on the wrong side of the law, and also fail to support their own children when they grow up making a vicious cycle of a society. This was supported by one of the social workers who attended a Zimbabwean community event who was in working on a Zimbabwean family case in which the grand mum passed through care system, as well as her daughter and her granddaughter. Christopher Spera, (2005) states that parental values, attitudes, goals and skills are passed across generations. Hence a troubled child has a higher probability of raising his/her child the same way they were raised.

### **The Participation Rights**

It is natural ethics and values which inherent in nature for parents to guide their children as they grow. It is expected that parents fill in the space on behalf of their children, for instance if they damage someone's property, parents are responsible to pay or apologise. Nevertheless, children start their journey to independence from the day they are born. Making fussy of decisions undermines parental abilities, which can put the decision of a parent and the child at odds. The day the children are born that is also the beginning of decision making in their own positive and minimum way. When a baby cries for attention, hunger, nappy change it is a way of demonstrating his/her decisions and commands to be attended to. As they grow older, more decisions are made, such as preferences of food, kind of toys, sleeping time and many others. Wentzel and Battle (2001) say adolescence period is a transitional time from high controlled and depended period of childhood. At this time, they develop self-actualisation and explore their relationships with family, friends and the society. As the child acquires growth and development not only does the child grow but also parents equally acquire maturity. Also, as teenagers develop, they also grow psychologically and emotionally to gain their autonomy. Where teenagers react negatively to parental involvement they might not be easily understood.

Children do not have full capacity to make important decisions. They are exploring life every day. They can make wrong choices that can be detrimental to their future. Yps may lack insight of what they are supposed to do. They may not interpret their environment effectively. Teenagers may be short sighted of their future and career.

### **Unclear Parental Rights**

As it looks there seem to be no clear cut of parental rights but it is only glossed over within the human rights Act Article 8. More so the rights are not explored in depth. Professionals assume that parents have their parental rights. The Human Rights Act gives parents rights over their children. Parents are given the right to excise parental responsibilities as accorded to them by The Children's Act, though it is clear that there is a confused consistence with the CRC and Article 12.

In the criminal justice, parents seem to be silenced as they hear the voices of children or their representative. In some cases, parents have acknowledged their flaws of parental practises and resulted in losing their children to care. Some parents have expressed how they were denied the right to make decision on where their children should be placed. Normally parents request their children to be placed with families of the same culture or and of the same religious beliefs as theirs.

### **Conclusion**

More analysis is needed to explore around the strain within the social policy and practices in reaction to needs of the holistic family. Lack of parental, rights disempowers parents to excise full authority to their children. Cultural clashes between children and their parents can bring unsound relationships. Churchill states that there are some key themes to be met in everyday account of parenting practices that includes relationships of a parent and a child, which she describes as power relationship intimacy and ethic of care. Churchill also pointed out that hierarchy, authority and power are yet another important dimensions to parenting and parenthood.

Interpretation of children's rights could be blown out of proportion, resulting in incapacitating parents, and suppressing the parental instinct within. Even animals decide for their offspring, particularly when they sense danger so do human beings when they perceive that situation to be unsafe for their young ones. This a reflection of the above mentioned cases 1 and 2. It is recommended for the government deals with social issues as the primary focus, such as housing and implementing all the rights of children.

The Black families get the worst sting of the law in the justice system. Race and poverty have been outlined in the previous studies to correlate. BME groups do not have social standing equal to their counterpart. BME stand a further disadvantage if they are caught up in the web of child protection. This is supported by the prior researchers who say, Black children are

over represented in the care system and more so in the criminal justice system as mentioned in the previous paragraph by Paul Bywaters et al (2017).

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## When is the Integration of Students with Special Educational Needs Successful? a Good Practice Example - School N.O. Brasov, Romania

Mihaela VOINEA

Ioana Roxana TOPALA

Alina Oana BOTA

Department of Psychology,  
Education and Teacher Training,  
Transilvania University, Braşov, România

### Abstract

The issue of integrating children with special educational needs in mainstream school is still debatable. However, there are situations where the integration of children with special educational needs is successful and all those involved are satisfied. What are the factors that contribute to achieving true integration? Is it about a certain school environment or some teachers? Is it about parent involvement or school leadership? To answer the research question of this study, we have raised the hypothesis that school culture (values, teachers' perceptions on integration, leadership) determines the success of integration. The goal of this study is to analyse the educational actors' perceptions (students, teachers, managers and parents) and the school culture which promotes human diversity. The study in question was embedded in a constructivist-interpretivist paradigm, which employed both quantitative and qualitative methods for data collection. A questionnaire regarding students' and teachers' perceptions on integration and focus-groups were used. A case study of a primary school (School N.O. from Brasov) was conducted. A number of 100 participants were included in the study, teachers, parents and students from primary schools of Brasov. One of the main conclusions of the research is that the integration of children with special educational needs depends on several factors: from the school culture that promotes social values such as tolerance, respect for difference, etc. to teachers directly involved in integration activities and parents who accept and understand the benefits of integration for all children.

**Keywords:** integration, school culture, children with special educational needs

### Introduction

The issue of integrating children with special educational needs in mainstream school is still debatable, because there are several factors which influence the integration. Even though in the past 10 years efforts have been made for inclusion, by promoting educational policies to combat exclusion, there is still no real, complete integration of children with SEN in the mainstream school (Unesco, 2015). This is because the terminology specific to the field of special education (integration, inclusive school, special educational needs, etc.), as Alkahtani (2016) shows, is disputed among researchers and refers to several dimensions of integration / inclusion: some objectives are easier to make and measure, such as physical integration, others, more difficult to identify and achieve, such as psychological / social integration. Also, the pedagogical dimension of integration, which cannot be ignored, is another issue and it's rather difficult to evaluate. This is reflected in the following types of questions: What type of learning experience really helps students with SEN? Is formal learning the one that ensures integration? What other forms of education impact children with SEN? These questions reflect, in fact, the complexity of the reality that this term describes.

Ainscow et al (2016) show that inclusion is: *a process* (inclusion has to be seen as a never-ending search to find better ways of responding to diversity); inclusion is concerned with the identification and removal of barriers; *inclusion is about the presence*, the participation and achievement of all students; inclusion presumes a particular emphasis on those groups of learners who may be at risk of marginalisation, exclusion or underachievement.

If we add all the attitudes towards integration, the cultural specificity of the school society, then we will have a clearer picture of the complexity of the integration issue. There is research (Avramidis & Norwich, 2002; Newton et al, 2014) which shows

that teachers' positive perception of pupils with disabilities or of inclusive education is a determining factor for their classroom behaviour. Attitudes towards the integration of pupils with special educational needs vary according to the type of school, type of disability of the child / pupil, distance from pupils (those who work directly with the pupils or indirectly - administrators, counsellors, etc.). The teacher variables were analysed - age, didactic experience, level of schooling, direct contact with students with disabilities, teacher training, teachers' beliefs / attitudes towards students with disabilities, environment / socio-political context in which the school is set - and which greatly influences the attitude towards pupils with special educational needs.

### **The Inclusive School Between Social Values and Personal Beliefs**

Today, more and more specialists in the field of education (P. Senge 2016, H. Stolovitch, E. Keeps 2017, J. Mezirow 2014, J. Hattie 2014, H. Siebert 2001, etc.) draw attention to the necessity of redefining the place and the role of school in the individuals' lives and in society in order to meet the individuals' needs and the challenges of society. The UNESCO study of 2015 clearly highlights the idea of redefining education from the perspective of a humanistic approach seen as a solution to the challenges of the knowledge, digitized, globalized society: "The ethical and moral principles of a humanistic approach to development stand against violence, intolerance, discrimination and exclusion." (Unesco, 2015, p.10).

What kind of school and what kind of education or learning is it about? What values does this school promote? We believe it is a 21<sup>st</sup> century, inclusive, postmodern school, tailored to double requirements: on one hand, the social requirements / demands and, on the other hand, the ability to meet students', parents', and teachers' different expectations.

Analysing the definitions of inclusive school, we note the following common characteristics: an inclusive school is a school where all students are welcomed regardless of their gender, ethnicity, socio-economic background or educational need; it's a safe school (children's wellbeing is present); it has a differentiated / personalized curriculum. An inclusive school is a school that promotes the principles of constructivist pedagogy, transformative learning succeeding in creating a meeting space between social values and personal beliefs, according to the following arguments.

Diversity. "Education should celebrate cultural diversity". (Unesco, 2015, p.67)

An inclusive school promotes diversity in all aspects: human diversity (students, parents and teachers from different ethnic backgrounds, lifestyles, social classes, etc.), cultural diversity, curriculum/pedagogy of diversity. Diversity as a value of postmodern society has a dual implication. On one hand, diversity provides the space for free expression of the differences between individuals; on the other, diversity can give rise to tensions or even violence. School, as a micro-society, is the one that helps us experience diversity in a somewhat securing way. Confronted early with various human typologies, with various problems (from medical to behavioural, social and emotional issues), with different learning styles, with different expectations and mentalities, all educational actors learn (each according to its own style) to understand, accept and promote diversity. Engaging children with SEN in all school activities is a good social exercise that ensures the socio-professional integration of students with SEN. This is a first argument for defining an inclusive school as a postmodern school that understands, supports and promotes diversity.

### **Positive emotions**

Recent studies of neurobiology underline that positive emotions determine effective learning. Children with SEN need even more that secure attachment that conditions learning. Traditional schools were centred on cognitive achievements, leaving behind the socio-emotional development. Nowadays school is trying to change this perspective because there is evidence that affectivity (Cozolino, 2017) is a powerful learning engine. The Finnish school model centred on the appreciation of pupils' happiness and not performance is still proof that positive emotions can ensure a harmonious global development (Walker, 2018). Living positive emotions and experiencing well-being depends on positive relationships with others. Cooperation, collaboration, tolerance, empathy, critical thinking, assertive communication and all social skills and values cannot be formed without being practiced in the various social contexts offered by school. A lot of research points out that an advantage of integration is precisely this social exercise that all those involved in education, from parents to school managers, have to do. This is the second argument to support the idea of inclusive school.

### **Promote an authentic learning**

The third argument relates to the learning process, namely to the learning experiences that make of the postmodern school a 21<sup>st</sup> century school, an inclusive school. We are talking about a transformative learning supported by the socio-cultural context in which the school is set, promoting an authentic learning that assumes the student's active involvement in learning, from the cognitive, affective, and motivational points of view, and which is based on solving authentic, day-to-day issues.

Transformative learning - "the process by which we transform problematic reference frameworks (mentalities, mental habits, perspectives on meanings) - sets of assumptions and expectations - to make them more comprehensive, lighter, more reflexive and more capable of affective change" (Mezirow, 2014:168). The integration of children with SEN into mainstream schools, beyond affirming values such as diversity, empathy, cooperation, creates the context of learning through transformation.

A study (Voinea, 2018) demonstrated that non-formal activities through their transformative learning potential may contribute to the promotion of values such as diversity, tolerance and cooperation and illustrate how people with special needs share many common problems and solutions. In fact, non-formal activities (trips, contests, cultural events, etc.) shift the emphasis from the cognitive performance to the social competencies that help children get out of the rigid patterns of formal education and see others from another perspective. Interactions with others and collaborative practices in non-formal activities develop interests and identities and create the sense of community. (Stetsenko, 2008; Usher, 2014; Adams & Gupta, 2013).

### **Teacher`s leadership**

Last but not least, an inclusive school requires a management that promotes a culture of diversity. It is well-known that teachers' mentalities determine their teaching behaviour and the quality of their relationships with students. One of the vulnerable points of integration regards precisely those mentalities, attitudes. An important role in creating a climate favourable to inclusion is the managerial team that both through conception and through its own behaviour promotes cooperation, critical thinking, and help offering. The Finnish school model is again relied on to support this idea: "all schools in Finland must set up a student support team consisting of specialists, teachers and school managers who should discuss worrying issues and decide on the best way of approaching them". (Walker, 2018, p.16)

The principle of inclusion helps to change the mind set of teachers, principals and parents because they also go through transformative learning.

All of the arguments presented above support the idea that an inclusive school that has an impact on all those involved in education is a school that is dynamic, open to challenges and responds to the needs of individuals regardless of their status.

### **School N.O. – an Example of Good Practice for Integration**

This research is part of an interdisciplinary project under the aegis of Transylvania University of Brasov, Romania, which aims to develop a training program for support teachers, seen as the key factors in creating an inclusive culture. One of the goals of the project is to identify parents', teachers' and students' perceptions on integration, starting from the premise that one of the main barriers to genuine integration is attitude / mentality.

In our research we analysed a school in Brasov, Romania, which attracted our attention by the way it managed to integrate students with SEN, meaning in a manner very close to the principles of an inclusive school presented above.

**Methodology:** The goal of this study is to analyse the educational actors' perceptions (students, teachers, managers and parents) and the school culture which promotes human diversity. The study in question was conducted in a mixed methods structure, which employed both quantitative and qualitative methods for data collection, embedded in a constructivist-interpretivist research paradigm. We are interested in deeply understanding specific cases within a particular context. (Patton, 2002).

A questionnaire regarding parents' and teachers' perceptions on integration and focus-groups with students were used. A case study of a primary school (School N.O. from Brasov) was conducted

This study included a number of 100 participants: a sample of 20 primary school teachers, a sample of 20 secondary school teachers, 20 parents, 20 pupils from primary schools and 20 pupils from secondary school from Brasov.

The questionnaire addressing the parents' and teachers' attitudes towards the integration of students with SEN in school included 23 items, on a 5-point Likert-scale (ranging from 1= to a very small extent, to 5 = to a very large extent), pertaining to attitudes towards the integration of children with SEN in a typical classroom, related to cognitive aspects (Ex: "I believe integration of children with SEN is important"), emotional aspects (Ex: "I am afraid of a child with SEN being in a normal classroom") and behavioural aspects (Ex: "I am willing to participate in training programmes/specific activities regarding the integration of children with SEN")

For the teachers, there was also developed a questionnaire aiming at the cooperation with the support teacher. This questionnaire consist in 5 closed -structured items, using a 5-point Likert scale, pertaining to both behaviour and attitude towards the teacher's collaboration with the support teacher.

**Discussion:** The institutional analysis of N.O. school addressed the physical / material aspects of the school and the social dimension (of human resources).

From the point of view of the material dimension, N.O. school has three buildings, recently renovated, with educational areas appropriate to students' age and fitted with the necessary equipment for a modern 21<sup>st</sup> century education. In two of the buildings, they teach primary school pupils and in the third one (located 1 km from the other two), they teach the secondary school students. The school is located in an area on the outskirts of the city, in a developing neighbourhood, within a very attractive environment (the area is known for its forests, the nearby lake, the zoological garden and the recreational park).

The buildings where primary school students are taught are arranged in a welcoming, joyful manner specific to pupils in this learning cycle. We note the large spaces in the school yard and especially a garden where the students participating in a project planted trees. The courtyard of the school is full of children's asphalt drawings; the cardinal points are marked; there are the sports grounds.

The results of projects in which the school participated (national and international projects), since the inauguration of the school, are presented and the guiding values are written on the steps of the school (see photo).



Fig.1 School values (friendship, honesty, tolerance, respect, collaboration, communication, education)

From the analysis of the physical aspects of N.O. school, we can say that this school creates a good environment for integration, creates a sense of belonging to students (by displaying their results, their products), gives them the chance to manifest their interests (by involving teachers and pupils in many different national and international projects) and promotes values specific to nowadays society.

From the point of view of the human resources, N.O. is a school with 750 pupils in primary and secondary school, 20 primary school teachers, 37 secondary school teachers, a school counsellor, a support teacher, a speech therapist, 12 Integrated children). Children come from various social backgrounds, the middle class being dominant. N.O school is a "typical average" school for Brasov, being neither a prestigious school (centred exclusively on student performance), nor a problem school. We could say that it is a dynamic school where successes come together with various problems. Proof of the success and the openness of teachers for collaboration are the award winning projects ("Friends fur-ever", 2013; "Open the gates to the universe", 2017) that led to receiving the e-twinning school title.

The interview with N.O. school manager (who has 10 years of experience as a manager and 31 years as a teacher) has highlighted the fact that the values promoted through formal school documents and formulated in the school's mission and vision (*school is a non-discriminatory community where students feel protected, respected and motivated for permanent learning*) are also present in the teaching behaviour and the relationships with subordinates. The manager herself is

involved in projects, supporting her colleagues by her own example. The projects at the county level "How do I feel, how do I behave?"; "Ethno Treasure", "Glorious Past - European Future", "On Mountain Trails" as well as Erasmus or e-twinning international projects such as "Values and student entrepreneurs", "My virtu@l friend", "The odd one...IN" target directly or indirectly values such as: integration, cooperation, collaboration, openness to communication, responsible use of media. The common key of all projects is that they work in student-teacher teams and they promote and exercise social values with direct impact on students, teachers and parents.

It is also worth noting that the school teachers are supported by the school manager to capitalize on the physical environment in which the school is located through formal and non-formal activities in the area where the school is located. (e.g., tourist orientation contests, visits to the zoo, trips, etc.).

Both the physical environment and the social ambiance of the school influence both teachers and students. In this sense, the focus group analysis is significant.

The focus group with primary school pupils highlighted the fact that those in the higher grades (3<sup>rd</sup> and 4<sup>th</sup>) understand the issues of students with SEN in a more nuanced way. We present in the table below, the topics identified in the focus group.

No.	Identified topics	Grades 1 <sup>st</sup> – 2 <sup>nd</sup>	Grades 3 <sup>rd</sup> – 4 <sup>th</sup>	Grades 5 <sup>th</sup> – 6 <sup>th</sup>	Grades 7 <sup>th</sup> – 8 <sup>th</sup>
1	Representations regarding children with SEN	<i>Medical conditions</i> <i>Learning difficulties</i>	<i>Medical conditions</i> <i>Learning difficulties</i> Behavioural issues Social issues (ethnicity, low social status) Emotional issues (when you lose someone dear or when your parents get a divorce)	<i>Medical conditions</i> <i>Learning difficulties</i> Behavioural issues	<i>Medical conditions</i> <i>Learning difficulties</i> Behavioural issues
2	Emotions related to children with SEN	Pity Sadness	Pity Sadness Desire to help	Pity Desire to help	Pity Desire to help
3.	People responsible for helping children with SEN	The primary school teacher	The primary school teacher Parents The psychologist Colleagues, Friends	Parents Teachers The psychologist Colleagues, friends	Parents Teachers The psychologist Colleagues, friends
4	Proposals / solutions	-	-	Colleagues, friends A special classroom in school Discussions ("they about themselves")	An class to talk Inclusion in games Activities together

Table 1 Topics identified in focus group

By analysing comparatively the topics approached in the focus groups, we notice that the differences of perception, understanding and interpretation of the issues related to the integration of students with SEN in mainstream school are related to several factors:

1. The direct experience with children/people with SEN (children who have experienced life along those in difficulty have a different understanding and acceptance of people with SEN)
2. Participation in formal and non-formal activities on inclusion (pupils in the 3<sup>rd</sup> and 4<sup>th</sup> grades declared that they had discussed in the civic education subject matter about "people with disabilities, people who have lost someone dear"; pupils in the 5<sup>th</sup> and 6<sup>th</sup> grades gladly remembered the projects made together with children with SEN). Here, the role of school in promoting values and behaviours specific to inclusion is clearly outlined. Of course, non-formal activities such as projects, competitions, cultural events had the greatest emotional impact.
3. Also, the presence of the support teacher and of the school psychologist who work with the pupils is another factor contributing to the formation of certain attitudes regarding children with SEN.

The focus groups have also highlighted certain vulnerabilities, besides the positive aspects related to inclusion:

1. There is still poor perception of people with SEN, with a domination of the medical aspect and the one related to academic performance (the most common description of students/people with SEN is a negative one: "they do not learn", "do not

write", "are lazy "). This limited perception is sometimes sustained by the fact that teachers work separately (personalized) with these children, especially for the basic skills of writing and reading, and these children are "taken by the psychologist". The opinion of a second-grade girl is significant: "she, the psychologist, also takes me, but not because I am bad, but to develop."

2. Another weakness identified in the focus groups is linked to insufficient communication with students about integration issues. Children need more discussions with specialized people, who to present them, in an accessible way, various aspects of inclusion. Most of the time, the conversations are with the class teacher, in the primary school or with a teacher (in the secondary cycle) and very rarely with the parents. Most pupils participating in the focus groups appreciated the positive, interesting discussion and expressed their willingness to participate again in such discussions.

The parents' perspective on integration issues completed the interpretation of the data collected by the other methods. Analysing the questionnaires, which had a return rate of 75% in parents, we noticed that parents consider that the responsibility of integrating children with SEN belongs to parents (67%), to pupils with SEN and support teachers, to a very large extent (33%). Also, 80% of parents think, to a large extent and to a very large extent, that integration of children with SEN in mainstream schools means that they will work with typical children in common projects.

Unlike parents, teachers think that integration primarily depends on the support teacher and the school management.

The qualitative analysis of the answers to the questionnaires revealed that parents have a positive attitude towards integration, considering it to be an important, necessary issue, but place the responsibility outside the school, to the parents of children with SEN. The dominant emotions are those of pity, of concern, but too few say they are willing to spend time or money to support integration. The fact that parents see integration as involving children with SEN in common projects with their colleagues is a good thing that reflects changes in perception. We suppose that this change is also due to the children's projects developed in school, where parents were involved as well. However, there are still some changes to be made, as we noticed, according to the questionnaire answers, a discrepancy between what they feel and what they would be willing to do.

Teachers also have a positive attitude and they believe that integration is largely dependent on the support teacher, the school management and the group of pupils in which the child with SEN is integrated. The positive attitude can be explained by the fact that teachers know better the reality of integration and some of them have had this experience.

The teachers' positive attitude is influenced by the fact that they have had a very good collaboration with the support teacher. The proof that this collaboration is good is also the fact that the support teacher is known by all the teachers of the school, not only by those who work directly with him. The support teacher is always present in school (he does not have many schools in his didactic norm, as is the case in most schools in Brasov) and is involved in school projects. This is actually the key of the success of integration in this school.

By synthesizing the answers to the questionnaire, the analysis of the focus groups with children, interviewing the manager, we can presume that there is a contamination of attitudes from parents and teachers to children - something that is noticeable especially at the level of emotions. There is generally a positive attitude towards the integration of children with SEN, which can be explained by several factors:

- The existence of children with SEN in school fact which fosters the social exercise of understanding and accepting the other,
- Availability of teaching staff to work in a personalized manner, to collaborate with the management team and with the support teacher,
- Effective involvement of the support teacher, the counsellor and the speech therapist in various school activities,
- The manager's and teachers' involvement in projects on integration (at different school levels),
- Exploiting the potential of the area and the community in organizing non-formal activities with a transformative impact on all students and teachers.

#### 4. Conclusions

Although the research carried out has the constraints specific to the constructivist-interpretative approach, where the truth is built through the dialogue between the participants and the researchers, from the adjustment of the perspectives and the impossibility of generalizing the conclusions, we can state, based on the presented case study, that a school promoting a

culture of inclusion creates the premises of changing attitudes. We can presume that the integration of children with special educational needs depends on several factors: from the school culture that promotes social values such as tolerance, respect for difference, etc. to teachers directly involved in integration activities and parents who accept and understand the benefits of integration for all children.

This research is a starting point for a broader research that aims to compare different types of school culture and to investigate the relationship between school culture and the attitudes towards integration of all involved.

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## Investment Trios Are Less Prone to the Hot Hand and Gambler's Fallacies and Make Better Investment Strategies

Pamela Denice Arao

Danyel Brendan Arizabal

Seanne Veniene Esguerra

Cris Jon Quinalayo

### Abstract

An experimental study was conducted to determine the minimum group size for which the mitigating effect for the hot hand and gambler's fallacies can be felt. This is quantified by looking if groups are as prone to the hot hand and gambler's fallacies in making decisions as their individual counter parts. Results suggest that groups maximize their investment returns better than individuals as the former choose to decide on their own more and rely on the experts' opinions less. Triads are the least biased with the hot hand and gambler's fallacies and thus are able to make more rational decisions and consequently maximize their investments better than the other treatments. These data allowed us to recognize the benefits of forming investment clubs consisting of three members since their decisions are more likely in line with the profit maximizing strategy in comparison with the decisions made by pairs and individuals.

**Keywords:** Investment, hot hand, gambler, profit

### Introduction

The hot hand fallacy and the gambler's fallacy are two of the most common behavioral errors in the financial market. These biases cause people to misinterpret random sequences believing that some past event can be used to predict future outcomes. People who exhibit the hot hand fallacy expect an increasing trend to continue in the near future. This bias is observable when people mostly buy from funds who were successful in the past because they are convinced it would continue to be successful in the latter periods (Sirri & Tufano, 1998). On the other hand, people who exhibit the gambler's fallacy expect a current trend to 'break and reverse' in the future. This bias is observable when people buy losing stocks, which are stocks who have recently declined in prices, because they expect a reversal of their losses later. However, the efficient market hypothesis (Fama, 1991) showed that trends in the prices of stocks are unreliable to consumers because the stock prices instantaneously adjusts to new information by taking into account the discounted future value of that information. Rufino (2013) demonstrated that the Philippine stock market exhibits this market efficiency and thus shows a random walk phenomenon. Therefore, it is unreliable to use past information to predict future prices.

Groups tend to decide more optimally than individuals in both strategic and nonstrategic situations (Feri et al., 2010; Linder & Morgan, 2005). Despite this optimality, both groups and individuals alike still fall prey to behavioral biases. Investors who are exposed to these fallacies end up holding less diversified portfolios, which can affect their expected returns and exposures to risk. However, Stöckl et al. (2015) pointed out that groups are actually less prone to the hot hand fallacy and gambler's fallacy as compared to individual investors. Thus, we are looking at a possible 'mitigation effect' on the overall proneness to behavioral biases by making decisions as a group. With this, we can say that there is a so-called wisdom in groups. Yet, the desired group size in achieving this mitigation effect has not yet been established.

To address these problems, we use a two-dimensional analysis on investment behavior for our objectives on 1) the investment strategy and 2) the behavioral biases that affect these decisions. Generally, we say that individuals and groups make investment decisions differently. However, since the scope of the differences is broad, we narrowed it down to two research questions that are aligned with the objectives. The first research question focuses on the investment strategy; we ask ourselves "Do individual and group investors make investment decisions differently? How reliant are they on experts and who chooses the riskier option more?" The second research question focuses on behavioral biases; we ask "Can we

mitigate the overall proneness to the hot hand and gambler's fallacies by making decisions as a group? If so, how large does a group need to be in order to feel this mitigating effect?"

In the perspectives of the investors, this study will be able to aid them in critical investment decisions. As they become more aware of their proneness to these behavioral biases when investing their money, individual investors can look for ways to reduce their exposure to the fallacies by joining investment groups that satisfy the minimum group size in order to experience the mitigation effect. Making investment decisions as a group can be thought of as "investment clubs" where non-professional investors combine their investable wealth through a partnership or a limited liability company, make investment decisions together, and split any earnings among themselves. Investment clubs differ from mutual funds since the latter is funded by shareholders who waive their rights to manage the portfolios to a professional fund manager. In the perspective of the academe, this research shall fill the gaps in the current literature by establishing the minimum group size in order to reduce the overall proneness to the behavioral biases.

This study will make use of a coin-toss investment simulation model where participants aim to correctly predict which side of the coin will appear. Their investment decisions will determine their investment strategy and overall proneness to the hot hand fallacy and gambler's fallacy. The experiment proper was conducted in De La Salle University- Manila during the third term of the Academic Year 2017-2018. Market investors will be represented by bonafide undergraduate students ages 18 to 23 years old. The simulation will be divided into three treatments (INDIV, GROUP2, GROUP3) with a total of 180 participants for which we have gathered 3,600 decisions for analysis. In this study, only pairs and trios were tested for group classifications. Therefore, we can only provide evidence for the minimum group size for the mitigation effect to be felt instead of the boundary condition that provides the optimal group size with the greatest mitigation effect.

Currently, there have been numerous studies that revolve around the hot hand and gambler's fallacies. Fischbein (1975) showed evidence of the hot hand fallacy when successive outcomes of heads would lead individuals to believe that the probability of another head appearing to increase. On the other hand, Tversky and Kahneman (1971) showed that when three successive heads appear, people would infer that the next outcome is a tail as a manifestation of the gambler's fallacy. Further studies by Stöckl et al. (2015) showed that individuals and group alike were both prone to the hot hand and gambler's fallacies. However, O'Leary (1993) was able to discover that groups are less prone to biases that occur naturally in individuals. Therefore, the overall proneness of groups to the hot hand and gambler's fallacies were significantly less than individuals. However, the desired group size to feel the mitigation of the proneness to fallacies has not yet been thoroughly studied.

Since some investment decisions can be done in a group environment, Simmel (1950) and Weick (1969) noted the importance in determining the optimal group size that can mitigate the existence of these fallacies, especially in smaller groups. When it comes to the crucial transitions in group sizes, which consists one to two, two to three, three to four, four to seven, and seven to nine members, trios are one of the most crucial group sizes. In organization theory, Weick (1969) refers to groups of three as the basic unit of analysis since it is the smallest possible group size that allows two group members to be allies against one. Groups of three allow for cooperation, control and competition.

For larger group sizes, another group of three can be formed as subgroups. Since groups of three are still considered when it comes to forming larger groups, this group size will be the focus of the paper. O'Leary (2011) performed an experiment comparing groups of three and individuals and discovered that groups mitigate the effect of these biases but do not completely remove its impact, as the performance of groups was not perfect.

The wisdom of crowds is an event where a group of people make better decisions compared to individuals who are experts in a particular subject matter (Surowiecki, 2005). Crowds tend to be wiser than individuals but too many members in one group can lead to herd behavior which causes poor decision-making. Furthermore, Goldstein, McAfee, and Suri (2016) applied the wisdom of crowds in an experimental setting where a smaller group of 30 people were grouped together from a crowd composed of 100 members and compared the groups' decisions against an expert in Fantasy soccer. They discovered that the smarter and smaller crowd beat the wisdom of the larger crowd.

To fulfill our first objective, we try to identify the different investment strategies by using a probit model on the three treatments. The probit model was chosen because the dependent variable is either 1 or 0. The regression results would allow the researchers to assess the likelihood of choosing between the RISKown, RISKexpert, and RISKfree options. Specifically, the probit regression coefficients would determine the relationship of the dependent and independent variables. Additionally, we use the marginal effects of the coefficients to determine the respective likelihood of choosing each of the three options mentioned earlier. For additional robustness checks on the results provided by the individual probit model, we also run a multinomial probit model to take into account the fact that subjects can only choose one out of three options.

On the other hand, to fulfill the second objective regarding behavioral biases, we used a tobit regression model since some of the dependent variables are unobservable. This means that if the Classical Linear Regression Model (CLRM) is to be used, it would drop the unobservable dependent variables, therefore making the results unreliable by omission. Instead, we use the tobit model in order to include and still consider these unobservable dependent variables. Furthermore, since the experiment was designed in such a way that the subjects do not have any choice but to invest, it is considered to be a single hurdle process instead of a double hurdle process which makes the tobit model more superior to both the craggit and heckit models.

Theoretical models such as the rational choice theory shows that individuals are rational in making their decisions by knowing which option they prefer and going for the option that would give them the highest utility. On the other hand, the prospect theory accounts for decision-making behavior under risk and uncertainty. As individuals' have successful experiences, they tend to prefer risk-free assets over risky assets. Consequently, when these individuals are experiencing losses, they tend to invest more on risky assets than risk-free ones (Kahneman and Tversky, 1979). However, exposures to the hot hand fallacy and gambler's fallacy lead to suboptimal outcomes and decisions.

Aside from confirming past literatures which stated that groups are less prone to behavioral biases as compared to individuals, the research gap this study aims to bridge is the establishment of the minimum group size in mitigating the proneness to the hot hand fallacy and gambler's fallacy. We also analyzed the differences in decision-making between individuals and groups of varying numbers particularly in pairs and trios as well as exploring any gender effects. For the first research question on investment strategy, we test the hypothesis that groups rely less on experts and choose riskier options as compared to individuals. For the second research question on behavioral fallacies, we test the hypothesis that groups are less prone to the hot hand and gambler's fallacies, and there exist a minimum group size for the mitigation effect.

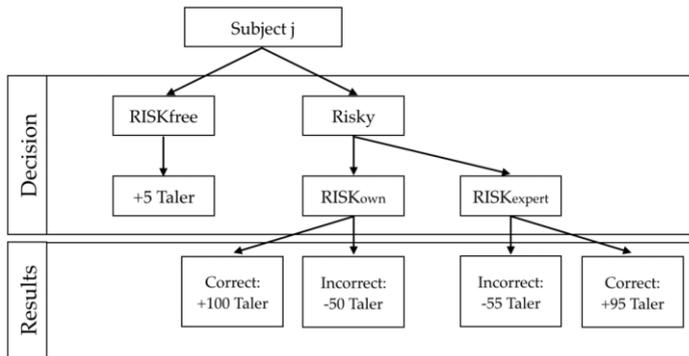
## 2. Experimental Design

*Sample.* We gathered 180 undergraduate students (92 males and 88 females) through an online signup link shared on social media. Participants aged 18-23 are all from De La Salle University-Manila. The participants are divided into three treatments: individuals (INDIV), groups of two (GROUP2), and groups of three (GROUP3).

*Task.* Throughout the experiment, the subjects had to decide on their own whether they wanted to choose heads or tails by themselves (RISKown), delegate the decision to an expert (RISKexpert), or choose the risk-free alternative (RISKfree) for 40 periods.

*Design.* The experiment was conducted in a computer laboratory setting using Google Forms and Google Sheets as the online softwares. At the start of the experiment, each participant was given an initial endowment of 500 Taler, which is the experimental currency. The RISKfree alternative guaranteed the participants 5 Taler regardless of the outcome of the coin toss. The risky alternative is replicated using a coin toss where heads and tails have equal probabilities. When choosing the risky alternative, the participants need to select one side of the coin, and the goal is to correctly predict the outcome of the coin toss to receive a positive payoff. The participants have two options when deciding for the risky alternative. First is by choosing RISKown where they have to guess on their own whether the outcome of the coin toss is heads or tails, or second, by choosing RISKexpert where they delegate the decision to one of the five "experts", who will then randomly select heads or tails for the participants. However, participants are not informed that the experts are mere randomizers. We use the same coin toss realizations, which were drawn randomly in advance, for every session to ensure comparability across all observations.

For every correct RISKown decision, 100 Taler will be added while 50 Taler will be deducted if otherwise. For RISKfree, 5 Taler will be immediately added to their accounts. For RISKexpert, a management fee of 5 Taler will be deducted to the payoff regardless of the outcome of the coin toss. 95 Taler will be added if the expert made the correct decision while 55 will be deducted if otherwise.



**Figure 1.** Flowchart of the entire experimental design

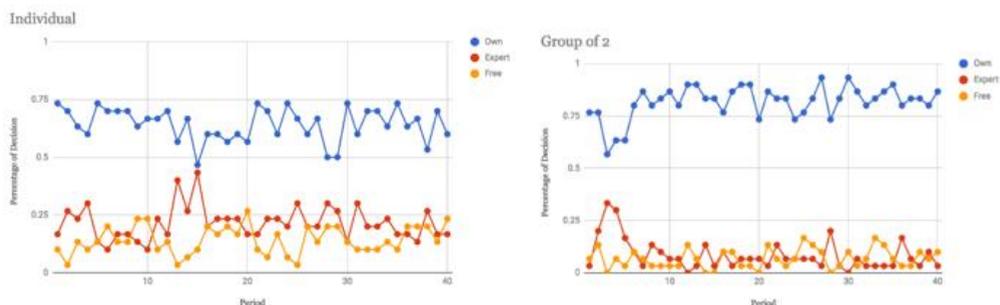
Before the experiment, the subjects were informed that three screens will be used throughout the 40 periods. The first screen is the decision screen where the participants' decisions will be inputted for each and every decision made. The second screen is the results screen where the summary of all their decisions, their successes and failures in predicting the outcomes, the respective payoffs in every period, and the running balance of their accounts are shown. The third screen is the trading screen which contains information on the current period, the results of the coin toss for every period including all past periods, and the successes and failures of the experts in predicting the results of the immediate previous four periods. The track record of the experts is updated per period and can be accessed at any time during the experiment.

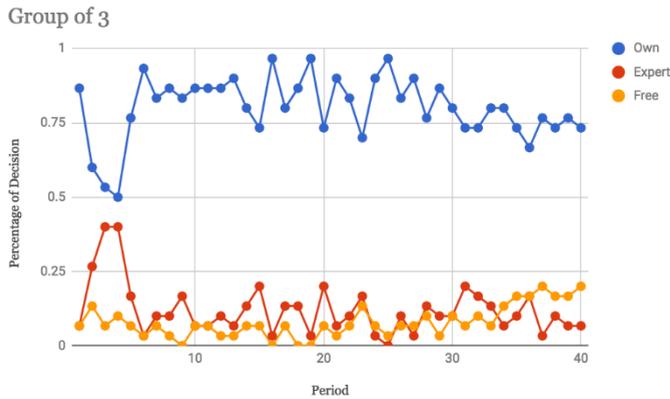
For the INDIV treatment, participants decided on their own were only needed to make one decision per period. They were not allowed to seek help from other individual participants. For the group treatments, all members of the group had to collectively decide on which decision to make every period. Communication was allowed but only within the group members. Each member had separate accounts for the group's total balance which meant that the earnings were not divided equally and that their total balances were paid to each member at the end. They also had separate screen which means that each group member still had to enter his decisions in his decision screen. Groups only have a chance of getting a positive payoff if all members choose the same decision. In the event that they do not come up with the same decision in their first try in any period, they are given a second chance to decide and come up with a unanimous decision. A penalty of 50 Taler will be deducted from their individual accounts in the event that their decisions are still inconsistent. A total of 3,600 observations (1,200 per treatment) were gathered at the end of the experiment.

For the hypotheses in both research questions, we consider the INDIV treatment as the control group. All characteristics of INDIV are present in the GROUP2 and GROUP3 treatments including the assumption of common knowledge in investing and optimization. However, the variable characteristics of communication and joint decisions are only present in the GROUP treatments.

*Payouts.* At the end of the experiment, the total Taler balances were converted to Philippine Peso using an exchange rate [1 PhP=15 Taler(for INDIV and GROUP2) and 20 Taler(for GROUP3)]. Cash was immediately paid after the experiment. In addition, a participation fee of PhP 20 as a compensation for their time was also added.

### 3. Results





**Figure 2.** Proportion of total decisions per period allocated to RISKown, RISKexpert, and RISKfree options.

*Did groups rely more on experts than individuals? Did they choose riskier options as compared to the risk-free options?*

The proportion of total decisions allocated to RISKown, RISKexpert, and RISKfree options with respect to each of the treatments (INDIV, GROUP2, GROUP3) is shown in figure 2. INDIV participants have a higher reliance on the experts and choose the RISKfree options more rather than making the decisions by themselves as compared to both GROUP2 and GROUP3 participants. We found from running a Mann Whitney U-test that there are significant differences between the samples. For the decisions made by the participants themselves (RISKown), there is clearly gender and group effects that differentiates the treatments. For decisions delegated to experts (RISKexpert), FF, MMM, FMM, and FFF are derived from the same population. For decisions involving no risk (RISKfree), only FMM and FFF come from the same population.

Table 1: Probit Regression Model 1

Variable	RISKown		RISKexpert		RISKfree	
	Probit Coefficient	Marginal Effect	Probit Coefficient	Marginal Effect	Probit Coefficient	Marginal Effect
Constant	0.2469 ***	0.7517 ***	-0.4266 ***	0.1393 ***	-1.3624 ***	0.1055 ***
Group of 2	0.3489 ***	0.1057 ***	-0.7073 ***	-0.1479 ***	0.2009 *	0.0356 *
Group of 3	0.9863 ***	0.2989 ***	-1.1689 ***	-0.2445 ***	-0.3337 **	-0.0592 **
Period	0.0023	0.0007	-0.0089 ***	-0.0019 ***	0.0066 ***	0.0012 ***
F	0.1373 *	0.0416 *	-0.3727 ***	-0.0780 ***	0.2657 ***	0.0471 ***
FF	0.4120 ***	0.1249 ***	-0.1062	-0.0222	-0.5642 ***	-0.1001 ***
FM	0.3284 ***	0.0995 ***	-0.1124	-0.0235	-0.3551 ***	-0.0630 ***
FFM	-0.7161 ***	-0.2170 ***	0.9738 ***	0.2037 ***	0.1105	0.0196
FMM	-0.4634 ***	-0.1404 ***	0.5135 ***	0.1074 ***	0.2877 **	0.0510 **
FFF	-0.4381 ***	-0.1328 ***	0.6852 ***	0.1433 ***	0.0007	0.0001

\*\*\* - Significant at 99% confidence level  
 \*\* - Significant at 95% confidence level  
 \* - Significant at 90% confidence level

We then run a probit regression model (Model 1) to predict the probability that treatments would select either RISKown, RISKexpert, or RISKfree. From Model 1, we find evidence that GROUP2 and GROUP3 are .1057 and .2989 more likely to make the decisions on their own (RISKown) than INDIV. Female individuals are .0416 more likely to take the risk on their own than their male counterparts. Female pairs are also more likely to choose RISKown than a male dominated pair or a

mixed pair. An all-male trio is most likely to make the decision on their own than the *FFF*, *FFM*, and *FMM* counterparts. Only *Period* was the insignificant variable for the RISKown. For delegating the decisions to experts, we find that participants under the GROUP2 and GROUP3 treatments are less likely to delegate the decision by .1479 and .2444 respectively. Females are also .0779 less likely to delegate the decision than males. Female-male pairs and all-male trios are the least likely to delegate the decision to an expert. For choosing the RISKfree option, GROUP2 are .0356 more likely to chose the risk-free option while GROUP3 are less likely to choose this. Female individuals also prefer the risk-free options than male individuals. On the other hand, females in pairs are least likely to choose risk-free than male-male or female-male participants. All male trios are the least likely to choose the risk-free option.

Table 2: Probit Regression Model 2

Variable	RISKown		RISKexpert		RISKfree	
	Probit Coefficient	Marginal Effect	Probit Coefficient	Marginal Effect	Probit Coefficient	Marginal Effect
Constant	0.3456 ***	0.7517 ***	-0.5971 ***	0.1394 ***	-1.3170 ***	0.1056 ***
Group of 2	0.0749	0.0227	-0.3959 **	-0.0826 **	0.3114 *	0.0551 *
Group of 3	0.9401 ***	0.2843 ***	-0.9092 ***	-0.1897 ***	-0.6400 ***	-0.1132 ***
Period	-0.0024	-0.0007	-0.0006	-0.0001	0.0045	0.0008
F	0.1367 *	0.0413 *	-0.3695 ***	-0.0771 ***	0.2649 ***	0.0469 ***
FF	0.4164 ***	0.1259 ***	-0.1118	-0.0233	-0.5611 ***	-0.0992 ***
FM	0.3301 ***	0.0994 ***	-0.1175	-0.0245	-0.3499 ***	-0.0619 ***
FFM	-0.7156 ***	-0.2164 ***	0.9883 ***	0.2062 ***	0.1138	0.0201
FMM	-0.4641 ***	-0.1404 ***	0.5217 ***	0.1089 ***	0.3038 **	0.0537 **
FFF	-0.4401 ***	-0.1331 ***	0.6917 ***	0.1444 ***	0.0118	0.0021
Group2Period	0.0136 ***	0.0036 ***	-0.0158 ***	-0.0033 ***	-0.0055	-0.0010
Group3Period	0.0022	0.0006	-0.0135 **	-0.0028 **	0.0133 **	0.0024 **

\*\*\* - Significant at 99% confidence level  
 \*\* - Significant at 95% confidence level  
 \* - Significant at 90% confidence level

We then run another probit regression model (Model 2) for all three decisions with the addition of interacting variables *Group2Period* and *Group3Period* to account for the learning differences between the respective treatments. For the RISKown, the *Group2Period* indicates that the interacting variable increases the probability of choosing the RISKown by .0036. Likewise, both the interacting variables lead to a significant decrease in the probability of delegating the decision to an expert (RISKexpert). However, the *Group3Period* interacting variable leads to a .0023 increase in the risk-free option as well.

Table 3: Multinomial Probit Regression Model 1

Variable	Risk Own		Risk expert		Risk free	
	Probit Coefficient	Marginal Effect	Probit Coefficient	Marginal Effect	Probit Coefficient	Marginal Effect
Constant	0.4676 ***	0.7540 ***	Base Outcome	0.1401 ***	-0.9817 ***	0.1059 ***

Group of 2	0.9290	***	0.1142	***	Base Outcome	-0.1475	***	0.9569	***	0.0332	*
Group of 3	1.7068	***	0.2985	***	Base Outcome	-0.2437	***	0.8977	***	-0.0548	**
Period	0.0105	***	0.0007		Base Outcome	-0.0019	***	0.0169	***	0.0012	***
F	0.4508	***	0.0354		Base Outcome	-0.0777	***	0.6585	***	0.0423	***
FF	0.2927	*	0.1199	***	Base Outcome	-0.0206		-0.5133	**	-0.0993	***
FM	0.2631		0.0875	***	Base Outcome	-0.0248		-0.2641		-0.0627	***
FFM	-1.3684	***	-0.2142	***	Base Outcome	0.2031	***	-0.9639	***	0.0111	
FMM	-0.7643	***	-0.1474	***	Base Outcome	0.1049	***	-0.2610		0.0425	
FFF	-0.9400	***	-0.1347	***	Base Outcome	0.1433	***	-0.7825	**	-0.0086	
*** - Significant at 99% confidence level											
** - Significant at 95% confidence level											
* - Significant at 90% confidence level											

Table 4: Multinomial Probit Regression Model 2

Variable	Risk own				Risk expert				Risk free			
	Probit Coefficient		Marginal Effect		Probit Coefficient		Marginal Effect		Probit Coefficient		Marginal Effect	
Constant	0.7001	***	0.7540	***	Base Outcome	0.1401	***	-0.7429	***	0.1059	***	
Group of 2	0.4549	**	0.0298		Base Outcome	-0.0800	**	0.7219	***	0.0502	*	
Group of 3	1.3993	***	0.2927	***	Base Outcome	-0.1843	***	0.2629		-0.1084	***	
Period	-0.0009		-0.0008		Base Outcome	-0.0001		0.0054		0.0008		
F	0.4459	***	0.0351		Base Outcome	-0.0766	***	0.6504	***	0.0416	***	
FF	0.3014	*	0.1205	***	Base Outcome	-0.0220		-0.5028	**	-0.0985	***	
FM	0.2691		0.0874	***	Base Outcome	-0.0259		-0.2529		-0.0616	***	
FFM	-1.3892	***	-0.2153	***	Base Outcome	0.2061	***	-0.9938	***	0.0092		
FMM	-0.7726	***	-0.1497	***	Base Outcome	0.1054	***	-0.2612		0.0443	**	
FFF	-0.9477	***	-0.1366	***	Base Outcome	0.1438	***	-0.7787	**	-0.0073		
Group2Period	0.0238	***	0.0042	***	Base Outcome	-0.0034	***	0.0119		-0.0008		
Group3Period	0.0161	**	0.0006		Base Outcome	-0.0030	**	0.0302	***	0.0024	**	
*** - Significant at 99% confidence level												
** - Significant at 95% confidence level												
* - Significant at 90% confidence level												

To confirm the results of the individual probit models, we ran a multinomial probit regression model for both the Model 1 and the Model 2. The multinomial probit models take into account that the subjects can only choose one out of the three alternatives. Therefore, the three alternatives are mutually exclusive. The results produced by the different probit models yield the same interpretation. Groups are still less risk averse than individuals with GROUP3 being the least risk averse. They are the most in line with the profit maximizing strategy. Similar with the individual probit regression models, we could see that both GROUP2 and GROUP3 rely less on experts overtime. Lastly, for additional robustness checks, we also ran

several logit regression models (see Appendix D). We can see that both the probit and the logit regression models yield the same result and interpretations, hence we can conclude that the results produced by the two models are robust.

Generally, we see that there are differences among the investment decisions between individuals and groups. INDIV has a greater inclination of relying on experts and choosing the risk-free option than groups. Particularly, male individuals delegate the decisions more than their female counterparts while female individuals have a greater preference for the risk-free option. On the other hand, GROUP2 and GROUP3 are more geared towards making the decisions by themselves. Female pairs and male trios make the decision on their own more frequently than their pair and trio counterparts. Female pairs and all male trios are least likely to select the risk-free option. In terms of the existence of a learning curve, only GROUP2 had a significant learning curve.

Variables	Hot hand Fallacy						Gambler's Fallacy					
	INDIV		GROUP2		GROUP3		INDIV		GROUP2		GROUP3	
Constant	-0.0108		-0.0188		-0.0133		0.0235	***	0.0210	***	0.0217	***
Streak 0	0.0754	***	0.0723	***	0.0674	***	-		-		-	
Streak 1	0.0613	***	0.0604	***	0.0605	***	-		-		-	
Streak 2	0.0378	**	0.0412	**	0.0549	***	-0.0179	***	-0.0121	***	-0.0138	***
Streak 3	-		-		-		-0.0275	***	-0.0203	***	-0.0196	***
Streak 4	0.0497	**	0.0782	***	0.0306	*	-0.0374	***	-0.0273	***	-0.0257	***
Streak 5	0.0613	**	0.1079	***	0.1035	***	-0.0345	***	-0.0259	***	-0.0262	***
Streak 6	0.0380		0.0980	***	0.0897	***	-		-		-	

\*\*\* - Significant at 99% confidence level  
 \*\* - Significant at 95% confidence level  
 \* - Significant at 90% confidence level

Does the Hot Hand Fallacy exist in both individuals and groups?

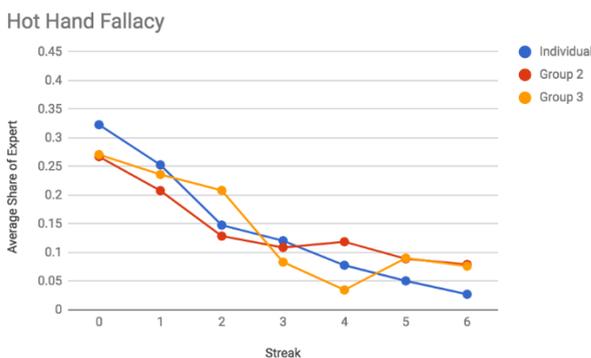
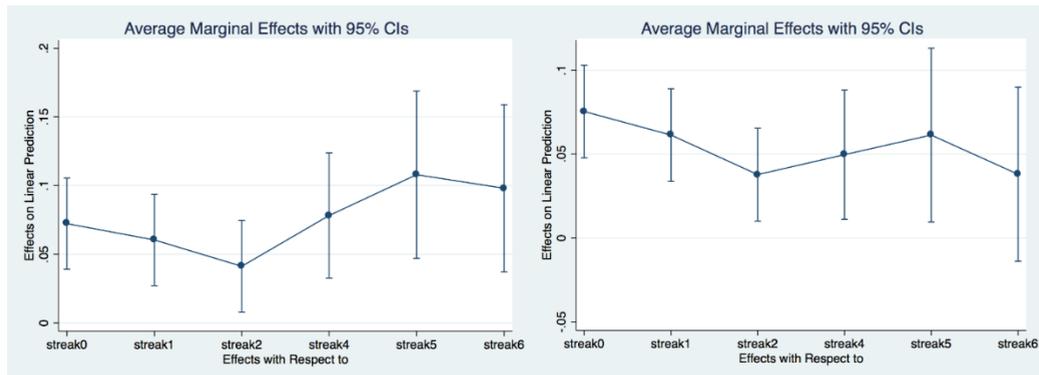


Figure 3. Average share of Expert against the streak of correct predictions

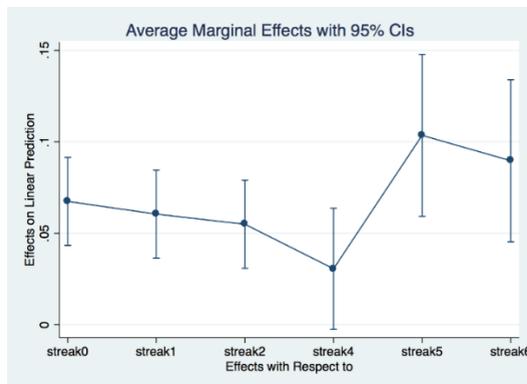
Figure 3 provides a graph that shows the percentage of decisions that are delegated to the experts conditional on the streaks of successful expert decisions. We plot the average share of decisions that expert *i* gains from all decisions under RISKexpert against his recent streaks of successful predictions. An unbiased decision by the market participants would lead to each expert gaining 1/5 of all decisions since we have a total of five experts in the industry. When a decision is unbiased, the past performances by the experts should not matter. We have observed and discovered a distinctly different

pattern for the hot hand fallacy as compared to previous literatures which had a steady increasing trend on the percentage decisions delegated to the experts as the streaks increased (Stöckl et al., 2014). In all treatments, one can easily see the percentage share of decisions that expert *i* loses despite his increasing correct predictions during lower streaks (below streaks of 3) while having an increasing percentage share for higher streaks (above streaks of 3). Since the participants are also given the experts' success rates from negative four periods back before the game actually started, it can be observed that the reliance on experts is quite high when there has been no streaks yet. The declining trend can be attributed to the participant's analysis and updating of beliefs regarding the experts ability since they are not explicitly aware of how experts make their decisions. The hot hand fallacy is observed when the treatments relied on the experts once again from the moment they have reached a certain number of correct predictions.



a) Individual

b) Group2



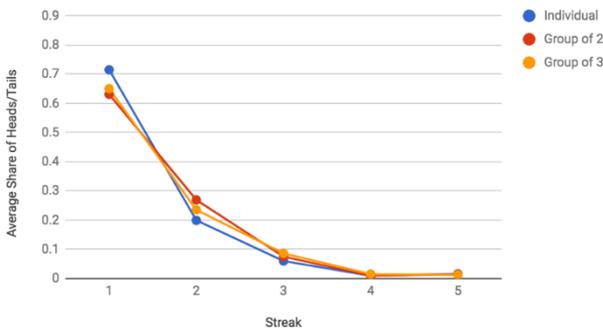
c) Group3

**Figure 4.** Average Marginal Effects for the Hot Hand Fallacy Tobit Regression

These were verified by running a tobit regression model where a streak of three correct predictions is the base dummy variable. For INDIV, there is a significant declining trend in the percentage of decisions delegated to expert *i* during periods of streaks of 0, streaks of 1, to streaks of 2 correct predictions. An expert *i* has a higher percentage share by 0.0754 when there is no streak while there is a lower percentage share for streaks of 1 and 2. However when expert *i* experiences a streak of 4 and streak of 5 only, his percentage share of decisions increased. For GROUP2, the same declining trend is significant except only until streaks of 2. An expert *i* has a higher percentage share by 0.0722 when there is no streak yet while his percentage share decreases for streak of 1 and streak of 2. When expert *i* experiences a streak of 4, streak of 5, and streak of 6, there is a higher percentage share increase by .0782, .1079, and .0980 respectively. For GROUP3, the declining trend is until streaks of 4. The percentage share increases by .1035 for streak of 5 although it declines to .0897 for streak of 6. We have observed that GROUP2 is the most prone to the hot hand fallacy.

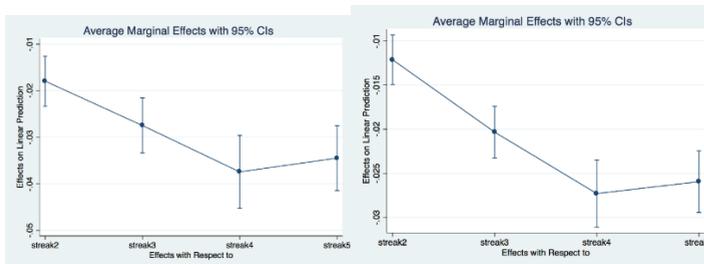
*Does the Gambler's Fallacy exist in both individuals and groups?*

Gambler's Fallacy

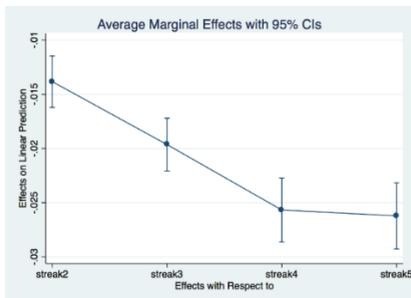


**Figure 5.** Average share of Heads/Tails against the frequency of appearance on past realizations/Streak.

Figure 5 shows the graph for the average frequency of choosing heads or tails depending on the streaks of head/tail realizations drawn immediately before from all decisions under RISKown. An unbiased behavior by the market participants should yield half of all RISKown decisions per each side of the coin. When a decision is unbiased, the past realizations of the coin should not influence the decision of the participants. In all treatments, we can see a declining trend in the average share of the side of the coin relative to the frequency of its appearance from previous realizations. During the first appearance of the coin side from previous realizations, if the participant selects the same side it is considered as a streak of 1. If the same side appears again and the participant selects the same side, it is considered as a streak of 2 and so on. During a streak of 1, all treatments would still opt to choose the same side as evidenced by the high rate of average share of the head/tail side. However, after a streak of two consecutive appearance, the average share of the coin side declines for all treatments with INDIV having the most decline. We can observe the gambler's fallacy when a side of a coin is chosen less frequently after the same side appeared in a streak of several identical realizations.



a) Individual b) Group2



c) Group3

**Figure 6.** Average Marginal Effects for the Gambler's Fallacy Tobit Regression

We run a tobit regression to verify the results with the dependent variable as the percentage share of the each side relative to the streaks of its previous appearances with the streak of 1 as the base dummy variable. For all treatments, the coefficients are getting more negative as the streaks increases. This is an indication of the gambler's fallacy as the percentage share of the coin side decreases as it appears more frequently in the previous realizations. For INDIV, the participants would have an average percentage share of a particular coin side of .0235 for a streak of 1. When the streak increases to 2, the percentage share of that coin side decreases by -.0179. When the streak increases to 3, the percentage share decreases further by -.0275. The greatest percentage share decrease happens in a streak of 4 with a decrease of -.0374. For GROUP2, the participants would have an average percentage share of .0210 for a streak of 1. The percentage share decreases by -.0121 when the streak increases to 2. The percentage share further declines by -.0203. The greatest percentage share decrease still happens in a streak of 4 by -.0275. For GROUP3, the participants would have an average percentage share of that coin side decreases by -.0138. When the streak increases to 3, the percentage share decreases further by -.0196. Unlike the other treatments, GROUP3 has the highest percentage decrease during a streak of 5.

Table 6. Treatment Average Earnings (in Taler)	
Treatment	Average Taler Earnings
INDIV	1,258.83
GROUP2	1,323.83
GROUP3	1,507.00

GROUP3 has the highest average earnings while INDIV has the lowest. If an individual decides to become part of a pair or a trio, he would receive a marginal earning of 65 Taler by being in pairs or 248.17 Taler by being in trios on average. If pairs were to include one more member in the group to become a trio, each member of the group could have earned an additional 183.17 Taler on average.

#### 4. Discussion

In terms of investment strategy, we find that groups make investment decisions differently from individuals. Particularly, they prefer to make the investment decisions on their own, not rely on experts, and choose the risk free option less. We also looked into some gender differences. In terms of the behavioral fallacies, we find that both groups and individuals alike are still prone to the hot hand fallacy and gambler's fallacy, but groups are marginally less prone indicating that there is a mitigation effect by being in a group. We find that trios are the least prone to the both biases, but does not completely eliminate it.

Our study presents new findings in both the hot hand fallacy and gambler's fallacy. We discovered pairs are the most prone to the hot hand fallacy while individuals are the most prone to the gambler's fallacy unlike in Stockl et. al (2015) where pairs are less prone to both fallacies as compared to individuals. We also discovered a different trend for the hot hand fallacy where participants actually chose the experts less during lower streaks of correct predictions (below streaks of 3) and relied on them during periods of higher streaks only (above streaks of 3) unlike in previous literatures which observed an upward trend in the share among all experts when their streaks increased even at low levels (Stockl et al., 2015)

A key assumption of the study is that participants possess common knowledge in maximizing returns. Therefore, using students as participants for the study is deemed to be sufficient as using actual investors. We give particular importance on the design of the experts in the experiment. It may be criticized that their expertise is unconvincing since the study only has two outcomes, thus the probability for correctly predicting the coin toss by oneself is relatively high. This indicates that convincing the participants that the experts possess expertise in an environment where one outcome has a 50% probability of happening may have posed a challenge. Additionally, the researchers recognize that the pricing of the services offered by an expert could be further improved by dividing the cost into fixed and variable fees, especially since this represents a more accurate picture of how experts are in reality. Lastly, the researchers recommend that further studies expand the group size in order to discover the boundary condition or the optimal group size with the greatest mitigation effect to the hot hand and gambler's fallacies. This study only focused on discovering the minimum group size where the mitigation effect begins.

To address our first research question on investment strategy, we tested the hypothesis that groups rely less on experts and choose riskier options as compared to individuals. Our main finding is that groups are far better optimizers of their investment returns than individuals since the latter had chosen more RISKexpert and RISKfree options, which provided a lesser payoff as compared to choosing the RISKown option.

In terms of a profit maximizing strategy in decision making, we look at the RISKown option. We discovered that groups make investment decisions closer to the expected return maximization than individuals since RISKown decisions yield higher returns than RISKexpert and RISKfree. Both GROUP treatments chose the RISKown option more and the RISKexpert and RISKfree options less. However, GROUP3 has the best profit maximizing strategy among all treatment from the Probit Regression Model 1. Conversely, this signifies that INDIV strays from the payoff maximizing strategy because they relied more on the experts and selected the guaranteed return more often.

In terms of expert reliance, we look at the RISKexpert option. It is important to remember that the so-called "experts" are mere randomizers, but the participants are not made aware of this. By virtue of their titles as experts, participants had relied on their predictions and paid a certain fee. We found that both GROUP treatments had relied less on the experts as evidenced by their negative significant coefficients under the regression model with GROUP3 relying on the experts the least. On the other hand, we find that INDIV had the highest reliance on experts. This implies that INDIV prefers to be less in control with the outcome of their decisions because they have higher proportions of decisions delegated to RISKexpert and more RISKfree options. Additionally, we find that INDIV had steadily relied on the experts throughout the duration of the experiment. There is no period where INDIV participants did not invest in an expert.

In terms of risk aversion, we look at the RISKfree option. The higher frequency of RISKfree decisions indicates a higher level of risk aversion because the RISKfree option guarantees a small return with no possibility of a loss. INDIV selected the RISKfree option the most and is thus the most risk averse. We find that both GROUP treatments have a lower risk aversion because they chose the RISKfree option less. However, GROUP3 has the lowest risk aversion in comparison to GROUP2. During the last five periods of the experiment, it is interesting to note that all treatments selected the RISKfree option more because they were trying to shield their earnings from any possible losses.

Since the experts in the experiments were mere randomizers, we explored the possibility whether the treatments would realize that there is in fact no expert opinion. This is made possible by adding an interacting variable *Period* to the treatment variables. We find that *Group2Period* and *Group3Period* are actually significant with negative marginal effects indicating that the likelihood of delegating their decision to an expert actually decreases for every period. As time progresses, GROUP2 and GROUP3 treatments relied less on the experts than their INDIV counterparts. This suggests that both GROUP treatment exhibits a learning curve while INDIV does not. By learning curve, we imply that they are slowly beginning to realize that delegating the decision to an expert will not give them the maximum results and that the experts are merely randomizing their predictions.

When we decompose the investment strategy by gender differences, we show significant results for RISKown, RISKexpert, and RISKfree. In terms of RISKown, female INDIV, female GROUP2, and all-male GROUP3 are the most likely to make the decisions on their own respectively. They prefer being in control of the outcome of their decisions and employ the most profit maximizing strategy. In terms of RISKexpert, female INDIV, female-male GROUP2, and all-male GROUP3 are the least likely to delegate the decisions to the experts respectively. They show greater skepticism in the ability of the experts. In terms of RISKfree, female INDIV, male GROUP2, and female-male-male GROUP3 prefer the RISKfree option the most.

To address our second research question on behavioral fallacies, we tested the hypothesis that being in groups can lessen the overall proneness to the hot hand and gambler's fallacies, and there exist a minimum group size for the mitigation effect. Our main finding is that while both individuals and groups are prone to the hot hand fallacy and gambler's fallacy, groups are less influenced as compared to individuals. Specifically, GROUP3 is the least prone to both fallacies.

In analyzing the existence of the hot hand fallacy, we noticed a difference from previous literatures that have observed an increasing trend as the streaks increased (Stöckl et al., 2015). In our results, we noticed a different general pattern of behavior. Initially, experts are chosen more frequently when they correctly predict the most recent previous period as compared to when they correctly predict the outcome of two and three periods back. Additionally, they are again selected more frequently after they have reached a certain number of correct streaks. Therefore, we observed a declining trend in choosing an expert during lower streaks (streaks below 3), but an increasing trend during higher streaks (streaks above 3). The hot hand fallacy is only observed for all treatments when they select an expert after that expert has reached a certain number of correct predictions.

In all treatments, the high frequency of choosing an expert when they predicted the most recent period correctly can be attributed to what we refer to as the “recency effect.” Subjects are more influenced by the latest information presented to them when faced with a list of information for immediate free recall (Baddeley and Hitch, 1993). The decline in the frequency during correct streaks of 2 and 3 can be attributed to the wariness of the subjects regarding the expert’s ability. Since they were not explicitly informed about how experts come up with their predictions, the subjects are observing the experts and updating their previous beliefs regarding the expert’s abilities. It is only when the experts reach a certain number of correct predictions that the subjects begin to select the experts once again. This is an indication of the hot hand fallacy similarly observed by Stock et. al (2015). We find that INDIV and GROUP2 are more prone to the hot hand fallacy because they began to select the experts more frequently once again for streaks of 4 and 5. We consider GROUP3 as the least prone to the hot hand fallacy because they only selected the experts again after a streak of 5.

In analyzing the gambler’s fallacy, we observed that the frequency of a particular coin side being selected decreases as the streaks of the opposite side increased. This is evidenced by the negative coefficients in the regression results. As the streak used in the regression increases, all coefficients become more negative, which is a clear indication of the proneness to the gambler’s fallacy. This is in line with the findings by Stöckl et al. (2015) where the frequency of selecting the opposite outcome increases as streaks of the same side realized increased.

INDIV is the most prone to the gambler’s fallacy among all treatments since it has the most negative coefficients across all streaks and the greatest incremental change between streaks. Consequently, GROUP3 is the least prone to the gambler’s fallacy as it has the lowest incremental change in coefficients between streaks.

After analyzing the treatments, we find evidence that groups are superior to individuals in terms of their investment strategy. Specifically, we find that GROUP2 shows significant learning curves on both RISKown and RISKexpert decisions while GROUP3 only has a significant learning curve on RISKexpert decisions. INDIV has no significant learning curves on both RISKown and RISKexpert. Comparing the magnitude of the learnings curves for RISKexpert, GROUP3 has a faster learning rate since it has a greater negative coefficient indicating it began to rely less on the experts earlier than GROUP2. Examining both the hot hand and gambler’s fallacies, we find GROUP3 is the least influenced. Contrary to previous literature, we have found evidence that deciding individually can mitigate the effect of the hot hand fallacy rather than working in pairs since results suggest that pairs are actually the most prone to the hot hand fallacy. On the other hand, our findings on the gambler’s fallacy support existing literature that INDIV is the most prone to the gambler’s fallacy.

Some investment decisions made by individuals can also be made by groups. From the findings of our study, we recommend group investment decisions because of their more optimal investment strategy and less proneness to the hot hand and gambler’s fallacies. After collectively taking into consideration all criteria, we find that GROUP3 is the most efficient treatment. It is more superior to GROUP2 because it is the least prone to the fallacies and have better investment strategies whereas GROUP2 is actually the most prone to the hot hand fallacy. Comparing INDIV and GROUP3, where INDIV represents an individual expert and GROUP3 representing an investment trio, we find evidence that investment trios make better investment strategies than experts as seen by our results. The results are in agreement with O’Leary (2011) and the Organization Theory where group performances, notably triads, mitigate the effects of biases, but the impact is not completely removed. For this study, we identify GROUP3 as the minimum group size where the mitigation impact is first felt.

As a policy implication, we recognize the benefits of forming investment clubs. Investment clubs are formed by non-professional investors who pool their money into a common fund and make investment decisions together. After establishing the minimum group size that mitigates the impact of the fallacies, we believe that the ideal investment club size is a triad. After factoring in the risk appetites of the investors, the triad can be further decomposed into specific genders. An all-male triad employs a more profit-maximizing strategy and higher risk appetite. However, for those who prefer a more risk-averse approach despite being less optimal, the composition of the triad should be female-male-male.

Investment clubs are applicable in settings where people would want to earn money through speculative markets such as the stock and bond markets when there are new information and opportunities to invest. We believe that the goals of the investment clubs are in line with the profit maximizing strategy supported by the rational choice theory since gathering a crowd to decide on investment strategies are found to be the smarter decision (Goldstein et al., 2014). This further heightens the implications of the Wisdom of Crowds where pooling non-professional investors together create superior decisions versus relying on the wisdom of the experts on investing.

Informal theory on financial economics provides that one of the investment strategies in maximizing returns is to buy low and sell high to reap capital gains (Raymundo, 2018). However, individual investors behave oppositely as they prefer to

buy winning stocks and sell losing stocks (Johnson, Tellis, & Macinnis, 2005) since they are more prone to the hot hand fallacy, believing that the respective increase and decrease in prices will continue in the future periods. Since our results suggest that triads are the least affected by these behavioral biases, therefore they are more inclined in buying at low prices and selling at high prices, thus subsequently aligning their decisions with the objective of reaping the maximum capital gains available in accordance with their reaction on all available information on future prices.

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APPENDIX

Appendix A: Coin Realizations and Expert Performance

Period	Coin	Expert 1	Expert 2	Expert 3	Expert 4	Expert 5
1	Tail	L	W	W	L	L
2	Head	W	W	W	L	W
3	Tail	W	L	W	L	L
4	Head	W	L	L	L	W
5	Tail	L	L	L	L	L
6	Tail	L	W	L	W	W
7	Tail	W	W	W	W	L
8	Head	W	L	L	L	L
9	Head	W	L	L	L	L
10	Head	L	W	W	W	L
11	Tail	L	L	W	L	L
12	Head	L	W	W	W	W
13	Tail	L	L	W	L	L
14	Head	W	L	W	L	L
15	Tail	W	W	L	L	L
16	Tail	W	W	W	L	W
17	Tail	L	L	W	L	L
18	Head	L	L	W	W	L
19	Tail	W	L	L	W	W
20	Tail	L	W	L	W	W
21	Head	L	W	W	L	W
22	Tail	W	L	W	L	L
23	Tail	W	W	L	L	L
24	Head	W	L	L	W	L
25	Head	L	L	W	W	W
26	Head	L	W	L	L	W
27	Tail	L	W	L	W	W
28	Head	W	W	W	L	L
29	Head	L	L	L	L	L
30	Tail	W	W	W	W	L
31	Tail	L	L	W	W	W
32	Head	W	L	L	L	L
33	Head	L	W	W	W	W
34	Head	L	W	L	W	W
35	Head	L	W	W	L	W
36	Head	L	L	L	W	L
37	Tail	L	W	W	W	L
38	Head	W	W	L	L	L
39	Tail	L	W	L	L	L
40	Tail	W	L	L	L	L

Source: Stockl et al. (2015)

Appendix B: Screens used during the experiment

## GROUP: How would you like to play this round?

### Choice

- I want a guaranteed return!
- I want to test my luck today!

NEXT

## Decision Screen

### Period Forty

1st: T	11th: T	21th: H	31th: T
2nd: H	12th: H	22th: T	32th: H
3rd: T	13th: T	23th: T	33th: H
4th: H	14th: H	24th: H	34th: H
5th: T	15th: T	25th: H	35th: H
6th: T	16th: T	26th: H	36th: H
7th: T	17th: T	27th: T	37th: T
8th: H	18th: H	28th: H	38th: H
9th: H	19th: T	29th: H	39th: T
10th: H	20th: T	30th: T	40th: T

Period	Expert 1	Expert 2	Expert 3	Expert 4	Expert 5
<b>RATE</b>	40%	60%	20%	40%	0%
t=40	W	L	L	L	L
t=39	L	W	L	L	L
t=38	W	W	L	L	L
t=37	L	W	W	W	L
t=36	L	L	L	W	L

## Results Screen

A	B	C	D	E	F	G	H	I	J	K	L
Period	Decide on your own	Expert	Sure Return				Payoff				Current Balance
1	Heads			SAME	SAME	SAME	-50				1685
				SAME	SAME	SAME	0				
2	Tails			SAME	SAME	SAME	-50				
				SAME	SAME	SAME	0				
3		5		SAME	SAME	SAME	-55				
				SAME	SAME	SAME	0				
4		3		SAME	SAME	SAME	-55				
				SAME	SAME	SAME	0				
5		1		SAME	SAME	SAME	-55				
				SAME	SAME	SAME	0				
6	Heads			SAME	SAME	SAME	-50				
				SAME	SAME	SAME	0				
7	Heads			SAME	SAME	SAME	-50				
				SAME	SAME	SAME	0				
8	Heads			SAME	SAME	SAME	100				
				SAME	SAME	SAME	0				
9	Heads			SAME	SAME	SAME	100				
				SAME	SAME	SAME	0				
10	Tails			SAME	SAME	SAME	-50				
				SAME	SAME	SAME	0				
11	Tails			SAME	SAME	SAME	100				
				SAME	SAME	SAME	0				

## Trading Screen

## Appendix C: Talers earned

Tag Number	Taler Earned	Tag Number	Taler Earned	Tag Number	Taler Earned
I-000	1,570.00	G-000.a	545.00	K-000.a	-
I-001	1,350.00	G-001.a	1,685.00	K-001.a	1,350.00
I-002	550.00	G-002.a	750.00	K-002.a	2,290.00
I-003	1,640.00	G-003.a	1,015.00	K-003.a	2,090.00
I-004	1,020.00	G-004.a	1,800.00	K-004.a	1,550.00
I-005	2,170.00	G-005.a	1,490.00	K-005.a	1,350.00
I-006	930.00	G-006.a	555.00	K-006.a	925.00
I-007	895.00	G-007.a	1,500.00	K-007.a	2,440.00
I-008	1,500.00	G-008.a	900.00	K-008.a	1,000.00
I-009	665.00	G-009.a	1,150.00	K-009.a	1,700.00
I-010	760.00	G-010.a	1,405.00	K-010.a	1,485.00
I-011	1,345.00	G-011.a	2,195.00	K-011.a	1,855.00
I-012	995.00	G-012.a	1,085.00	K-012.a	1,465.00
I-013	1,995.00	G-0.13.a	1,870.00	K-013.a	715.00
I-014	1,115.00	G-0.14.a	1,660.00	K-014.a	2,250.00
I-015	1,760.00	G-015.a	1,090.00	K-015.a	1,500.00
I-016	1,200.00	G-016.a	1,950.00	K-016.a	800.00
I-017	1,160.00	G-017.a	2,095.00	K-017.a	1,730.00
I-018	1,420.00	G-018.a	1,800.00	K-018.a	2,005.00
I-019	1,550.00	G-019.a	2,085.00	K-019.a	1,745.00
I-020	1,350.00	G-020.a	645.00	K-020.a	1,645.00
I-021	520.00	G-021.a	-	K-021.a	375.00
I-022	585.00	G-022.a	1,035.00	K-022.a	1,330.00
I-023	1,315.00	G-023.a	1,160.00	K-023.a	1,205.00
I-024	1,135.00	G-024.a	1,450.00	K-024.a	1,445.00
I-025	1,520.00	G-025.a	280.00	K-025.a	2,005.00
I-026	-	G-026.a	1,375.00	K-026.a	1,455.00
I-027	1,150.00	G-027.a	325.00	K-027.a	1,640.00
I-028	850.00	G-028.a	950.00	K-028.a	1,280.00
I-029	2,095.00	G-029.a	1,920.00	K-029.a	1,350.00
I-030	1,655.00	G-030.a	1,950.00	K-030.a	1,235.00

Appendix D: Logit Regression Results

Logit Regression Model 1												
Variable	RISKown			RISKexpert				RISKfree				
	Logit Coefficient		Marginal Effect	Logit Coefficient		Marginal Effect	Logit Coefficient		Marginal Effect			
Constant	0.3986	***	0.7517	***	-0.6860	***	0.1393	***	-2.3409	***	0.1056	***
Group of 2	0.5733	***	0.1022	***	-1.2720	***	-0.1455	***	0.3692	*	0.0342	*
Group of 3	1.7248	***	0.3075	***	-2.2164	***	-0.2535	***	-0.6565	**	-0.0608	**
Period	0.0036		0.0006		-0.0150	***	-0.0017	***	0.0122	**	0.0011	**
F	0.2227	*	0.0397	*	-0.6441	***	-0.0737	***	0.4901	***	0.0454	***

FF	0.7219	***	0.1287	***	-0.2001		-0.0229		-1.1068	***	-0.1024	***
FM	0.5712	***	0.1018	***	-0.2145		-0.0245		-0.6706	***	-0.0621	***
FFM	-1.2813	***	-0.2284	***	1.8813	***	0.2151	***	0.5675		0.0210	
FMM	-0.8532	***	-0.1521	***	1.0511	***	0.1202	***	0.2269	**	0.0525	**
FFF	-0.8111	***	-0.1446	***	1.3845	***	0.1583	***	-0.0126		-0.0012	
*** - Significant at 99% confidence level												
** - Significant at 95% confidence level												
* - Significant at 90% confidence level												

### Logit Regression Model 2

Variable	RISKown				RISKexpert				RISKfree			
	Logit Coefficient		Marginal Effect		Logit Coefficient		Marginal Effect		Logit Coefficient		Marginal Effect	
Constant	0.5556	***	0.7517	***	-0.9738	***	0.1394	***	-2.2527	***	0.1056	***
Group of 2	0.0969		0.0172		-0.6505	**	-0.0743	**	0.5894	*	0.0551	*
Group of 3	1.6545	***	0.2943	***	-1.7473	***	-0.1995	***	-1.3307	***	-0.1132	***
Period	-0.0040		-0.0007		-0.0007		-0.0001		0.0081		0.0008	
F	0.2227	*	0.0396	*	-0.6409	***	-0.0732	***	0.4895	***	0.0469	***
FF	0.7276	***	0.1294	***	-0.2020		-0.0231		-1.1050	***	-0.0992	***
FM	0.5759	***	0.1025	***	-0.2165		-0.0247		-0.6693	***	-0.0619	***
FFM	-1.2809	***	-0.2279	***	1.8904	***	-0.2159	***	0.2292		0.0201	
FMM	-0.8530	***	-0.1518	***	1.0545	***	0.1204	***	0.5742	**	0.0537	**
FFF	-0.8109	***	-0.1443	***	1.3899	***	0.1587	***	-0.0127		0.0021	
Group2Period	0.0238	***	0.0042	***	-0.0330	***	-0.0038	***	-0.0106		-0.0010	
Group3Period	0.0034		0.0006		-0.0244	**	-0.0028	**	0.0292	**	0.0024	**
*** - Significant at 99% confidence level												
** - Significant at 95% confidence level												
* - Significant at 90% confidence level												

### Multinomial Logit Regression Model 1

Variable	Risk Own		Risk expert		Risk free	
	Logit Coefficient	Marginal Effect	Logit Coefficient	Marginal Effect	Logit Coefficient	Marginal Effect

Constant	0.5421	***	0.7540	***	Base Outcome	0.1402	***	-1.3863	***	0.1059	***
Group of 2	1.2449	***	0.1129	***	Base Outcome	-0.1451	***	1.3855	***	0.0322	*
Group of 3	2.3233	***	0.3065	***	Base Outcome	-0.2517	***	1.3470	***	0.0548	**
Period	0.0136	***	0.0006		Base Outcome	-0.0017	***	0.0234	***	0.0011	**
F	0.5934	***	0.0323		Base Outcome	-0.0734	***	0.9379	***	0.0411	**
FF	0.3237		0.1206	***	Base Outcome	-0.0196		-0.8184	**	-0.1010	***
FM	0.3137		0.0864	**	Base Outcome	-0.0250		-0.3993		-0.0613	***
FFM	-1.9147	***	-0.2244	***	Base Outcome	0.2131	***	-1.4751	***	0.0113	
FMM	-1.1060	***	-0.1600	***	Base Outcome	0.1170	***	-0.4588		0.0430	
FFF	-1.3910	***	-0.1463	***	Base Outcome	0.1581	***	-1.2869	**	-0.0118	
*** - Significant at 99% confidence level											
** - Significant at 95% confidence level											
* - Significant at 90% confidence level											

Multinomial Logit Regression Model 2

Variable	Risk own				Risk expert				Risk free			
	Logit Coefficient		Marginal Effect		Logit Coefficient		Marginal Effect		Logit Coefficient		Marginal Effect	
Constant	0.8359	***	0.7540	***	Base Outcome	0.1402	***	-1.0552	***	0.1059	***	
Group of 2	0.5675	**	0.0225		Base Outcome	-0.0718	**	1.0052	***	0.0493	*	
Group of 3	1.8792	***	0.3089	***	Base Outcome	-0.1910	***	0.2939		-0.1179	***	
Period	-0.0011		-0.0008		Base Outcome	0.0000		0.0072		0.0008		
F	0.5897	***	0.0321		Base Outcome	-0.0729	***	0.9318	***	0.0408	**	
FF	0.3288		0.1208	***	Base Outcome	-0.0201		-0.8128	**	-0.1007	***	
FM	0.3172		0.0865	**	Base Outcome	-0.0254		-0.3952		-0.0611	***	
FFM	-1.9204	***	-0.2236	***	Base Outcome	0.2136	***	-1.4921	***	0.0101		
FMM	-1.1053	***	-0.1597	***	Base Outcome	0.1167	***	-0.4573		0.0430		
FFF	-1.3951	***	-0.1459	***	Base Outcome	0.1584	***	-1.2989	**	-0.0126		
Group2Period	0.0357	***	0.0047	***	Base Outcome	-0.0039	***	0.0213		-0.0008		
Group3Period	0.0232	**	0.0003		Base Outcome	-0.0031	**	0.0493	***	0.0028	**	
*** - Significant at 99% confidence level												
** - Significant at 95% confidence level												
* - Significant at 90% confidence level												

. ranksum own, by( MM)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

MM	obs	rank sum	expected
0	8599	37904848	38695500
1	400	2590652	1800000
combined	8999	40495500	40495500

unadjusted variance 2.580e+09

adjustment for ties -9.523e+08

adjusted variance 1.627e+09

Ho: own(MM==0) = own(MM==1)

z = -19.599

Prob > |z| = 0.0000

. ranksum own, by( F)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

F	obs	rank sum	expected
0	8359	36560134	37615500
1	640	3935366.5	2880000
combined	8999	40495500	40495500

unadjusted variance 4.012e+09

adjustment for ties -1.481e+09

adjusted variance 2.531e+09

Ho: own(F==0) = own(F==1)

z = -20.977

Prob > |z| = 0.0000

. ranksum own, by( M)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

M	obs	rank sum	expected
0	8439	37180853	37975500
1	560	3314647.5	2520000
combined	8999	40495500	40495500

unadjusted variance 3.544e+09

adjustment for ties -1.308e+09

adjusted variance 2.236e+09

Ho: own(M==0) = own(M==1)

z = -16.805

Prob > |z| = 0.0000

. ranksum own, by( FM)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

FM	obs	rank sum	expected
0	8679	38287094	39055500
1	320	2208406.5	1440000
combined	8999	40495500	40495500

unadjusted variance 2.083e+09

adjustment for ties -7.689e+08

adjusted variance 1.314e+09

Ho: own(FM==0) = own(FM==1)

z = -21.198

Prob > |z| = 0.0000

Appendix E:

### Mann Whitney U-test for RISKown

. ranksum own, by(FF)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

FF	obs	rank sum	expected
0	8519	37140145	38335500
1	480	3355355	2160000
combined	8999	40495500	40495500

unadjusted variance 3.067e+09

adjustment for ties -1.132e+09

adjusted variance 1.935e+09

Ho: own(FF==0) = own(FF==1)

z = -27.176

Prob > |z| = 0.0000

. ranksum own, by(FFM)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

FFM	obs	rank sum	expected
0	8719	38714440	39235500
1	280	1781060	1260000
combined	8999	40495500	40495500

unadjusted variance 1.831e+09

adjustment for ties -6.759e+08

adjusted variance 1.155e+09

Ho: own(FFM==0) = own(FFM==1)

z = -15.332

Prob > |z| = 0.0000

. ranksum own, by(FFF)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

FFF	obs	rank sum	expected
0	8799	39146180	39595500
1	200	1349320	900000
combined	8999	40495500	40495500

unadjusted variance 1.320e+09

adjustment for ties -4.872e+08

adjusted variance 8.326e+08

Ho: own(FFF==0) = own(FFF==1)

z = -15.572

Prob > |z| = 0.0000

. ranksum own, by(FMM)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

FMM	obs	rank sum	expected
0	8559	37540495	38515500
1	440	2955005.5	1980000
combined	8999	40495500	40495500

unadjusted variance 2.824e+09

adjustment for ties -1.043e+09

adjusted variance 1.782e+09

Ho: own(FMM==0) = own(FMM==1)

z = -23.098

Prob > |z| = 0.0000

```
. ranksum own, by( M)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
```

M	obs	rank sum	expected
0	8439	37180853	37975500
1	560	3314647.5	2520000
-----			
combined	8999	40495500	40495500

```
unadjusted variance 3.544e+09
adjustment for ties -1.308e+09
adjusted variance 2.236e+09

Ho: own(M==0) = own(M==1)
z = -16.805
Prob > |z| = 0.0000
```

```
. ranksum own, by(MMM)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
```

MMM	obs	rank sum	expected
0	8719	38480466	39235500
1	280	2015034	1260000
-----			
combined	8999	40495500	40495500

```
unadjusted variance 1.831e+09
adjustment for ties -6.759e+08
adjusted variance 1.155e+09

Ho: own(MMM==0) = own(MMM==1)
z = -22.216
Prob > |z| = 0.0000
```

```
. ranksum expert, by( M)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
```

M	obs	rank sum	expected
0	8439	37432136	37975500
1	560	3063364	2520000
-----			
combined	8999	40495500	40495500

```
unadjusted variance 3.544e+09
adjustment for ties -2.984e+09
adjusted variance 5.601e+08

Ho: expert(M==0) = expert(M==1)
z = -22.960
Prob > |z| = 0.0000
```

```
. ranksum own, by( F)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
```

F	obs	rank sum	expected
0	8359	36560134	37615500
1	640	3935366.5	2880000
-----			
combined	8999	40495500	40495500

```
unadjusted variance 4.012e+09
adjustment for ties -1.481e+09
adjusted variance 2.531e+09

Ho: own(F==0) = own(F==1)
z = -20.977
Prob > |z| = 0.0000
```

```
. ranksum expert, by( MM)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
```

MM	obs	rank sum	expected
0	8599	38624919	38695500
1	400	1870581	1800000
-----			
combined	8999	40495500	40495500

```
unadjusted variance 2.580e+09
adjustment for ties -2.172e+09
adjusted variance 4.076e+08

Ho: expert(MM==0) = expert(MM==1)
z = -3.496
Prob > |z| = 0.0005
```

```
. ranksum expert, by( FM)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
```

FM	obs	rank sum	expected
0	8679	39023333	39055500
1	320	1472167.5	1440000
-----			
combined	8999	40495500	40495500

```
unadjusted variance 2.083e+09
adjustment for ties -1.754e+09
adjusted variance 3.291e+08

Ho: expert(FM==0) = expert(FM==1)
z = -1.773
Prob > |z| = 0.0762
```

```
. ranksum expert, by( FF)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
```

FF	obs	rank sum	expected
0	8519	38284999	38335500
1	480	2210501	2160000
-----			
combined	8999	40495500	40495500

```
unadjusted variance 3.067e+09
adjustment for ties -2.582e+09
adjusted variance 4.846e+08

Ho: expert(FF==0) = expert(FF==1)
z = -2.294
Prob > |z| = 0.0218
```

```
. ranksum expert, by( F)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
```

F	obs	rank sum	expected
0	8359	37303693	37615500
1	640	3191807.5	2880000
-----			
combined	8999	40495500	40495500

```
unadjusted variance 4.012e+09
adjustment for ties -3.378e+09
adjusted variance 6.340e+08

Ho: expert(F==0) = expert(F==1)
z = -12.383
Prob > |z| = 0.0000
```

```
. ranksum expert, by( MMM)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
-----+-----+-----+-----
      MMM |      obs   rank sum   expected
-----+-----+-----+-----
          0 |     8719   39256286   39235500
          1 |      280   1239214.5   1260000
-----+-----+-----+-----
    combined |     8999   40495500   40495500
-----+-----+-----+-----
unadjusted variance   1.831e+09
adjustment for ties   -1.542e+09
-----+-----+-----+-----
adjusted variance     2.893e+08

Ho: expert(MMM==0) = expert(MMM==1)
      z = 1.222
Prob > |z| = 0.2217

. ranksum expert, by( FFM)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
-----+-----+-----+-----
      FFM |      obs   rank sum   expected
-----+-----+-----+-----
          0 |     8719   39040310   39235500
          1 |      280   1455190.5   1260000
-----+-----+-----+-----
    combined |     8999   40495500   40495500
-----+-----+-----+-----
unadjusted variance   1.831e+09
adjustment for ties   -1.542e+09
-----+-----+-----+-----
adjusted variance     2.893e+08

Ho: expert(FFM==0) = expert(FFM==1)
      z = -11.475
Prob > |z| = 0.0000
```

### Appendix F: Mann Whitney U-test for RISKExpert

```
. ranksum expert, by( FMM)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
-----+-----+-----+-----
      FMM |      obs   rank sum   expected
-----+-----+-----+-----
          0 |     8559   38418963   38515500
          1 |      440   2076537    1980000
-----+-----+-----+-----
    combined |     8999   40495500   40495500
-----+-----+-----+-----
unadjusted variance   2.824e+09
adjustment for ties   -2.378e+09
-----+-----+-----+-----
adjusted variance     4.463e+08

Ho: expert(FMM==0) = expert(FMM==1)
      z = -4.570
Prob > |z| = 0.0000

. ranksum expert, by( FFF)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
-----+-----+-----+-----
      FFF |      obs   rank sum   expected
-----+-----+-----+-----
          0 |     8799   39519714   39595500
          1 |      200   975786    900000
-----+-----+-----+-----
    combined |     8999   40495500   40495500
-----+-----+-----+-----
unadjusted variance   1.320e+09
adjustment for ties   -1.111e+09
-----+-----+-----+-----
adjusted variance     2.086e+08

Ho: expert(FFF==0) = expert(FFF==1)
      z = -5.248
Prob > |z| = 0.0000

. ranksum expert, by( FFM)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
-----+-----+-----+-----
      M |      obs   rank sum   expected
-----+-----+-----+-----
          0 |     8439   37802931   37975500
          1 |      560   2692569    2520000
-----+-----+-----+-----
    combined |     8999   40495500   40495500
-----+-----+-----+-----
unadjusted variance   3.544e+09
adjustment for ties   -3.114e+09
-----+-----+-----+-----
adjusted variance     4.300e+08

Ho: free(M==0) = free(M==1)
      z = -8.322
Prob > |z| = 0.0000

. ranksum free, by( FM)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
-----+-----+-----+-----
      FM |      obs   rank sum   expected
-----+-----+-----+-----
          0 |     8679   38994814   39055500
          1 |      320   1500686.5   1440000
-----+-----+-----+-----
    combined |     8999   40495500   40495500
-----+-----+-----+-----
unadjusted variance   2.083e+09
adjustment for ties   -1.830e+09
-----+-----+-----+-----
adjusted variance     2.527e+08

Ho: free(FM==0) = free(FM==1)
      z = -3.817
Prob > |z| = 0.0001

. ranksum free, by( F)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
-----+-----+-----+-----
      F |      obs   rank sum   expected
-----+-----+-----+-----
          0 |     8359   37251154   37615500
          1 |      640   3244346    2880000
-----+-----+-----+-----
    combined |     8999   40495500   40495500
-----+-----+-----+-----
unadjusted variance   4.012e+09
adjustment for ties   -3.525e+09
-----+-----+-----+-----
adjusted variance     4.868e+08

Ho: free(F==0) = free(F==1)
      z = -16.513
Prob > |z| = 0.0000

. ranksum free, by( FF)
Two-sample Wilcoxon rank-sum (Mann-Whitney) test
-----+-----+-----+-----
      FF |      obs   rank sum   expected
-----+-----+-----+-----
          0 |     8519   38305214   38335500
          1 |      480   2190286.5   2160000
-----+-----+-----+-----
    combined |     8999   40495500   40495500
-----+-----+-----+-----
unadjusted variance   3.067e+09
adjustment for ties   -2.695e+09
-----+-----+-----+-----
adjusted variance     3.721e+08

Ho: free(FF==0) = free(FF==1)
      z = -1.570
Prob > |z| = 0.1164
```

### Appendix G: Mann Whitney U-test for RISKfree

. ranksum free, by( MM)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

MM	obs	rank sum	expected
0	8599	38497031	38695500
1	400	1998469.5	1800000
combined	8999	40495500	40495500

unadjusted variance 2.580e+09  
 adjustment for ties -2.267e+09  
 adjusted variance 3.130e+08

Ho: free(MM==0) = free(MM==1)  
 z = -11.218  
 Prob > |z| = 0.0000

. ranksum free, by(FFF)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

FFF	obs	rank sum	expected
0	8799	39579506	39595500
1	200	915994	900000
combined	8999	40495500	40495500

unadjusted variance 1.320e+09  
 adjustment for ties -1.160e+09  
 adjusted variance 1.601e+08

Ho: free(FFF==0) = free(FFF==1)  
 z = -1.264  
 Prob > |z| = 0.2063

. ranksum free, by( FFM)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

FFM	obs	rank sum	expected
0	8719	39194211	39235500
1	280	1301289.5	1260000
combined	8999	40495500	40495500

unadjusted variance 1.831e+09  
 adjustment for ties -1.609e+09  
 adjusted variance 2.222e+08

Ho: free(FFM==0) = free(FFM==1)  
 z = -2.770  
 Prob > |z| = 0.0056

. ranksum free, by( FMM)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

FMM	obs	rank sum	expected
0	8559	38396623	38515500
1	440	2098877.5	1980000
combined	8999	40495500	40495500

unadjusted variance 2.824e+09  
 adjustment for ties -2.482e+09  
 adjusted variance 3.427e+08

Ho: free(FMM==0) = free(FMM==1)  
 z = -6.422  
 Prob > |z| = 0.0000

. ranksum free, by( MMM)

Two-sample Wilcoxon rank-sum (Mann-Whitney) test

MMM	obs	rank sum	expected
0	8719	39212209	39235500
1	280	1283291.5	1260000
combined	8999	40495500	40495500

unadjusted variance 1.831e+09  
 adjustment for ties -1.609e+09  
 adjusted variance 2.222e+08

Ho: free(MMM==0) = free(MMM==1)  
 z = -1.563  
 Prob > |z| = 0.1181

## The Presence of Images in Education: Innovation or Not?

**Archontia Foutsitzi**

Laboratory Teaching Staff

Democritus University of Thrace

### Abstract

The presence of images in education has been the subject of study for many researchers. Their contribution and input to the educational process has been observed by many educationalists. It is for this reason that they are included within the texts of school textbooks and are used in various ways in the teaching of lessons. Images act as a catalyst when the teaching activity is carried out, because they are the most powerful and enduring educational tool at all levels of education.

**Keywords:** image, illustration, visual media, image and education.

### Introduction

The predominance of images in all the areas of our daily lives is now an undeniable reality. All the disciplines, economy, politics, society are inextricably linked to images, because their development and evolution is based on the visualisation of human activity. The economic, political and social environments, however, also interact with the educational environment. For this reason, images have also penetrated into education.

The presence of illustrations in the educational process is not a new phenomenon, but an old one. The contribution of images to the learning process was pointed out early on by many researchers. Important educators, such as Comenius (1592-1670), Rousseau (1712-1778) and Pestalozzi (1746-1827) emphasised the necessity of visual education (Hatzidimou, 2007) and for this reason textbooks started to be illustrated many centuries ago. The first books to contain images were manuscripts, known as codices. The invention of printing greatly facilitated the proliferation and spread of books, also including school books. It is worth pointing out that the presence of images in school textbooks in older periods was inferior in terms of numbers, variety and appearance. Today that has changed. The development of electronic systems has ushered in new printing techniques, noticeably improving the appearance of the images in books.

### Images in education

It is generally accepted that nowadays pupils are surrounded by visual media, both inside and outside of school. These media form part of the culture of the family and of the society in which they live and spend their lives. Moreover, they have become used to seeing them around them and to using them at home, at work, in their social life or their recreation. It was, therefore, to be expected that they themselves would become familiar with the use of a large number of them (AAP, 2011; Adams, 2011). Indeed, some of the media, such as television and the internet, have developed new ways to access information and knowledge for both children and adolescents as well as for adults. In these new ways of access images play a very important role.

According to the system theory (Bertalanffy, 1968; Schlippe & Schweitzer 2008), which is gaining ground in many areas of the Social Sciences, a school is an open subsystem of an (equally) open education system. The education system and schools are in constant communication and interaction both with each other as well as with other systems and subsystems. Within this context, the socio-economic environment, with its evolving features, cannot fail to influence, to a great extent, developments within education as well. Schools receive influences from the society and the economy. The contemporary media, which facilitate access to information, to notification about and the acquisition of knowledge, almost inevitably influence education and the reality of school. In these influences images, as is to be expected, occupy a leading position.

In this setting, which is inextricably linked with socio-economic facts of this current age, the following is a basic objective: the strategic use of images when teaching in order to help every pupil, who has grown up in an environment rich in technological media and who has become familiar with many of these, to find class interesting and to approach the learning

through them. At the same time, the development of digital technology has made images available to every teacher, who can incorporate them into his teaching in order to make it more attractive and interesting.

Is, then, the presence of images in education and especially in the practice of teaching an innovative feature? Certainly not! Teaching using images was, and continues to be, the main focus for the teaching of many subjects and topics. Indeed, for everybody images have been from long ago an integral educational tool in teaching lessons with an artistic and pictorial content, as well as in the teaching of the history of art. However, researchers today, when referring to the contribution of teaching media, maintain that not only the above-mentioned subjects, but most subjects can and should benefit from the use of images in the classroom (Hatzidimou & Taratori, 1992; Wileman, 1993; Hatzidimou & Hatzidimou, 2014; Taratori-Tsalkatidou, 2015).

What can and must be considered an innovation in our age is the abundance of images that there are and the ease with which teachers can use them in the classroom. Consequently, what makes the study of images in education topical is not the experimentation with some of these but the invasion of their contemporary forms into schools. This predominance is irreversible because it has been imposed through the social, economic and technological environment which is developed and determined to a great extent by images.

This invasion, which we can observe to have been taking place over the last few years at an accelerated rate, is inextricably linked with the gradual development of images in terms of their meaning, features and their production method. Images are directly linked not only with the printed matter, but primarily with Information and Communication Technology (ICT). Within this context images create transformations to the educational data, shaping new attitudes and opinions. These changes, which have been chronicled as 'phases of change' (Fullan, 2015), naturally also create similar queries or questions about the impact they have and exercise on education.

In the maelstrom of this invasion, an investigation into the usefulness of images is of considerable interest. Their effectiveness as didactic tools has an influence to a great extent on the effectiveness of the entire educational process. The findings of the research carried out until now have not been negative. Moreover, many academics (Gibbs, Friese & Mangabeira, 2002) have maintained that images are the most effective way of presenting abstract concepts. According to other opinions (Stamatis, 2013), the use of images in the classroom stimulates discussion and dialogue, because it leads to increased interactivity between the teacher and the pupil, which has a positive effect on the communication between them (Harris, 2006). Many researchers, including Harrison (2002), state that images help to create an understanding of how things are and/or how they should be. Finally, it has been pointed out that teaching with images and the acquisition of visual literacy skills contribute to the development of the pupils' critical thinking (Harris, 2006).

What is definitely apparent is that images increase the attractiveness of the educational process and help schools to adapt to current developments. In this way, schools become more accessible to the pupils' experiences outside of school. Otherwise, there would be an invisible difference between the reality of society and that of schools, so that eventually those living on one side would become completely indifferent to those who live on the other side. In such a case, the indifference between a world with images and a teaching process without images would turn in the least attractive direction: the one which refuses any images.

Apart from the fact that images are a dynamic means of acquiring knowledge and understanding concepts (Pink, Kurti & Afonso, 2004), the scientific and academic dialogue about the educational use of images has not yet been exhausted. Studies based on mainly experimental methods and carried out within the classroom highlight not just the contribution but also the necessity for the use of images in the teaching of the natural sciences (Lemke, 1998; Pinto, 2002) and of mathematics (Laughbaum, 2011), in particular when the project method is used (Taratori-Tsalkatidou, 2007).

## Conclusions

According to what has been said above, images are a precious and time-honoured tool for teaching and learning. For this reason, they have been included in textbooks at all the levels of education. With the passage of time their presence in the practice of teaching has increased and has been reinforced. Today images are a current educational tool, due to the pedagogical and communicative value which they have. Their pedagogical value lies in the fact that they replace the spoken word, because they render and represent a fact, a situation, an object or a person holistically and concisely, something which, otherwise, would demand many words in order to be described accurately. The communicative value of images resides in the fact that they help and encourage dialogue, since they transmit messages from the transmitter (teacher) to the receiver (pupil) and vice versa, functioning in the same way that all the means of communication in education function. Research concerning the topic (Fiske, 1989; Salvaras, 1996; Salvaras, 2000) has shown that images function as an

effective trigger for dialogue and communication in the classroom. Thus, when a teacher wishes to interact with his pupils, i.e. creating a dialogue and exchanging messages, so that his teaching may become more attractive and enjoyable, either he by himself or together with his pupils chooses the visual medium to be used. Examples of this kind of media are images, sketches, graphs, tables, maps, diagrams, cartoons and visual representations of all kinds.

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## Panch Kanyā: An Evolving Civilization's Codified Nature Worship

Ridhima Mahabal

PTVA's Institute of Management affiliated to University of Mumbai

### Abstract

Nature worship has been integral to most civilizations. The roots of Vedic nature worship and its mythification can be traced right from the R̥gveda up-till the Itihāsas. However the manifestation is vastly different, it is more embroiled; not through the simplistic forms of pure nature worship but through archaic human symbolism encasing it. The most evolved stage of this symbolism is through women characters famously referred to as 'Panch Kanyā' in the oral tradition. Among several female characters of rich attributes and engaging story and moralistic lines that appear in the Itihāsas, the following five have been singled out, encased in a 'shlok' and have divinity attached to them. अहिल्या द्रौपदी सीता तारा मंदोदरी तथा | पंचकनू नाम स्मरे नित्यं महापातक नाशनाम् || The invocation of afore-mentioned five names will wash away all the sins of the invocator. This shlok is recited in 2 variants in the sub-continent. In the variant Sitā's name is replaced by Kunti. All the five (six) women mentioned above have been heralded as women of great power and deeply enigmatic natures. However their exclusive selection may have arisen from the vital connection of their mystical feminine with the forces of nature linked to their birth. A study of their characters render an understanding that their life and choices are governed by the nature of the elements that they are born from. By looking at literary sources regarding the Panch Kanyā; the purpose here is to understand the codified link between ancient nature worship and its more modern version through creation of; especially female characters; that can be easily transmitted through oral tradition and help maintain a link to the primary attempts at understanding the notion of divinity.

**Keywords:** Nature worship (5 natural elements), Vedas, Purāṇas, Panch Kanyā and mythification

### 1. Introduction

Nature worship has been integral to most ancient civilizations. It is possible to trace deification of such forces of nature as were a source of life and also unfathomable for man. One can see an organic development of nature deities which are then further codified in forms of myths, rituals and cultural practices. The interesting aspect of this kind of codification is that it can be seen evolving over time as well as the level and range of development (geographic as well as socio-cultural and economic) of a said civilization.

The scope of this paper is to understand the nature worship from Vedic times till Purāṇic times and how a holistic development of the Saravati (Hindu) civilization must have affected its codification and its rising complexity.

This paper will help researchers to study the rise of the Hindu civilization and how it could remain relevant through all times with the use of effective codification and making certain cultural beliefs a part of social and personal reality from Vedic to Purāṇic times.

### 1.2. Objectives

- 1) To understand the nature of Vedic Nature Worship
- 2) To study the journey of Nature Deities from Vedic to Purāṇic Times
- 3) To trace codification of deities done through myths and their increasing complexity as well as social need of the evolving civilization to do so

### 1.3. Literature review

Hillebrandt (1990): the two volumes discuss the mythology in Vedas and deification of natural elements in the Vedic times. The author also studies the evolution of nature worship and how with changing social and physical realities the form of

worship and the objects of worship have changed. He also justifies the need that contemporary people must have felt to worship those specific natural elements.

Rajwade (2010): the article discusses the importance of Agni for Vedic people and its possible causes. He also discusses its further codification and mythification. How agni worship is still prevalent in covert (myths) and overt (rituals) forms has been discussed.

Bhattacharya (2001): discusses the concept of Panch Kanya and its evolution and significance. He studies these women in depth and states the possible causes for their popularity in Purāṇic as well as current times.

Karve (1968): discusses the characters from the Itihāsas and does a critical analysis of Purāṇic period's life style, socio-political realities and how it affected their process and ideas of mythification.

#### 1.4 Discussion

Every early civilization has identified varied natural forces that they have in their independent fashion prayed to. The Rgveda makes references to several Gods who can be easily identified and directly seen to be natural elements, reference to Agni (fire), Sūrya (sun), Varuna (alternatively understood as God of water and later as God of Ocean), Uṣas (dawn), Nishā (night) are common, their relationship with one another keeps varying. E.g. in some places Uṣas is Sūrya's mother and in some wife. Such alternating can be found in mentions of these deities in Rgveda and other Vedic texts (1). It is interesting to observe however the life cycles of nature Gods. We see them assume varied forms, their roles morph, and change and in some cases become more integrative and/or specific over time. E.g. Varuna earlier regarded as God of water and ocean was later regarded specifically as the God of ocean. (2) On the other hand Indra finds an extended role from God of thunder and rains to King of Gods. This change can be understood by studying the social evolution of Sarasvati river valley peoples. One can see that some Gods seem to go out of vogue. Several things can be a reason for the same. E.g. Uṣas who is a popular Vedic goddess has almost disappeared by Puranic times, at the same time Vaç (speech) who is another significant Vedic goddess and one who co-exists with Sarasvati (Goddess of knowledge) in Rgvedic period seems to have a separate entity later only in Upanishads and doesn't have a separate place in Puranas, she is amalgamated into Sarawati in Puranic texts. These can serve as some representative examples of change in Gods and their statuses with changing needs of the society in which they were formed and the change can be correlated to development and growth of these clans. We can see that as Vedic society moved from simplistic agrarian civilization to a more complex and developed one; the amount of complex codification of their Gods increased as well. This codification can be seen in non-deified elements as well. A great example of the same can be Apsarā (celestial dancers in the court of Indra the King of Gods). Apsarā were known for their beauty, grace and above all as tools Indra used to spoil the 'tapasya' (austerity) of sages and at times demons who threatened his supremacy as King of Gods. The Apsarā with their charm and beauty would entice the sages and thus make their austerity fruitless where-by securing Indra's position. The example of Menakā (an apsarā) and Visvamiṭr (sage) is quite well known and representative. This clan of celestial dancers was hence quite controversial for contemporary society; however they were understood to be far away and disparate from human realm and those who only entered it for special and specific purposes. This definition of the term Apsara and all imagery attached to it is from the post Vedic period. The word Apsara originates from the word Apas. Apas originally meant 'River/water body'. Eventually it came to mean 'Apsaras' (water nymphs) and finally evolved to be called apsarā and understood in their current context. Though at first glance one can see transformation of water body to a woman, one can at closer inspection find that apsarā retained most qualities in codified form of the natural element they originally meant. A river has many curves in her flow (which is the way apsarā is described 'curvaceous like a river'), is a life giver but doesn't belong to any specific person (an apsarā too is employed by Indra but they do not have permanent marital/societal relations with anybody) and both have fluid and detached nature that allows them to remain among disparate beings and yet separate from them. As a river was to the civilization's economy; later an apsarā was to their myths and stories.

While there are many Vedic Gods and Goddesses who's codification and evolutionary journey can be thus traced, one can see that with changes in social realities of Vedic people they felt a need to bring about changes to their Gods as well which would increase the functionality of their Gods. V.K.Rajwade in his research article on Agni talks at length about the primary reason for which Agni became a tremendously important deity in the Hindu pantheon and how till date, though the immediate and essential requirement of Agni for day to day living is long gone, he has become a part of the social DNA and hence irreplaceable. The importance of Yajñā (sacrificial fire) and rituals and ceremonies related to it (and centred on it) played a significant role in further spreading and establishing the importance of Agni in Vedic society. However, the reduction of his practical usage has led to deep codification of Agni's presence in daily life and hence has been more ritualized and limited only for extremely important and socially significant purposes, e.g. a Hindu wedding is not sanctified

till the bride and groom take seven vital vows around Agni and the dead are still burned so that Agni can help the assentation of their souls to heaven. (3) Though there are several such Gods whose traverses can be discussed I will limit my analysis to the Panch Mahā Bhutas. The Panch Mahā Bhutas are Prithvi (earth), Apas (water), Agni (fire), Vāyu (air) and Akash (sky/cosmic space). These five elements hold high significance in all aspects of Hindu life. They held an important place in Vedic ritual, Upanishdic philosophy and Yoga traditions. A large part of cosmology and mystic beliefs also revolve around them, stories about them are available a-plenty. However the most interesting presence of theirs can be found in codified forms in the Itihāsas and the Purāṇic Literature.

It is in this context that this paper will take a look at the Panch Kanya; five Godly women who are revered till date.

अहिल्या द्रौपदी सीता तारा मंदोदरी तथा |

पंचकन् नाम स्मरे नित्यं महापातक नाशनाम् ||

Ahilyā Draupadi Sitā Tārā Mandodari tathā |

panchkan-nām smre nityam māhā pātaka nāshnām ||

It means: Ahilyā Draupadi Sitā Tārā and Mandodari, any person who remembers and reverts these ladies daily shall have all his sins washed away/destroyed.

All the five ladies mentioned above are extremely unique and special, their story is central in the Itihāsas: Rāmāyana and Māhābhārata. They are also (in some cases) controversial women, their lives unique, and their approach to it equally difficult for a commoner to understand. They also have another common thread, they are all 'ayonijas' (not born from a woman's womb). Ahilyā was created by Brahma using the loveliest elements in all nature. Draupadi/ Yadnyaseni, is born from sacrificial fire. Sitā is a child found in untilled land in a chest and hence is referred to as Earth's daughter. Mandodari was given birth to by a frog and Tara is said to have been born from the churning of the ocean. A comprehensive look at each of these women shall be essential to understand codification.

Ahilyā was created by Brahma Dev to teach a vain apsara a lesson that she was not the most beautiful being in the universe and hence he took the finest things from nature and created Ahilyā. Once the purpose of her birth was served, her father handed her over to an old sage Gautama, who raised her in his āshrama and returned her to her father once she reached puberty. Impressed by his stoic commitment to the task and for not falling in love with the most beautiful being in the universe, Brahma gave her away to Gautama as his wife. This angered Indra who always imagined that she shall be his wife because he was the King of Gods and only he should have had the right to possess the most beautiful woman. He lusted for her and made furtive plans to claim her. Ahilyā's reaction to being given away as a wife to a man she once revered as a father figure is not mentioned in the Puranas. They had a fulfilling married life. Once Indra seduced her by assuming the form of Gautama Rishi, not ready to believe her innocence Gautama cursed her and Indra and turned her into a stone. Though later versions of this story claim that Ahilyā was unaware of Indra's true identity, Vālmiki Rāmāyan states that she was well aware of who he was and after their coitus she addressed him as 'Dev Rāj' and urged him to leave before her husband returned.(4) This clearly indicates that Ahilyā made a conscious yet bold choice to have coitus with a man who was not her husband. The way her character is built till that point in time, it is clear that she is a woman of piety and of deeply moral values, she is idealised in every way, this behaviour of hers hence comes as quite a surprise. Her polarised behaviour which in one place is the peak of socially idolized behaviour and on the other hand that of conscious and self-willed choices makes her like nature from which she had been created. All beautiful elements of nature that were used to create her have this trait, on most days they are tameable, useful, and glorified however they can be equally unpredictable and can make sudden situations/behaviours that are outside of the scope of human understanding and that disturb the human life as it is till that point.

Draupadi is the lady protagonist of Māhābhārata. She was born from the sacrificial fire, she married five men. Events in her life seem like a sinusoidal wave. She was fiery, impatient and had the courage to question men and rules of a man's world. Her intelligent argument in the Kuru court in which she was humiliated speaks volumes of her strength of mind and will.(5) In one place she states 'I am like the fire in a yogi's (ascetic's) hut, I am pure myself but I also have control on the impurities of this world'. Draupadi fought for her rights, for all things that are sanātana dharma (eternal truths) and was a catalyst for destruction of all people who are personification of the evil. Interestingly this is also the description (bringer of light, protector of the right and destroyer of evil) of Agni in the Vedas. Draupadi in her own right holds these deep resemblances with Agni from which she was born.

Mandodari and Tārā are characters from the Rāmāyan. They were both born from water element. They were married first to evil persons (Rāvana and Vālī respectively) and later married their brothers-in-law (Vibhishan and Sugreev respectively) who were of pious nature. Both counselled their respective husbands well and did not mutely allowed injustice or bad governance to happen. They ensured that their respective children ascend the throne after their husband's death. While Mandodari successfully kept Rāvana from harming or raping Sitā, Tārā successfully calmed down the angry Laxman and saved her husband's life. Both these women display an astute political understanding and are good councillors. They took the responsibility to care for their families in every practical manner, ensured that their children's rights were safeguarded. They came to terms with their husband's death and agreed to marry his younger brother which was also a custom and also a firm step to ensure that their children ascend the throne. They could have refused to fall in line, they need not have agreed to the counsel of their husband's slayer (Rāma) but they cited the right side and amicably achieved their ends rather than start another war. They show good sense and adaptability to circumstances. Mandodari and Tārā's is the perfect picture of extremely judicious and practical women. They achieve their ends by adopting ways that are a win-win situation, they safeguard all and choose paths that are dangerous but of minimum friction. Their fluid and malleable nature makes them like water they are born from. Both are adjusting, they will take the shape of the vessel (situation) in which they are put but will retain their own properties. Though both these characters don't have an exhaustive presence in Rāmāyan, their significance is no less and hence revered.

Sitā is the lady protagonist of Rāmāyana. She is chastity, morality, commitment, fortitude and tolerance personified. Sitā's life from her discovery in a chest right up to being kidnapped by Rāvana seems like an idyllic fairy tale. She does not see constant strife from day one the way Draupadi does. Sitā had royal upbringing. She was the only one who could lift Lord Shiva's bow. She then married Rāma who was the only person beside her to achieve the said feat. Then a twist in her idyllic life, she was kidnapped by Rāvana and was surrounded by scary looking demons and ogresses. She had to also see the cruel wounding of her only protector Jatāyū. Then meeting Hanumāna she got to know of her husband's activities to recover her. The war was won and she has to give an Agni Parikshā to prove her innocence and purity. Later she was sent away while yet pregnant based on a washer man's vile remark and finally chose self-immolation. Unwilling to bear the injustice any more she invoked her mother Prithvi (Earth) who swallowed her whole. Sitā too holds uncanny resemblances to the element from which she is born, she is powerful, and has tremendous potential but most of her life she shows deep love and commitment to her husband. Sitā is the daughter of earth and just like her mother she is tolerant, nurturing someone who needs assistance to fight off evil. Someone essential to all but always taken for granted.

### 1.5 Inference and Conclusion

A careful look at these five women will reveal that though they are born from different forces of the Panch Mahā Bhutas they actually seem to be codified versions of them. Though Agni, Prithvi also hold a separate existence in the Purānas and the Itihāsas they are on a celestial realm, these women however function in the earthly realm. As the complexity of codification increased it must have been felt that personifying a God in human form is not enough, he/she also needs to become an active 'person' in the society. Hence we see such human personifications further humanised. The Purānas and Itihāsas are believed to be created to make the complex ritualistic Vedic ideology and Upanishadic philosophy easy for common man to understand, re-tell and relate to. It is hence no surprise that the most important and vital of Hindu Gods find a ritualistic, philosophic and mythic presence in the evolving civilization. The fact that stories are more convenient to transmit and that they have greater impact must mean that such codification was not just made to help the deities thrive but also to make them more approachable and easier to assimilate to for their audiences.

Hindus today do not practice of Yajñā (sacrifice) to the extent to which it was done and expected to be done each day by each person in the Vedic period, nor is the Upanishadic philosophy entirely understood and practiced on a mass conscious level today. However, these stories still survive and enjoy immense popularity and have found firmer place in people's heart through broadcast and digital media. Every society has strived to retain the wisdom of its collective pasts. It will be safe to say that the Hindus have managed it quite well through effective codification of their deities who even in this modern day and age; and possibly in an abstract form remain a firm part of their realities.

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## Developing Russian Phd Students' Academic Culture in EAP Courses for International Communication and Co-Operation

**Victoria V. Safonova**

Doctor of Pedagogical Sciences,  
professor at the Department of Foreign Languages and Area Studies  
Lomonosov Moscow State University, Moscow, Russian Federation

### Abstract

The paper gives a didactic insight into the concept of “intercultural academic communication” /IAC/ analyzing its types, forms, structure and bilingual input for the purposes of improving Russian advanced students' communication skills as intercultural speakers and writers in English-speaking academic settings. On the basis of the 2015-2017 cross-cultural analysis of Russian Master's Degree & PhD Students' experiences of intercultural communication it provides a didactically-oriented and competency-based classification of communicative barriers to effective cross-cultural academic communication, describing such of them as linguistic, pragmatic, sociocultural, cognitive and visual communication barriers. The paper argues that the theoretical framework for designing tasks aiming at improving PhD students' bilingual pluricultural competence to use English as a lingua franca in intercultural academic settings is to be based on L. Vygotsky's cultural historical theory, A.N Leontiev's activity theory, A.A. Leontiev's psychological theory of communication, S. Hall's theory of cultural factors and contexts and culturally-oriented FLT approaches to developing students' bilingual academic competences on a multidisciplinary basis. The paper concludes with some recommendations on creating a hierarchical set of multidisciplinary problem-solving tasks and activities specifically designed to help PhD students meet new 21<sup>st</sup> century challenges of intercultural communication & co-operation, avoiding culture-bound academic pitfalls in today's extremely complicated world. Among these tasks are those that involve PhD students' into: a) observing and generalizing the similarities and differences of communicative and/or cognitive academic schemata in Russian and in English; b) classifying communicative barriers between intercultural speakers or writers (incl. English native & non-native speakers); c) interpreting the appropriacy of academic products in a FL from a global intercultural perspective; d) making suggestions for necessary pluricultural academic self-education in order to be able to foresee and/or identify communication barriers and find effective communicative tools to bridge intercultural academic gaps; e) doing thought-provoking case-studies in IAC; f) transforming interculturally inappropriate academic products in a FL into appropriate ones; g) group role-playing of IAC schema modes involving different academic roles that are typical of English-speaking international science co-operation settings; h) doing “Study & Innovate” projects.

**Keywords:** intercultural academic communication, academic culture, cross-cultural barriers, multidisciplinary problem-solving tasks, ELT.

### Introduction

It is a well-known fact that a marked increase of international scholarly co-operation between Russian researchers and researchers from other countries has been taken place in the country since the end of the 20<sup>th</sup> century. For the last twenty five years many Russian universities, especially research universities, have done much to encourage and promote international partnerships, collaboration and co-operation in research and education (Frumina & West, 2012). In 2016 V. Kaganov, the former deputy minister of Education and Science of the Russian Federation, in his speech “The Role of Russian Educational Policy and International Scientific and Educational Co-operation in the Development of Innovation and the Formation of “Knowledge Triangle”(2004) ,stated that in Russia the situation in these fields is characterized by: (a) the active participation of Russian educational and scientific organisations within the international partnership in the framework of the European Union's programs and the program “Horizon 2020” and Shanghai Co-operation Organisation's international scientific and educational programs; (b) the creation of the BRICS Network University within the research and Innovation

initiative of the BRICS, which includes the implementation of mega-science projects, large-scale national programs, and also the development of joint research and innovation platform; (c) the co-operation of Russian universities with a number of international organizations and international projects (Kaganov, 2016, p.2-3). All these steps made a great impact on developing and, then, renewing Russian Higher Education Standards in 2016-2017 in general, and on choosing new approaches to designing Master's and PhD's educational programmes, in particular. Quite recently, Russian universities have been widely discussing the Pan-European ideas and concepts of Open Education, Open Science, Open Innovation and Open to the World (The Three Os: Open Innovation, Open Science, Open to the World, 2016; G7 Science Ministry Ministers' Communiqué, 2017) and how to implement them into training Russian researchers for effective international academic communication (Artamonova, Demchuk, Kagneev, Safonova, 2018).

As English has been for a long time a lingua franca in the world of international science across the globe (including contemporary Open Education and Open Science fields), there are no doubts that it should be taught as a lingua franca of international research co-operation and collaboration, and not only with native English speakers, but with non-native English speakers as well. And that necessitates developing a pluricultural model of tertiary language education, involving teaching English for academic purposes /EAP/ with cross-cultural or pluricultural input. And though some steps have been made in EAP in terms of exploring cultural clashes experienced by international students, for example in the UK and other English-speaking countries (Jordan, 1997; Brick, 2006; Etherington, 2013), nevertheless the EAP methodology in general has not been fully oriented yet towards the real needs of postgraduates to become *proficient intercultural academic speakers and writers, and experienced researchers* in a globalized, increasingly digitalized multilingual and multicultural world of academic communication, and besides this, some national modifications of teaching EAP, for example, in Russia, are only on the way of forming linguacultural and methodological basis for solving contemporary educational EAP problems faced in its various educational contexts.

Speaking about the linguacultural basis for teaching & Learning EAP in Russia, it seems worth mentioning that it presupposes to be formed on the results of a didactically oriented analysis of barriers to academic communication that have been faced by Russian postgraduates and postdocs in different settings of formal and informal academic communication, because in a number of works on comparative studies of sociocultural characteristics of academic communication in different cultural settings (see e.g. Jordan, 1997; Sternin, 2009; Etherington, 2013) it has been convincingly proved that sometimes international educational co-operation and research collaboration may be not effective enough because of sociocultural differences in educational, academic or research cultures (Sternin, 2009; Safonova, 2015). And as such, the latter often provoke communication gaps and barriers to efficient and successful academic communication. In other words, it seems reasonable that Russian EAP Methodology should be developed in the context of pluricultural approach (CEFR, 2001; CEFR/CV, 2018), trying to give a clear view of what the most common types of barriers Russian postgraduate students may come across in international settings of academic communication worldwide, how to make them aware of these barriers & teach them to overcome them, at what level of tertiary education and self-education it seems most appropriately to be done and what approaches are to be used in Russian various educational contexts in order to develop step-by-step postgraduates' academic culture. Due to the considerations mentioned above, this paper discusses the concept of intercultural academic culture, focuses on providing a didactically-oriented classification of communicative barriers to Russian PhD students' effective international academic communication and gives some recommendations on designing problem-solving tasks to be used in the university classroom to help postgraduate students adopt proper communication strategies to overcome communication gaps in international academic contexts.

## Literature Review

In the mid-1970s and early-1980s the concept of "English for Academic Purposes" was introduced into the British language methodology (Jordan, 1997) and since that time the EAP methodology has become a challenging research field not only in the UK, but across the world. Its rapid development as a branch of ESP (Jordan, 1997) has been caused to a considerable extent by the intensive Internationalization and globalization of the world economy and all other spheres of human life, and, accordingly, the internationalization of Higher Education in which English functions as an academic lingua franca (Whong, 2009). Nowadays EAP is taught worldwide in a variety of sociocultural and didactic contexts (Alexander, O. Argent, S. Spencer, J. 2008). Within the last two decades much has been done in establishing the theoretical framework for teaching EAP at tertiary level (see. e.g. Alexander, Argent, Spencer, 2008; Hyland, 2009) and improving classroom practices to help university students develop their academic voice in English (Brick, 2009). The studies undertaken over the last forty years in EAP provide us with:

some definitions of EAP as a complex many-sided discipline (Jordan, 1997; Alexander, Argent & Spencer, 2008; Kemp, 2017) and special emphasis in these definitions is put on EAP interdisciplinary nature (Etherington, 2011; Bruce, 2015);

the relatively new methodological concepts of “general EAP” and “specific EAP” (Hyland, 2011, pp.14-15) which are crucial for designing EAP curricula/syllabi and teaching materials for an endless variety of EAP educational contexts and settings in a close collaboration between language teachers and profile subjects teachers (Hyland, 2011);

methodology appropriate to EAP that has been developed within a communication-oriented, learner-centered and specific-profile-oriented paradigm of university language education (Jordan, 1997, pp. 109-125);

linguadidactic basis for teaching academic reading (see. e.g., Jordan, 1997; Alexander, Argent & Spencer 2008, academic listening and speaking (see, e.g., Jordan, 1997; Brick, 2006; Alexander et.al.2008; Bruce, 2015), academic writing (see, e.g., Jordan, 1997; Alexander et.al., 2008; Hyland, 2009; Bruce, 2015) and some integrated communicative and cognitive skills (Bruce, 2015);

a product-based approach (Jordan,1997), a process-based approach (Jordan, 1997), a genre-based approach (Brick, 2006, Hyland, 2009; Bruce, 2015) and a corpus-based approach (Bruce, 2015) to developing university students’ academic skills related to their academic language competence in English and research powers in their specific profile fields of research;

much evidence of some cultural or cross-cultural challenges (Jordan,1997, Brick, 2006; Sternin, 2009; Etherington, 2011; Okamoto, 2015; Sarmadi, Nouri, Zandi, Lavasani, 2017) facing international postgrate students which could not and should not be ignored in the theory and practices of teaching EAP.

The methodological findings on academic culture (Jordan,1997, Brick, 2006; Okamoto, 2015; Sarmadi et.al., 2017) have raised a very important question about broadening the objectives and scope of EAP as a discipline or a number of interrelated subjects. These EAP studies have given special attention to the conceptualization of the notion of academic culture, considering it as a prerogative of any didactic model aiming at developing students’ efficient academic skills and appropriate academic behaviours. But the thing is what we mean by academic culture , because in the EAP research field the concept may refer to:

some universal characteristics of academic culture (Bergquist & Pawlak, 2008; Brown & Coombe, 2015) and its structural components (Bergquist & Pawlak, 2008);

cultural/sociocultural characteristics of a particular academic culture in a particular culture -bound educational context (Jordan, 1997, Ballard & Clanchy 1984, 1991; Sternin, 2009);

levels of academic culture, such as a macro level (national science policy, Institutional infrastructure, mission of academics in society, academic knowledge in society) and a micro level (academic discourse practices, publication practices, managing academic activities, knowledge acquisition practices, discipline practices) (Okamoto, 2015);

special relations in academic world, including hierarchy / status, gender, nationality / ethnicity (Okamoto, 2015);

discipline-specific academic subcultures, for example, the paper “Culture Shock? Genre Shock?” by Feak (2011) argues that though a larger academic culture exists, international students should realize that different disciplines need to be viewed as sub-cultures with their specific values, processes, and world of value (Feak, 2011, p. 43-44).

Referring to the last point, we could agree that these discipline-specific academic subcultures may be associated with the concept of academic culture (native or non-native), but at the same time we should not overestimate their role in academic settings, and, accordingly, in EAP methodologies. In truth, what is really badly needed is a much broader conceptualization of academic culture in EAP methodology, the one that was firstly put forward by Jordan in 1997. According to Jordan ,“Academic culture consists of a shared experience and outlook with regard to the educational system, the subject or discipline, and the conventions associated with it.” (Jordan,1997 p.98). While reinforcing the ideas expressed in the cited definition of academic culture further , Jordan finds it necessary to focus on such elements (that are related, from his point of view, to academic culture) as: a) academic cultural clashes recorded in different British educational contexts as a consequences of existing differences in educational background and cultural background between native teaching staff and non-native Master’s and PhD Students (Jordan, 1997, p.99-101), and b) academic conventions ( a clear understanding of academic hierarchy, academic verbal and non-verbal behavior schemas ) that are to be followed by international students in a culturally new academic context (Jordan, 1997, p. 101-103). Jordan’s EAP assumptions were based on his brief analysis of the research findings reported by Thorp (1991), Coleman (1997), Holliday (1994) in their works and the research findings presented in his own study as well (Jordan,1997). All the findings and experiences in EAP discussed by Jordan lay reasonable grounds for drawing the scholars’ attention to the necessity of designing a set of culture-bound courses

including not only those that relate to the modes of academic behavior in the UK, but also those that help international students adapt themselves to the new cultural settings in different spheres of communication in the country. His suggestions on designing a course in British (Cultural) Studies may serve as an example of the courses dealing with general aspects of the host country.

Jordan's ideas and approaches to developing students' academic culture are almost entirely based on his understanding of EAP problems that have been identified in the so-called anglophone educational contexts, in other words, in the UK universities and other universities within the Inner Circle of English (Kachru, 1996). Meanwhile, nowadays teaching EAP has also entered the non-anglophone zone within not only the Outer Circle of English, but the Expanding Circle of English (Kachru, 1996) as well, for example, in Russia. And recently in some top Russian universities EAP has started being taught through a set of interlinked subject-specific language courses with some linguacultural bilingual input. These courses have been designed to increase Russian postgraduates' employability skills and opportunities in the country and worldwide by developing their academic culture on an interdisciplinary and cross-cultural or pluricultural basis. Russian educationalists have come to a consensus that EAP courses should be designed with the view to developing postgraduate students' awareness of:

global characteristics of academic communication (that is to a great extent a westernized Pan-European mode of academic patterns of perception, interaction and production);

an international code of ethics in academic research:

global academic & business academic etiquette;

universal and specific academic practices in Russian academic communities and other linguacultural communities across the global:

international research culture in comparisons with Russian & other academic and research cultures.

In other words, the EAP in Russia is mostly focused on internationalized academic communication as a specific phenomenon of the today's globalized, internationalized and digitalized academic world, but all the same the teaching of EAP in the country should not and would not ignore multicultural nature and pluricultural realities of contemporary academic communication.

Not once has it been proved by scholars that academic clashes and communicative and/or cognitive barriers to effective academic communication can substantially impair students' academic achievements at university (Coleman, 1987; Jordan, 1997; Ballard and Clanchy, 1984, Holliday, 1994; 1991; Sternin, 2009; Feak, 2011) and their after-university professional life, however, these barriers have not been given a necessary methodological consideration in the EAP didactics yet, because till that time these barriers have been mostly studied in such fields of human knowledge as communicative linguistics (see, e.g., Sternin, 2009; Bogatikova, 2009) and cross-cultural or pluricultural studies, especially in business (see e.g. Gibson, 2002). But could we really nowadays move on in developing postgraduates' academic culture without making postgraduate students aware of those cultural clashes and barriers that they may come across in intercultural academic communication? Could we really train them for being efficient and competitive professionals and researchers without involving them in foreseeing, identifying and solving general and specific cultural academic problems that may often face them when they are involved in cross-cultural or pluricultural academic interaction? And could that be done without exploring and classifying the cultural difficulties experienced by postgraduates in a particular country's educational context or in a pluricultural environments?

### **3. Discussion**

#### **3.1. Conceptualizing the notions of academic communication and intercultural academic communication**

As has been mentioned before, the focus of EAP methodologists in anglophone contexts is on academic communication (mostly formal) related to scholastic environments. In Russia, meanwhile, especially when referring to intercultural academic communication, it is thought necessary to give a broader interpretation and conceptualization of academic communication with the view to bringing global perspectives into Russian cross-cultural / pluricultural tertiary education and into postgraduates' bilingual/trilingual and pluricultural developments through Russian and English (plus any other foreign/second language) , educating them as intercultural academic speakers and writers able to act in various national and international academic settings. Thus, international academic communication is understood as one of the spheres of professional intercultural communication that is related to scholastic environments and to research environments as well in

which specifically structured verbal and non-verbal patterns of academic behavior are followed in English, general and specific characteristics of different academic discourse communities are taken into consideration while a) perceiving, collecting and evaluating academic information, b) producing academic products and reflecting on their quality, c) interacting in intercultural academic settings with native and non-native English speakers as representatives of cultural and/or subcultural and/or linguacultural academic communities, and d) using academic mediation activities (if the latter are required in particular academic situations for effective international collaboration and active academic co-operation).

The 2015-2017 survey results of 46 Russian Arts & Humanities postdocs' showed that among the biggest problems facing them in international academic settings were as follows:

**Listening comprehension difficulties**, because some times they could not concentrate on the academic issues that were raised, discussed or argued because of :

a variety of Englishes used by the speakers (75% of the respondent) ;

sociocultural terminological lacunas used by the academics (50 %) ;

cross-cultural differences in research methodology, results delivery & their evaluation (91%).

**Speaking difficulties in formal academic settings.** These problems often occurred in formal oral academic communication and they were due to:

conceptual (including terminological) lacunas provoking academic misunderstanding between Russian academics and some other representatives of the English-speaking audience (84 %) ;

sociocultural differences in English-speaking conventions of formal academic communications (e. g., in academic public speaking) and informal academic interactions (75 %).

**Speaking difficulties in informal academic settings.** They often occur in the situations of informal academic communication and they were caused by the lack of the required knowledge and skills for being good at small talks (and not only academic ones) and lack of confidence in themselves in English informal academic environment (85%).

**Writing difficulties.** Writing problems occurred mostly when the postdocs were to answer the calls for abstracts and papers this or that international conference, not missing the deadline, and, then, to structure their presentation texts in accordance with the conference requirements. These difficulties were mostly caused by postdocs' lack of knowledge on producing the academic genres mentioned above (75 %) in English in accordance with the international structural and content requirements.

**Behavioral verbal and non-verbal difficulties that were caused by:**

existing differences in understanding & following some sociocultural codes and schemas of academic interaction that have been established in Russian and English academic communities for years & years (86 %) ;

the lack of experience in foreseeing or identifying and overcoming verbal and/or non-verbal misunderstandings that often led to break-downs in academic communication;

the lack of mediating skills to repair academic communication breakdowns (92%).

### 3.2. Classifying cross-cultural/pluricultural barriers to international academic communication

Conceptually, there should be a clear differentiation between the notion of communicative barriers as regularly occurred and may be easily recorded in communication and the notion of communication break-downs that may have an occasional character.

In contrast to occasional communication breakdowns, communication barriers can be defined as a permanently fixed cross-cultural phenomena that can be regularly watched, identified (and if necessary & possible recorded) whenever it occurs in the formal or informal situations and settings of intercultural communication and destroys the latter. Barriers may occur in communication because speakers or writers do not share similar discourse modes of thinking , verbal and non-verbal behavioural schemas, sociocultural traditions and values.

In terms of competence-based pluricultural approach (CEFR, 2001: CEFR/CV, 2018) communication barriers can be classified into a) linguistic barriers (including lexical., grammatical, semantic, phonological and orthographical barriers) , b)

pragmatic barriers ( including discourse, functional and behavioral-scheme barriers) , c) sociocultural barriers (including cultural, sociolinguistic, ideological and ethical barriers), d) cognitive barriers and c) visual barriers (Safonova,2017). The diagrams below give some comparative information on the types of barriers that were named by MDs Students and PhD students from their own experiences .What do these diagrams say?

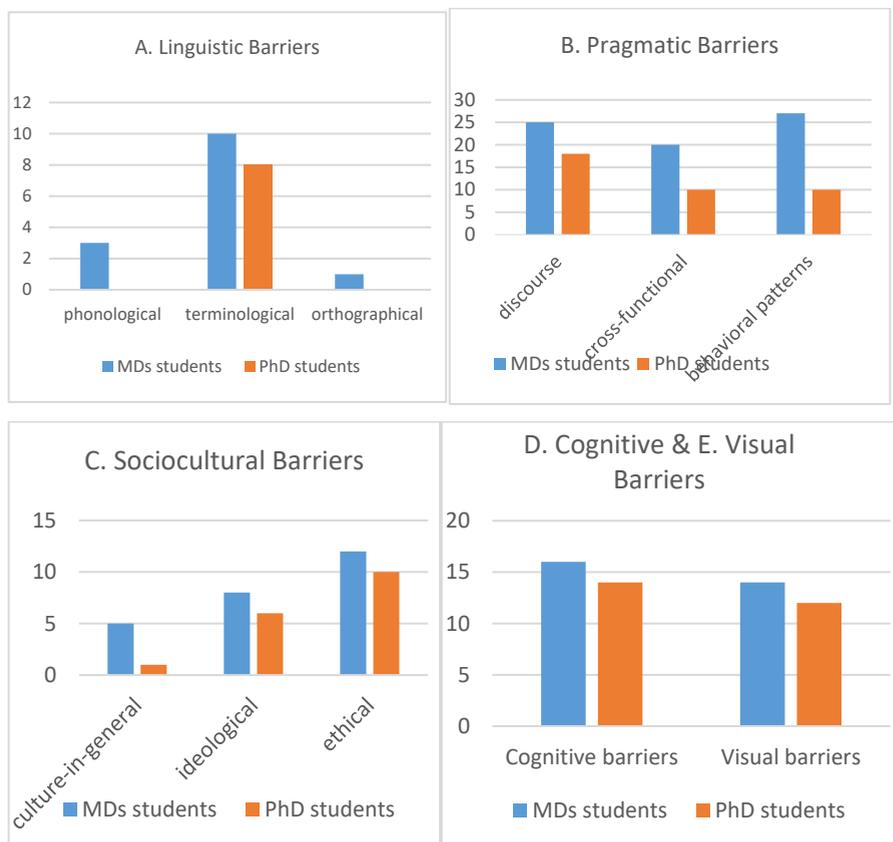
### Diagrams A-D

#### The 2015-2017 Survey Interview Results: Types of Communication Barriers (to Effective Intercultural Academic Communication) Named by Russian MDs and PhD Students Specializing In Linguistics , Intercultural Communication and FL Methodology)

MDs Students = 28 Respondents

PhD student = 26 Respondents

#### Types Of Barriers to Academic Communication



First, these diagrams show that linguistic barriers (with the exception of terminological ones with reference to MDs students) do occur far less in their actual intercultural academic interactions than pragmatic and sociocultural barriers or cognitive and visual barriers. Second, if there was an expected difference between MDs Students and PhD students concerning how often they could face linguistic barriers, but in terms of the frequency of the appearance of pragmatic and especially sociocultural barriers in their academic communication it was a rather surprising situation because no really noticeable differences between MDs students and PhD students had been recorded, despite the fact that these two groups of postgraduates represent different levels of tertiary education. And, finally, these diagrams give us an indirect support to the ideas expressed earlier in the paper that barriers to intercultural academic communication should be careful studied in the EAP methodologies with a Pan-European dimension, especially oriented towards postgraduate levels.

The data on PhD students' experiences in EAP and their self-assessment of the skills under consideration is given in tables 1-3.

**Table 1**

PhD Students' activities IN ENGLISH as Intercultural speakers	Data on Russian PhD Students' Experiences in EAP Respondents= 26 Russian PhD Students			Self-Assessment Data	
	I have got enough experience in doing this activity	I have very little experience in doing this activity	I have not got any experience in doing this activity	I can easily do this	I can do this, but not always successfully
Giving a speech on subjects of general interest	10	8	10	3	15
Giving a presentation on their research findings	18	2	6	-	14
Giving a lecture on an academic subject in English-speaking settings	5	12	9	-	17
Asking questions during a lecture	3	6	7	-	3
Answering lecturer's questions during an interactive lecture	7	7	Not willing to do	1	5
Conducting interviews for research purposes	1	-	25	-	1
Delivering a conference paper	2	-	-	-	2
Presenting a report on research project results	12	6	8	-	12
Taking part in informal discussion on the topics of general interests	21	5	-	12	14
Taking part in academic small talks (e.g. during conference coffee-breaks)	7	5	14	-	7
Taking part in an academic discussion	5	4	17	-	9
Acting as a member of the debate audience	2	-	-	-	-
Acting as the debate proposer/opposer	-	-	-	-	-

This data, though the number of respondent is not very large, still gives us some food for thought. First, the most part of the respondents didn't have much experience to use English even in traditional academic activities. Second, academic discussions and academic debates being very important academic activities are somehow their terra incognita. And finally, it seems, that the most of the respondents have hardly been involved in any real international academic co-operation or collaboration when English might have been used as a lingua franca of science, but without their real participation in international conferences and projects it is hardly possible for them to gain a valuable academic experience how to collaborate and co-operate efficiently with other academics and researchers.

**Table 2**

PhD Students' activities IN English as Intercultural Writers	Data on PhD Students' Experiences Respondents= 26 PhD Students			Self-Assessment Data	
	I have got enough experience in doing this activity	I have very little experience in doing this activity	I have not got any experience in doing this activity	I can easily do this	I can do this, but not always
Writing lecture notes	23	3	-	15	10
Writing a presentation text of a lecture	12	5	9	6	6
Writing lecture diaries	-	3	23	-	3
Writing critical essay	10	7	9	6	4
Writing case-study essay	-	-	-	-	-
Writing case-study report	-	-	-	-	-

Writing a site visit report	-	-	-	-	-
Constructing questionnaires	-	-	-	-	-
Filling in the registration conference form	26	-	-	25	-
Writing resume	23	3	-	19	4
Writing conference abstracts	12	7	7	4	8
Writing research papers	4	2	20	-	4
Writing reviews on academic papers	3	7	16	-	3
Writing an application for the research writing	-	2	22	-	2
Writing research proposals	-	-	26	-	-
Writing research questions	5	4	17	-	2
Writing a literature review	-	5	21	-	5
Writing about research findings	-	5	21	-	3
Writing research reports	-	-	-	-	-
Critiquing the research of others	-	-	-	-	-
Writing on controversial academic topics	10	2	14	-	5

The data given in Table 2 also indicates the lack of the respondents' experience in doing regularly various types of academic and research writing in English. Partly it is because of the fact that some types of academic writing are not peculiar to Russian academic culture (e.g. writing lecture diaries, case-studies, essays and reports, applications for the research, research questions, and the like). And even if some types of academic writing are used in Russian academic culture (e.g. conference abstracts, conference papers, research reports, thesis), their structural composition and discourse characteristics are quite different from the similar writings in English, especially if we compare discourse schemas and stringency of academic requirements to academic products in Russian-speaking and English-speaking academic communities.

In the group of sociocultural barriers, *ethnocentric, cross-cultural and sub-cultural constraints* are quite noticeable in all spheres of cross-cultural communication, as for *ideological barriers* or barriers provoked by differences in world outlook, *pluricultural and metacultural barriers*, it is in the political, academic and management spheres of intercultural communication that they manifest themselves most strongly. It is also worth mentioning in passing that cognitive barriers in academic communication may be caused not only by some cultural factors, but they can be easily provoked if the level of information culture of some members of the project group is rather low, for example, there are communication partners who are unable to articulate clearly their information needs and are unaware of reliable information sources, and/or who demonstrate poor search skills and inability to deal with information overload. In this case, information and intellectual spaces in academic environments are being distorted and that leads, in its turn, to cognitive misunderstandings, inconsistencies in intellectual actions and academic communication breakdowns.

While answering interview questions, some students who once studied abroad, made comments on what might have helped them in their preparation for studying abroad more effectively. And among these comments were such as:

*It might have been much easier to study abroad if Russian universities offered pre-exchange online courses in academic written and spoken communication with the view to our studying in a particular country and a particular destination university.*

*Online courses in Comparative Cross-Cultural Studies in Academic communication might be really helpful, something like Russian-French or Russian-Swedish or Russian-Norwegian Comparative studies.*

*Additional cross-cultural academic training is surely needed to help us to avoid cultural pitfalls in administrative communication, informal academic communication, not only formal academic communication.*

The data in table 3 indicates that till that time mediation skills have not been given a proper place in Russian PhD programmes, and I believe, not only in Russia, because you can hardly find a section on developing mediation skills at tertiary levels in any EAP methodology books (see, e.g. Jordan, 1997), not to speak about EAP courses (see, e.g., Alexander, et al., 2008).

**Table 3**

	DATA ON RUSSIAN PHD STUDENTS' EXPERIENCES Respondents= 26 PhD Students			SELF-ASSESSMENT DATA	
	I have got enough experience in doing this activity	I have very little experience in doing this activity	I have not got any experience in doing this activity	I can easily do this	I can do this, but not always successfully
PHD STUDENTS AS INTERCULTURAL MEDIATORS					
Mediating a text	1	-	25	-	1
Mediating concepts	3	3	20	-	4
Acting as an intermediary in informal everyday situations	19	6	10	-	8
Acting as an intermediary in informal academic situations (academic small talks)	3	2	-	-	3
Acting as an intermediary in formal academic situations	2	-	24	-	2
Facilitating pluricultural space in the situations of everyday communication	10	6	10	-	5
Facilitating pluricultural space in university situations	2	0	-24	-	2
Facilitating pluricultural space in academic situations	1	-	25	-	1
Facilitating pluricultural space in research situations	-	-	-	-	-
Translating for academic purposes	14	8	4	-	16
Interpreting in academic environments	3	-	-23	-	3

### 3.3. Designing a hierarchical set of multidisciplinary problem-solving tasks and activities for developing PhD students' academic culture on cross-cultural/pluricultural basis

The findings on the communication barriers to effective intercultural academic communication that occur between Russian PhD students /postdocs and other representatives of academic linguacultural communities quite obviously indicate that the EAP methodology specialists involved in designing and implementing Arts & Humanities postgraduate programmes in Russia should reconsider the existing EAP theoretical framework and teaching & learning practices in order to make university language education capable of developing PhD students as:

bilingual intercultural speakers who are active & interactive academic listeners, flexible, confident & professionally interesting speakers, and who are aware of verbal and nonverbal barriers in international communication and are able to overcome them;

intercultural academic writers with advanced writing academic skills necessary for being able to produce academic products relating to general and subject-specific academic genres;

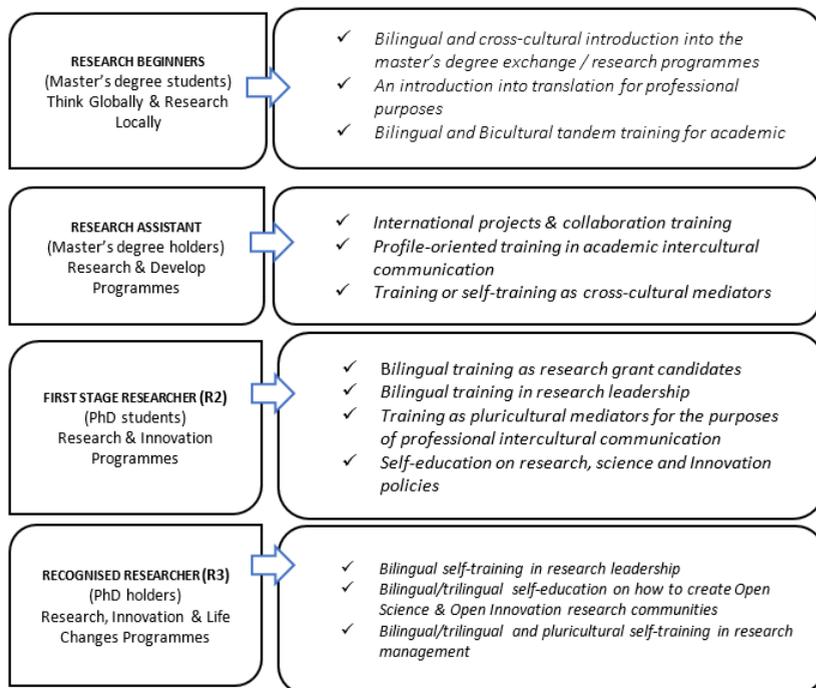
academic mediators who are able to mediate academic texts, theories and core concepts underlying them, academic communications and to apply appropriate mediation strategies (CEFR/CV, 2018);

international researchers who are able to act in academic settings across the globe in accordance with the European Code of Conduct for Research Integrity (2017).

The theoretical framework for designing tasks aiming at improving postgraduate students' bilingual pluricultural competence to use English as a lingua franca in intercultural academic settings is to be based on L. Vygotsky's cultural historical theory (1934, 1991), A.N Leontiev's activity theory (1975), A.A. Leontiev's psychological theory of communication (1999), S. Hall's theory of cultural factors (1971, 1980) and contexts and culturally-oriented FLT approaches, for example, pluricultural approach (CEFR, 2001; CEFR/CV, 2018) or sociocultural approach (Safonova, 1996) or culture-sensitive approach (Holliday, 1994) to developing students' bilingual academic competences on a multidisciplinary basis. Besides, the implementation of these goals in the training model of postgraduates as international researchers through co-learnt languages (Russian, English and other FL) presupposes the development of a system of interlinked courses in teaching Russian and English (and any other FL) for academic purposes, Cultural Studies in Academic Communication and subject-specific theoretical tandem courses that are read in the co-learnt languages. This system should be an instrument for adopting global perspective on training postgraduates as international research collaborators. The chart below shows some

possible correlations between the European researcher's status (Towards a European Framework for Research Carriers, 2011) and researchers' intercultural bilingual activities.

#### Chart 4. Global Perspectives in Researchers' Bilingual and Intercultural Development



With the view to achieving the global goals mentioned above in Russia, what is suggested in the country as a didactic instrument for developing academic culture is a hierarchical set of multidisciplinary problem-solving tasks and activities specifically designed to help Russian PhD students meet new 21<sup>st</sup> century challenges of intercultural communication & co-operation, avoiding culture-bound academic pitfalls in today's extremely complicated world. Among are those that involve PhD students' into: 1) observing and generalizing the similarities and differences of communicative and/or cognitive academic schemata in Russian and in English; 2) classifying communicative barriers between intercultural speakers or writers (incl. English native & non-native speakers); 3) interpreting the appropriacy of academic products in a FL from a global perspective and/or an intercultural perspective; 4) making suggestions for necessary pluricultural academic self-education in order to be able to foresee and/or identify communication barriers and find effective communicative tools to bridge intercultural academic gaps; 5) doing thought-provoking case-studies in intercultural academic communication; 6) transforming interculturally inappropriate academic products in a FL into appropriate ones; 7) group role-playing of IAC schema modes involving different academic roles that are typical of English-speaking international science co-operation settings; 8) academic and research simulations, 9) doing "Study & Innovate" projects involving PhD Students from other countries and discussing their results at Young Researchers' Forums, 10) organizing interdisciplinary conferences of Arts & Humanities PhD students with academic debates.

Some of the tasks mentioned above (1-4) may be introduced into EAP courses much earlier, starting with Master's Degree programmes and even sometimes with Bachelor's programmes, because, in truth, what we really need is a three-level EAP system.

A pre-condition for designing interdisciplinary problem solving tasks listed above is a comparative cross-cultural analysis /CCA/ of academic communications, first, cross-cultural, then, pluricultural, in Russian and in English. The CCA data can provide much food for thought in terms of : a) hypothesising schemas underlying a particular academic event in official and unofficial modes of professional intercultural communication in English; b) outlining relevant verbal and non-verbal intercultural speakers' resources & strategies; c) making decisions on the professional core knowledge and macro skills

(with detailing a set of micro skills for each of them) that may be developed and then internally assessed in the Russian university classroom. And now it is high time to do this job without which it is hardly possible to bring real innovations into teaching EAP with global perspectives in Russia.

### Conclusions and Implications

The teaching of EAP in Russia is undergoing serious changes with new challenges in developing Russian bilingual/trilingual researchers in the context of Open Education, Open Science and Open to the world. What has been discussed in this paper is only a beginning of introducing changes into the EAP/FLAP methodology in this country. Further researches in the field under consideration are planned to go on with collecting data on academic barriers (in order to get statistically reliable data), to focus on a detailed comparative cultural analysis of academic products that are expected to be professionally produced by postgraduate students at different tertiary levels and by postdocs, to develop evaluation instruments for measuring intercultural academic competence relating to four modes of academic communication: perception, interaction, production, mediation (CEFR/CV, 2018). Again the results of comparative cultural analysis of academic discourse could provide grounds for outlining academic-life based assessment criteria & designing multi-level scales for measuring core verbal & non-verbal skills that are crucial to intercultural academic communication.

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## Laws and Their Inaction with Socioterminology (the Case of Urban Terminology)

Eva Papamihali

French Language Branch, Faculty of Human Sciences  
Aleksander Xhuvani University, Elbasan; Albania

### ABSTRACT

The introduction of new terminology into laws requires a change of mindset of institutions and law enforcement in general. The fact that for years we have learned to use a specific legal base and a specific planning language, becomes a barrier to accept and apply a new law. If a law appears to improve something, its radical terminological change becomes a barrier for further development as the written language should correspond to an actual physical action. It is important to understand and analyze the complex process of acceptance / rejection of terms or phrases and the emergence of new words. Certain words acquire general acceptability over time through the process of their use by academicians, administrators, policy makers etc. A failure of words leads to the increase of the cost at the expense of the Albanian citizens. The development and the draft of the laws should be supported by specific linguists and it should consider studies on socioterminology. The terminology, as a means of speech and transmission of special scientific and technical notions, is created depending directly on the development of science and technique. All the processes of the scientific – technical revolution are reflected in the creation of the new technology and the complicated processes of the previous terms' transformation.

**Keywords:** law, terminology, socioterminology, language, development

### Introduction

Terminology, just like language in general, alters, develops; the development of various areas of human activity conditions the continuous change and development of the system of terms. Thus, terminology, as a means of speech and transmission of special technical and scientific notions is created depending directly from science and technology's development. All the processes of technical and scientific revolution are reflected in the creation of new technology and the complicated processes of the previous terms' transformation.

Generally, in terminology, to a certain extent, the conscious action of specialists and linguists is clearly noticed. This conscious action stands on the work being done to select the terms, to select the means and the ways of creating terms, to establish the specification of their understanding, etc. All of this work aims to:

In all areas, every term should denominate only one specific notion and, vice versa, every notion should have a term as a denomination.

The term should accurately establish a specific notion by expressing its core and

To be short and simple.

### Terminological system

The work done with terminology has various contents which depend on the area of science or the relevant technique.

The simplest aspect is the creation of terms so as to complete the system of scientific denominations in the relevant area. For the creation of terms which are missing, we use:

- a) words of the general language or its dialects;
- b) words copied from foreign languages,
- c) borrowings, when it is not possible to use for the denomination of a native language word and

d) new terms to create based on the word of the native language or on the way of the alteration of words' meanings known in the language, on the way of denomination passage, with the lexicon – semantic formation. The creation of terms, is generally a conscious linguistic activity and thus it is directed and undergoes adjustment.

The terminology adjustment of an area is the second aspect of the work with terminology and it stands in its cooperation and unification in accordance with the level of the knowledge achieved in that area. Because of this, we make the analyses of the notions' origin and, under this, we establish the directions and elaborate the principles on which we will work. The shortcomings we mostly encounter in terminology are:

- a) From a semantic viewpoint, the presence of multi meaning and synonymy.
- b) From a word formation structure viewpoint, terms not correctly created, which do not accurately give the scientific notion or terms with a broad structure and not convenient in use; and
- c. Towards the purity of terminology we notice foreign terms which have come without a criterion or necessity.

### **How to build a terminology**

To build a coordinated and unified terminology, we mainly work in two directions.

Firstly we outline a system of technical and scientific notions, we discover links between these notions, clarify their content through definitions and classify them, so as to allow the technical – scientific concepts to be seen in their development.

Secondly there is the analyses, the evaluation and selection of the terms which these notions denominate. Starting from the principle that terminology of every discipline should represent in itself a system of terms that correspond to the system of the notions of this discipline, in the analyses they make of this terminology, researchers notice to what extend the terms respond to the notions, to what extend the existing terms respond to the requirements each term should fulfill as a part of a certain terminological system from the perspective of a systemic character, accuracy and brevity.

On this regard we make:

A detailed study of the term's semantics aiming not to have two or more items for the same concept or to use a denomination for two or more notions;

A study of the term's structure; we review and select terms formed correctly, on the material of mother tongue, we fix terms which are not formed correctly and do not provide accurate scientific notion. Also we review, if possible, fix even the terms with a broad and inappropriate for use structure;

The study of word formation of the terminology system of that area which leads to the selection of the most specialized ways and models to express just in one meaning the special notion and to remove the various models which could be used. By the study of word formation we clarify the ways through which we make the completion of this terminology with new terms

No use of foreign terms which have entered with no criterion in our language and replace them with terms formed on the bases of mother tongue.

After the analyses of all these principles and work criterion we follow to analyze the terminology of different areas, the question arises: how a terminology is concretely developed and are there any factors which influence or have influenced in its current situation. Should we analyze the long list of written materials where we encounter terms, we would notice that apart from the dictionaries, we encounter terms sorted and explained in the state laws. When we talk about laws, we talk about common rules for a social group and these rules require to be followed, willingly or unwillingly. But what happens to the terms which are part of these laws? Or do the following terms and their use constitute a law in itself? Terminologists are brought to the fact that these terms, with the passing of a new law, simply show up and no one would need to know whether they are elaborated and studied according to the several criteria that are necessary to preserve the authenticity and identity of a language. To notice the development of a terminology we have chosen to see the development of an area as the one of town planning or urban planning and its laws so as to understand how this area's terminology is involved in the course of these changes.

## **The legal framework of territorial planning in Albania**

The current prevailing concept in Albania in terms of development of the territory is still far from modern concepts formulated and implemented in the European Union countries. Albanian legislation contains a set of laws which define rules for particular areas and issues related to the concept of space development, such as the environment and natural resources, including land protection; economic activity; cultural heritage; urban planning; public safety. Although some of these laws may include rules and advanced European models, seen in the whole and in interaction, in view of space development it fails in a coherent and comprehensive treatment of this concept.

However, now Albania has made its choice to integrate in the European Union and it is rapidly progressing on the path of alignment with "acquis communautaire". Through this difficult process and with the help of European Union, Albania will adopt the norms of other European countries and will contribute with its own voice in the development of the Union. The new Albanian law No. 10119 "On territorial planning" clearly recognizes the need for harmony with the European norms and the standards in planning. Moreover, the law includes two major guiding principles of territorial planning in the European Union:

- The principle of sustainable economic and social development, which provides for existing and future generations a high-quality environment, balanced and harmonious economic development, economic and social cohesion, the rational use of natural, human and material resources, development and preservation of natural and cultural heritage;
- The principle of transparency, which ensures that the planning instrument is developed and approved through an active information, accurate and timely, through consultation transparency and participation of the interested pairs and the public to protect their interests in the course of the planning process.

### **Brief history of urban development in Albania**

Albania has a complicated history of troubled spatial/urban planning dating from the last century (1950 and beyond), and which has experienced a dramatic transformation due to the change of the political and economic regime in 1990. Planning, by definition, is closely linked to the political, legal and administrative systems. As a result, the planning system has experienced a drastic transformation after the change of the political and economic regime in 1990, a change which was also accompanied with an important linguistic change.

Thus, in the 1945 – 1990s, Eastern Soviet architecture style and urban planning according to this style were dominant in all urban territories. The main instrument of "urban planning" at that time was "The regulatory Plan" for the towns or countries. Architecture, as well as the relevant terminology were extremely standardized and unified (the same models repeated all over the place) and very poor in the aspect of space quality. The terminology dictionary of architecture in Albanian and foreign language was published in 1978. Regulatory Plan was a very rigorous instrument which aimed to show the location of town buildings and their use. More than a planning instrument, it was an instrument for the government "to determine the distribution of its power in the territory", in support of section centralized policies. In the period of communism, Albanian urban planning also inherited urban structures of modern European architecture, the one of the Italian rationalism of MIAR (Movimento Italiano di Architettura Razionale). Besides various construction achievements, the country inherited by the Italian rationalism even a variety of urban plans and studies. Surprisingly the Italian influence in this sector, the terminology of the area preserved in itself thoroughly Albanian terms or created with Albanian suffixes or prefixes. This also thanks to the work done at the time by the Albanian Institute of Language and terminology for the preservation of the mother tongue. The Albanian architectural world of those years in addition to its national bed of modern architecture, recognized the modern phenomena which passed into architecture even the other countries of Eastern Europe.

The change started in 1993 when the Parliament approved law No. 7693 " On Urban Planning". This law has been changed three times during 1994 – 1997 and in 1998 the government approved a new law "On urban planning" (no. 8405) and consequently A Urban Planning Regulation (approved by the Council of Ministers). Both laws, in principle, aimed (39) to " establish general rules for the country and the architecture of the structures". The second law (changed over 10 times within a decade) brought some improvements compared to the first one, but yet it did not manage to advance in principle and recognize rapid changes which occurred at that time in the territory. Two important factors which this law did not take into account were:

- 1) The phenomenon of illegal construction in the suburbs spread quickly in all major urban centers along the west coast of Albania;

## 2) Transfer of property from state to private ownership.

However, the law for urban planning and the mentality of public officials connected to the planning and managing of the land, did not take notice of its effects for a long period of time. As the term “planning” is a concept which is intertwined with economic interests, environmental and social aspects, limiting the area, so as to make possible the study of it, has its own difficulties, from a linguistic and a technical viewpoint.

On 23 April 2009, the Albanian Parliament approved law no. 10119 “On Territorial Planning”. The law in itself is considered a framework law (44), (Framework laws give legal principles without attempting to be specific) whose implementation would thoroughly depend on bylaws and relevant regulations.

Since 2009, 7 bylaws have been prepared and at least 1 – 2 others are expected to be prepared. The law came fully into force on 30 September 2011. The new law, compared to the old one, brought a completely new concept in the way of planning, thus even a drastic change of the terminology of the area. This change came as a result of taking into account laws from different countries of the European community, for the elaboration of the new Albanian law. The new terms, along with the relevant concepts took so the state seal in Albania.

### Basic concepts revolution

Albania passed from the law of “Town Planning” to the law on “Territorial Planning”. The change of terms from “town” to “territorial” radically changes the spatial concept. If for the individual the town consisted of a border which they had to pass whenever they got into or out of it, now we no longer have a similar border because the concept has extended in various ways so as to create “urban areas” or “urbanized areas”. In this way we notice a sensitive approach between the town and the country as with this concept, the administrative services of the state theoretically do not recognize borders. I say theoretically because this terminology is practically difficult to conceive. An employee of the administration who has lived his entire life in the city, finds it difficult to provide a specialized service for that category of people who find it difficult to understand the realities of the cities because of the distance which has always kept them away and because the administration of the verbal form has always been more important than the administration through written documents. This is the evidence of how the change of terminology can be dangerous for the simple fact that it leaves “several fish without water” when it comes to immediate civilization.

It is a clearly accepted fact between actors, even institutionally, that law no. 10119, dating on 23.4.2009, “On territorial planning” 22, is a legal instrument, which does not only completely contrast from the previous legal instrument on town planning 23, but above all it forces you to move in unexplored conceptual and practical trajectories. These trajectories can be widely tested, but still really new to Albania, and moreover, not in accordance with the existing capacities. So, whether reform or not, one of the important steps of what is happening with spatial planning in Albania is changing the legal bases, passing from a law of “traditional town planning” (with rules about the setting and architecture of the buildings, and the protection of the legitimate interests related to private property), into a law which not only considers the constructions, but the whole territory, and it does not talk just about rules, but the “planning” and “development”. The changes which exist between the two legal bases of the territory and town planning, are evident since the first chapters of both relevant laws, where they introduce the aim, the objectives and the basic principles. The territory law is different from the town planning one as it enables planning not to stand alone in the “general rules for the building’s setting” on urban land, but to consider it with all its multi dimensional character and in all parts of the territory. Local planning instruments, proposed by the territory law should cover the entire administrative territory of the municipality or the relevant commune, despite the urban, rural, agricultural, natural character that this territory might have (article 27). Also, the territory law does not stop with the “planning”, but it pays significant attention to the “territory development” and its “control”.

An important conceptual step of the territory law, in contrast with the town planning law which states the preservation of legal interest regarding private property, is that it does not differentiate private and state land, but it sets rules for reasonable use of the land and it establishes the ways these rules should be applied. These rules aim to balance public and private interests and change the local authority from a follower of the private initiative to a leader of the development and establisher of the lines in which private initiative thrives and develops. Particular instruments of the development’s control come as a way out of the form of land management only through acquisition and compensation. The law goes far beyond determining the framework for these instruments, meanwhile it just mentions as a definition the concept of “the right to development”.

## The pragmatic aspect of terminology development

The right to development, though not sufficiently addressed in the law to understand why it is an important instrument and how it is used, is a key concept. It seems as if the law of the territory has been afraid to express loudly that the right to develop the territory, so to build, is established, granted or conditioned by the public interest, and the representative of the public interest is the local or central planning authority. It might be because during these 20 years of transition in Albania, there dominated the statement that “the property is mine and I can do what I want with it”. At first glance, one might assume that the real rights to land are affected. In fact, the intensity of construction, as a practical indicator of the right to develop (Juergenmeyer et al., 2003), once the various institutions, under their authority in the territory, define or prohibit it to accomplish through a series of laws and principles, that is not a real, but a virtual right.

Article 1 of the Protocol of European Convention on Human Rights defines generally that “property can’t be taken away except for public interests and in accordance with the conditions specified in the law and in the general principles of international law”. Further, this definition is supplemented by the fact that “the foregoing shall not preclude the right to apply laws which control the way of property handling, in accordance with the general interests”. So, according to this Convention, the choice for every country is open and in fact law no. 7850, dating 29.7.1994, “Civic Code”, altered, in its article 160, delegates it to planning instruments and therefore the relevant law for space planning the right to regulate the actions of territorial development. So as long as in our legal bases (no. 10119) we formulate the meaning of “the right to development” = “construction intensity and land use”, and also determine that planning authorities allow, deny or condition “the construction intensity” and “the kind of land use”, then we have selected a variable, transferable “right to development” and subject to simultaneously market and public rules. So, even at this point, the territorial law should not have been complex to be linguistically and practically more accurate.

The new law has introduced the concept of “Territorial Registry” as one of the means to establish the foundations of sustainable development in the territory. The Registry, by law, is a multidimensional database in the geographic information system. This really technological way of keeping and administrating the information over the territory is obviously valuable in the process of territorial planning and development, but it is still far from the current logistic and human resources’ capacities to apply it.

## Conclusions

The introduction of new terminology into law requires a change of mindset of institutions and law enforcement in general. The fact that for years we have learned to use a specific legal base and a specific planning language, becomes a barrier to accept and apply a new law. If a law appears to improve something; its radical terminological change becomes a barrier for further development as the written language should correspond to an actual physical action. A failure of words leads to the increase of the cost at the expense of the Albanian citizens.

The processes of science and technique globalization in various areas as the area of town planning which we analyzed up above, are ceaseless. So are the various terms which are introduced to the Albanian language. It is evident that their Albanisation and standardization cannot wait. One of the most important tasks, but even difficult, that has to do with the standardization of every terminology, is making use of well – defined and well – established terms. These terms should be used unanimously to all documents, be they legal, administrative or scientific.

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## José Agustín Blanco Barros (1922 – 2016): Un Provinciano Universal.\*

Pedro Castellón Patiño

Docente de Universidad del Atlántico (Colombia). Magister en Historia de la Universidad Nacional de Colombia, sede Bogotá (Colombia). Miembro del grupo de Investigación Educativo en Ciencia y Tecnología (Gesit) de la Facultad de Educación Categoría A, Colciencias, Grupo Interinstitucional de la Universidad del Atlántico (Colombia). Miembro del Centro de Historia de Sabanalarga, Atlántico (Colombia).

### Resumen

Este artículo es parte de una investigación sobre la vida y obra del geógrafo e historiador del caribe colombiano José Agustín Blanco Barros. En este trabajo se da cuenta de su formación intelectual inicial en su Matria de la mano de su padre, José Agustín Blanco Vásquez, un filósofo y maestro de escuela, de formación Eudista en el Seminario de Cartagena cuando cursó la carrera de filosofía y con los Hermanos de La Salle, Barranquilla. Esto le sirvió de base para convertirse un protagonista de dimensión universal.

**Palabras clave:** Provinciano, Universal, Ilustrado, Matria, Aldea

### Abstract

This article is part of an investigation about the life and work of the geographer and historian of the Colombian Caribbean José Agustín Blanco Barros. In this work, he realizes his initial intellectual formation in his Matria under the guidance of his father, José Agustín Blanco Vásquez, a philosopher and school teacher, of Eudist training at the Cartagena Seminary when he studied philosophy and with the Brothers of La Salle, Barranquilla. This served as the basis to become a protagonist of universal dimension.

**Keywords:** Provincial, Universal, Illustrated, Matria, Village

Que lumbrera intelectual se ha apagado.

Que gran corazón ha dejado de latir".

Federico Engels.

### Itinerario De Vida

Nacimiento: Educación en Sabanalarga (1922 – 1938). Formación en la Escuela del Litoral Atlántico, Barranquilla (1938 – 1941). Docencia en Piojó (1941 – 1943). Colegio La Concentración Simón Bolívar, Sabanalarga (1943 – 1946).

Antecedentes de la Escuela Normal Superior (1900 – 1936). Estudios en la Escuela Normal Superior, Bogotá (1947 – 1950).

Consolidación de su pensamiento académico e Investigativo.

Docencia en la Universidad Pedagógica y Tecnológica de Colombia, Tunja (1952 – 1963). Estudios en (1958 – 1959). Regresó a Bogotá y su vinculación con el Instituto Geográfico Agustín Codazzi, Universidad Nacional de Colombia y Pontificia Universidad Javeriana (1960). Docente Universidad Nacional de Colombia, jubilado en 1987 al cumplir 65 años de enseñanza en la Institución. Continúo de docente en la Universidad Javeriana retirándose definitivamente en el 2004 debido a sus condiciones de salud.

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\* Este artículo hace parte de la Investigación sobre la vida y obra del geógrafo e historiador del Caribe Colombiano José Agustín Blanco Barros, recientemente fallecido.

Murió en su tierra natal en Abril 2016.

El inicio de la formación intelectual e investigativa de José Agustín Blanco Barros, sirve para comprender su gran aporte a las disciplinas humanísticas, la geografía y la historia en Colombia y particularmente del Caribe Colombiano.

Esta formación estuvo marcada en su aldea no global, Sabanalarga, con una población para 1922 de 44.450 habitantes<sup>1</sup>. Situado a cuarenta kilómetros de su capital, Barranquilla. "Población que no fue fundada por voluntad de ningún conquistador español, si no por el espontáneo concurso de un grupo de colonos, empezó a formarse en la época de la colonia y residió en ella una capitania Aguerra y posiblemente fue fundada en las ritualidades acostumbradas en la época de la Conquista, a principios del siglo XVI. Lo cierto es que allí fijaron su residencia nobles familias españolas"<sup>2</sup>.

Allí inicio sus primeros pasos en un ambiente guiado por su padre que:

"como era habitual en su padre reunirlo en las tardes con su hermano Lázaro para leerles las obras de Tito Livio en latín. Así mismo cuando el tiempo lo permitía, lo llevaba en las noches a las lomas del Norte de Sabanalarga, en ese entonces deshabitadas, para enseñarle las principales constelaciones y algunos principios de Cosmografía. La amplia biblioteca de la casa le permitió conocer obras de literatura clásica y europea, gramática española, revistas y periódicos, entre las que se destacan: Historia de Roma de Tito Livio, Las Catilinas de Cicerón, Gramática Castellana de Andrés Bello, Apuntamientos al lenguaje Bogotano de Rufino José Cuervo, Los sueños de Pulgar de Marco Fidel Suárez, La Divina Comedia de Dante Alighieri, El Criterio de Jaime Balmes, La historia de Colombia de José María Quijano Otero, Historia de la Edad Media del Abate Drioux, El Perro de Baskeville de Sir Arthur Conan Doyle, La Saga de Arsenio Lupin, sobre Mauricio Leblanc, poesías de Julio Arboleda y Rafael Maya, las revistas Bohemia de Cuba y los periódicos La Prensa, El Heraldó, El Tiempo y el Siglo"<sup>3</sup>.

Se pretende aquí revelar el itinerario recorrido por José Agustín Blanco Barros, desde su Matria, propio de un provinciano quien con su talento y formación temprana de maestro logró convertirse en un provinciano universal como lo resalta la siguiente cita:

"Debo resaltar que el desarrollo de este maravilloso ser humano fue bajo las enseñanzas de mi abuelo José Agustín y el amoroso cuidado de mi abuela Dominga en el caluroso Caribe colombiano, en una fresca casa de Sabanalarga junto con sus hermanos con los cuales compartió libros, lecturas, tertulias y comentarios. Su inquietud por profundizar el conocimiento lo trajo a estas frías tierras bogotanas, donde con disciplina y a través de la guía de profesores europeos, adquirió una formación sólida e investigativa"<sup>4</sup>.

¡Todavía le faltaba mucho para ser Especialista en geografía de la Universidad de Tokio, Doctor en Ciencias Sociales de la Universidad Pedagógica Nacional y profesor de la Universidad Nacional de Colombia!

### **La Matria Entre El Filósofo Y El Provinciano**

En su Matria, en esa aldea no global empezó a nutrirse ese intelecto que en un ambiente propio constituyó el punto de arranque. Allí inició su formación primaria en la Escuela Segunda de Varones de Sabanalarga, donde terminó en 1933. La educación la realizó en el Colegio Superior de Sabanalarga. Su formación de maestro fue cimentada al inscribirse en la Escuela Normal del Litoral Atlántico, al trasladarse a Barranquilla en 1939. Allí cursó así dos años más de formación académica. Aprendió los modelos pedagógicos de Enrique Pestalozzi y María Montessori.

José Agustín Blanco Barros nació el ocho de Noviembre de 1922. En Febrero de 1947 llegó a Barranquilla para continuar su formación académica en la Escuela Normal Superior donde cursó la Licenciatura en Ciencias Sociales y Económicas.

<sup>1</sup> Véase, Habitantes que pertenecen al Departamento del Atlántico (Colombia). Volumen del Centenario de Bogotá. 1910, 352.

<sup>2</sup> Pedro Castellón Patiño, "Hernán Berdugo Berdugo y los inicios del movimiento liberal autónomo en el Departamento del Atlántico (1918 – 1997)", 3.

<sup>3</sup> Hernando Castro Vargas, "José Agustín Blanco Barros, el legado de un Geógrafo" Documentos Javerianos Juan Manuel Pacheco, S, J. (Bogotá: Noviembre 2014), 23.

<sup>4</sup> Hernando Castro Vargas, "José Agustín Blanco Barros, el legado de un Geógrafo" Documentos Javerianos Juan Manuel Pacheco, S.J. (Bogotá: noviembre 2014), 9 y 10. Presentación de este texto por María Melania Blanco Barón, Hija de José Agustín Blanco Barros.

Allí tuvo a connotados profesores destacados en todas las áreas, principalmente de la talla de Rudolf Hommes en Doctrinas Económicas; a Ernesto Gulh en Cartografía, Julio César García en Historia y Carlos Trujillo en Edad Media.

Obtuvo el título de Licenciado en 1950. Con este título decidió la continuidad de sus estudios en Geografía, Historia y Cartografía con una beca otorgada por la Unesco en 1958 para realizar una especialización en geografía, la cual culminó en 1959, en la Universidad de Tokio.

José Agustín Blanco Barros fue geógrafo e historiador con una vasta producción en ambas disciplinas. Autor de más de diez libros que develan los procesos de consolidación urbana de Barranquilla, Sabanalarga, Juan de Acosta, de geografía del Atlántico, del norte de Tierradentro. Sin José Agustín Blanco Barros todavía estuviéramos repitiendo como loros el cuento de los pastorcillos galaperos<sup>1</sup>.

Entre su producción se destacan entre otras: Regiones Naturales: Investigaciones geográficas de Extranjeros en Colombia después de la Segunda Guerra Mundial; Santa Ana de Baranoa: de pueblo de indios a parroquia de vecinos libres (1945); Investigaciones acerca del primer censo de Colombia; Tubará: la encomienda mayor de Tierradentro; Juan de Acosta y Saco: Tierra y Sociedad.

Su producción histórica y geográfica, al igual que su labor docente en la Universidad Pedagógica Nacional de Bogotá, Universidad Nacional de Colombia sede Bogotá y la Pontificia Universidad Javeriana en Bogotá, le valió el reconocimiento meritorio como Miembro de número de la Sociedad Geográfica de Colombia, de la Academia Colombiana de Historia, Asociación of American Geographe, Orden Javeriana en el grado Caballero; Miembro Honorario de la Asociación de Profesionales de Sabanalarga (ASPROS); medalla Orden de Barlovento de la Asamblea del Departamento del Atlántico, medalla Profesor Honorario de la Universidad Nacional de Colombia; Profesor Honoris Causa de la Universidad del Atlántico.

Pionero en la Investigación Histórica del Caribe Colombiano “desde el decenio de 1970 el profesor José Agustín Blanco, comenzó a publicar ensayos sobre la Historia Colonial del Departamento del Atlántico. En 1972 publicó la noticia “Historial de la Provincia de Cartagena escrita por el Obispo Diego de Peredo en 1772. Ese año también publicó su estudio “El Censo del Departamento del Atlántico (Partido de Tierradentro) en 1977. En ese año también publicó el libro Sabanalarga: sus orígenes y su fundación definitiva. En 1980 el ensayo Santa Ana de Baranoa: de pueblo de indios a parroquia de vecinos libres (1745). La mayoría de estos trabajos pasaron desapercibidos. En parte por la muy restringida circulación de revistas en nuestro país, pero sobre todo porque las inquietudes de los historiadores de Barranquilla estaban centradas en los siglos XIX, XX bajo las indagaciones de la historia económica y social. José Agustín Blanco Barros dejó un vasto legado e impactó a todas sus publicaciones historiográficas. Heredero del pensamiento ilustrado del siglo XX. Descendiente de familias de educadores y de intelectuales<sup>2</sup>

Nos es preciso plantear los de provinciano universal para compararlo en una dimensión similar con un Fernand Braudel quien cimentó su obra cumbre: El Mediterráneo y el Mundo Mediterráneo en la Época de Felipe II, un compendio o tratado de Geografía e Historia. La producción y el itinerario de vida de José Agustín Blanco Barros nada deben envidiar.

Su aporte constituye un legado para continuar su senda productiva la cual sintetizó en una nota a su hija María Melania Blanco Barón en 1987: “enséñale a Santiago que su abuelo José Agustín, durante años quiso averiguar por un viejo y maravilloso pasado de su gente, para poder andar hacia el porvenir”. Lo provinciano o universal ha sido una constante de la historia: “jóvenes ambiciosos que salían para hacer revolución, millones o ambas cosas a la vez. Robespierre salió de Arras; Gracchus Babeuf, San Quintín; Napoleón Bonaparte de Ajaccio<sup>3</sup>”.

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<sup>1</sup> Adlai Stevenson Samper. “José Agustín Blanco escribe la parte final de su historia”. Inédito, Bogotá, Noviembre 2014.

<sup>2</sup> Adlai Stevenson Samper. “José Agustín Blanco escribe la parte final de su historia, 23.

<sup>3</sup> Eric J Hobsbawm, Las Revoluciones Burguesas. (Madrid: ediciones Guadarrama, 1971).

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## ANEXOS



Casa de la familia Blanco - Barros en Sabanalarga, Atlántico



## Reading Ability as a Learning Experience and Meaning Making in Class: the Case of Greek Primary Schools

Smaragda Papadopoulou

Stamatis Goumas

### Abstract

The purpose of the research is to study students' performance in the field of reading literacy. Overall, 155 pupils aged between 11 and 12 were involved in the research study. The collection of the sample was done by Greek public primary schools in urban and semi-urban areas. According to the results, there are statistically significant differences in pupils' performance in terms of gender and age, while statistically insignificant is the difference in the level of geographical deviations. A significant proportion of the sample showed that students are unable to approach the performance base, facing serious difficulties in recovering information. Especially, their difficulty in interpreting and correlating information to make a decision about the content of reading is clear in our data. Based on the results of the statistical analysis, the students' attitudes towards reading, the reading strategies and their views on the role of school in reading capacity and application of reading skills are positively related, but reading skills in comprehension level of the content and meaning making is not related to the above factors.

**Keywords:** reading, text comprehension, language semantics, school, child

### Introduction

Reading and reading literacy as we focus at this research, is a function of the general term Literacy as we know it the last two decades, (Kress (1997, 2003).

Reading literacy in terms of the International Student Assessment (PISA) understands, uses, and reflects on written texts, in order to achieve one's goals, to develop one's knowledge and potential, and to participate in society. This option may be partly different of the modes and functions of the well-known linguist Halliday in understanding what language is in terms of reading capacity, (Halliday. M.A.K., & Hasan, R. (1989).

Kress (1997, 2003) describes significant differences between the words and images as long as society changes in a rather visually concentrated education and society,

Reading differences are dependent on the way modes are processed and how particular modes activate a meaning-making process for the reader. In multimodal texts, compared with print-based texts, the reader will use various senses (sight, hearing, tactile, kinesthetic) to respond to other modes (Bates1976). Organizations such as PISA reflect empirical knowledge and assume to what extent adolescents are able to understand and integrate texts they are confronted with in their everyday lives. This opportunity as a research with children as a indicative process gave us a challenge to search the data in reading with children at Greek schools. Criteria such as reading speed take a back seat in our case. PISA measures the following dimensions:

- a. Retrieve texts and access them
- b. Interpret and integrate texts
- c. Reflect and evaluate texts

*Critical communication of reading materials focuses deeper than the cognitive components of reading, the decoding of words and the perception of the meaning of the text. It is therefore intended to approach issues dealing with motivation and participation in written material "(Eurydice, 2011: 7). In short, understanding the text (reading literacy) is "... the ability to extract meaning from the written text for some purpose", (Vellutino, 2003: 51). Moreover, in PIRLS research (Mullis, Martin, Gonzalez, & Kennedy, 2003: 33), reading literacy is the ability to understand and use those written forms of language required by society and / or valued by the individual. Young readers can make meaning from a variety of texts. They read*

so that they learn, participate in reading communities and enjoy this dimension of human communication. These purposes refer to the self-realization of the individual, both as a person and as a member of society (Mullis, et al., 2003).

According to the aforementioned definitions, the individual, during the reading of the text is not limited to the decoding of the written discourse, but seeks to interpret the content, reflect on it and ultimately understand it, with the goal of using it in a pragmatic rather than theoretical background. This can be considered as a methodological approach of language acquisition.

Memory plays an important role regarding the reading comprehension process, on the part of the reader (Papadopoulou Sm., 2004). This is a classical opinion in the area. In the Borella and de Ribaupierre research (2014) it was observed that working memory, wherein information coding processes are usually conducted explains a significant part of the performance variation in understanding the text, regardless of any age influence.

Another important factor is reading strategies. Reading strategies highlight both strategies that readers manage their interaction with the text and their potential ability to understand the text. When conceptual knowledge is inadequate or when text literacy is low, reading strategies play a major role in reading literacy, (McNamara, 2004).

According to Graesser (2007: 6), these are "*cognitive or behavioral actions that have been adopted under specific contextual situations to improve certain aspects of understanding.*" According to Afflerbach, Pearson and Paris (2008: 368), the reading strategies are *those specific, deliberate and goal-oriented mental processes that control and modulate the efforts of the reader to decode a text, understand its words and construct its meaning.* The results of a limited Greek study such as ours revealed moderate interrelationships between knowledge of cognitive strategies, knowledge of metacognitive strategies and reading literacy. Awareness of cognitive strategies and metacognitive strategies explained the 7.7% and 8.1% of the variance, respectively, in reading comprehension over and above the reading accuracy and reading fluency that explain together 35% of the total variance, and significant differences, in terms of the frequency of use and the type of strategies among competent and weak learners (Anastasiou & Griva, 2009, Bakhtin, MM, 1986).

Other critical factors that usually have a significant impact on pupils' reading skills are the family and environmental stimulation (Deci & Ryan, 2002), the economic and cultural status of the family (Van Voorhis, Maier, Epstein, Lloyd, & Leung, 2013), reading which is noted for pleasure as an aesthetic value (Clark & Rumbold, 2006), literacy and word recognition skills (Perfetti & Hart, 2001) as well as text issues such as vocabulary enrichment, syntax, thematic preferences, title, presence of illustration in the book which accompanies the text, as well as content development and understanding of ideological issues or episodes within the text, (Porpodas, 2002: 415).

## **Research part**

### **Purpose and objectives**

The purpose of the limited research is to indicate and evaluate the performance of 5th and 6th grade students in the field of reading literacy. In particular, both the descriptive and the interpretive approach to the phenomenon are sought. The choice of the particular thematic nucleus was based on the fact that in the Greek literature, research on the development of literacy as a phenomenon as well as the processes used for processing written texts is shorter compared to the international literature (Αϊδίνης 2012: 30, Παπαδοπούλου 2004).

### **Data collection method selection**

For the collection of data and the subsequent assessment of students, a three-step questionnaire (reading, reading, schooling - linguistic activities) was set up where the answers are given on a 5-point Likert-type scale, as well as a test comprising of three texts and a total of 60 questions. The questionnaire is an easy-to-use and cost-effective means of collecting information that enables researchers to express themselves anonymously, honestly, while the data collected with it can be classified, processed and exploited with relative ease.

As far as the test questions are concerned, these are structured into three categories. Each category includes 20 questions. The first category includes the information retrieval questions. In this case, students are asked to locate in the text an explicitly mentioned piece of information or request. The second category includes interpretation questions, where students are required to understand the meaning and explain it, in accordance with the aim of the question. In this case, students are asked to find a synonym or an antonym, to interpret a metaphor or extract the information from a section of the text. The third category includes questions related to correlating text information or asking for a decision based on information

linking. Students are asked, either to draw a conclusion from different parts of the text, or to make a decision in a real environment based on the acquired information of the text or their pre-existing knowledge.

The test includes 37 closed-type multiple choice questions on the basis of international specifications, where students are asked to choose a correct answer among four options, and 23 open-ended and short-term questions. The overall student score is the percentage that results as a quotient of the total of the correct answers to the sum of the questions, while, for methodological reasons, success rates are exported for each of the categories of questions.

### Sampling

The sample was selected using the stratified random sampling method. According to Robson (2010: 310), this method "involves distinguishing the population in a number of groups or strata, where members of a group share a particular feature or attributes." In this case, the specific feature sought for the survey is 5th and 6th grade students. Based on this characteristic, schools from Attica and Ioannina in Greece (Europe) were sought. The schools were coded on the basis of the list and their selection was made by being randomly drawn.

### Reliability and validity

In order to assess the reliability of the questionnaire, the IBM SPSS v21 statistical program was used and the Cronbach's alpha index was utilized, with values greater than 0.7 being considered satisfactory / acceptable (Spector, 1992). The total confidence level of the questionnaire is 0.77 and is acceptable. Furthermore, with respect to the reliability and validity of the test, the biserial point correlation coefficient was used. This factor helps the investigators-educators find out, whether the question-items options are correct. Based on the result of the second table, it is noted that all sixty questions are properly adjusted, while the value of 0.93 shows an almost perfect application.

### Research Questions

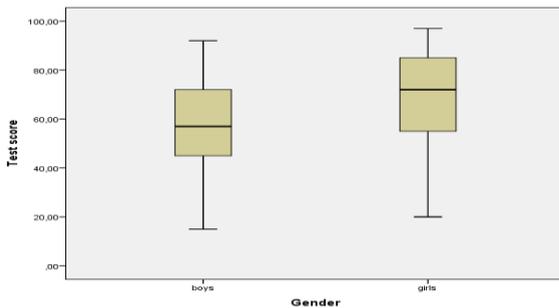
Based on the available information and the data derived from the international literature, the following working hypotheses were made:

- 1) The performance of girls is better than that of boys, as is the case with similar researches? (Elley, 1992. Mullis et. al., 2003, Mullis, Martin, Kennedy, & Foy, 2007. OECD/UNESCO Institute for Statistics, 2003. OECD, 2007. OECD, 2014. OECD, 2016)
- 2) Do sixth graders get better grades than fifth graders? (Φράγκος, 1972)
- 3) Do students residing in urban environments get better grades/scores than those in semi-urban environments? (OECD, 2007). Moreover, which of the three categories of questions and what type of text are the students expected to score better in?

In order to evaluate performance based on gender and to find a possible difference between the two categories, the t-test was used to test and compare the averages of both genders. The t-test is used to compare the averages of two sets of values that differ with respect to a particular feature. For the use of the t-test, the necessary conditions are that there are no extreme values, the dependent variable is quantitative, while the independent one is qualitative and includes two values. In this case, the students' performance is defined as the quantitative variable, while gender is defined as a two-value qualitative variable, where the boys are registered under the value 1 and the girls under the value 2. Regarding the hypotheses, they are worded as follows:

**Zero Hypothesis (H<sub>0</sub>):** There is no statistically important difference observed between the averages of the two groups.

**Alternative Hypothesis (H<sub>1</sub>):** There is a statistically important difference observed between the averages of the two groups.



For the control of extreme values, the above box plots were constructed. The first box plot shows the range of the boys' score/performance and the second one of the girls'.

It is observed that there are no extreme values in the sample, as far as gender is concerned. As far as boys are concerned, both the maximum and the minimum performance lack compared to those of the girls. The same is true for the average score, where girls are seen to outweigh the boys.

In the regularity test regarding the boys, control over the Shapiro-Wilk criterion (1965) suggests that the equality hypothesis cannot be dismissed at a 5% level ( $p\text{-value} = 0.063 > 0.05$ ). In contrast, for the girls, the check indicates that the equality hypothesis must be rejected at a 5% level ( $p\text{-value} = 0.000 < 0.05$ ). Therefore, a non-parametric control was applied, in order to control the existence of a possible statistically significant difference between the genders. In the non-parametric check, the zero hypothesis ( $H_0$ ), according to which, there is no statistically important difference observed between the averages of the two groups, should be rejected. This is because the value of  $p = 0.000 < 0.05$ . So, the alternative hypothesis ( $H_1$ ), according to which there is a statistically important difference observed between the averages of the two groups, is accepted.

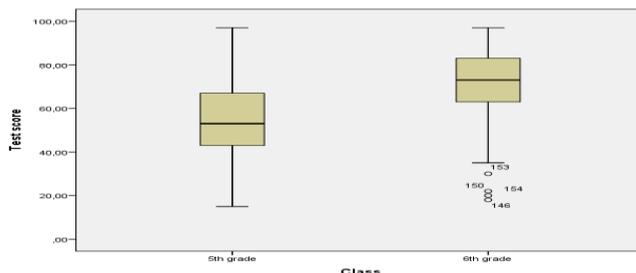
## Results

Positive correlations were found between its three scales questionnaire, which, however, are not related to student performance, although there seems to be a clear trend towards a statistically significant outcome between the performance and the scale of attitudes towards reading. In particular, regarding the scales, it is noticed how better they are students' attitudes towards reading, when they use reading strategies more than in regular class. In addition, the better opinion they have about it proves effectiveness of the school in the cultivation of reading literacy. We also observed that pupils of the sixth grade had a better average performance compared with the fifth-grade pupils, girls scored better than boys, while most performance varies in price levels "Moderate" or "fairly good".

## Results in the class/ grade-based assessment

**Zero Hypothesis ( $H_0$ ):** There is no statistically important difference observed between the averages of the two classes/ grades.

**Alternative Hypothesis ( $H_1$ ):** There is a statistically important difference observed between the averages of the two classes/ grades.



It is observed that there are four extreme values in the sample, as far as gender is concerned. More specifically, in the box plot representing the value range of the sixth graders, it is noted that the students' performances coded with numbers 146,

150, 153 and 154 represent extreme values. Due to their small number and due to the size of the aggregate sample, it is possible to remove them, to make possible the continuation of the process. As far as the average performance is concerned, it seems that the sixth graders' grades are significantly superior.

Regularity check

	Class	Kolmogorov-Smirnov <sup>a</sup>			Shapiro-Wilk		
		Statistic	df	Sig.	Statistic	df	Sig.
Test score	5 <sup>th</sup> grade	,063	77	,200*	,980	77	,257
	6 <sup>th</sup> grade	,147	74	,000	,933	74	,001

\*. This is a lower bound of the true significance.

a. Lilliefors Significance Correction

In the regularity test, regarding the fifth grade, Shapiro-Wilk's test suggests that the equality hypothesis cannot be rejected at a 5% significance level ( $p\text{-value} = 0.257 > 0.05$ ). On the contrary, as far as the sixth grade is concerned, the check suggests that the equality hypothesis should be rejected at a 5% significance level ( $p\text{-value} = 0.001 < 0.05$ ). Therefore, non-parametric control was applied, in order to control the existence of a possible difference between classes/ grades.

Correlations		Test score	Attitudes towards reading	School's role	Reading strategies
Test score	Pearson Correlation	1	,149	,067	,108
	Sig. (2-tailed)		,065	,410	,181
	N	155	155	155	155
Attitudes towards reading	Pearson Correlation	,149	1	,438**	,586**
	Sig. (2-tailed)	,065		,000	,000
	N	155	155	155	155
School's role	Pearson Correlation	,067	,438**	1	,387**
	Sig. (2-tailed)	,410	,000		,000
	N	155	155	155	155
Reading strategies	Pearson Correlation	,108	,586**	,387**	1
	Sig. (2-tailed)	,181	,000	,000	
	N	155	155	155	155

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

Based on the results of the table, it is observed that the correlation coefficient ( $r = 0.438$  \*\*) regarding the attitudes towards reading and the role of the school is positive, indicating a moderate connection and is statistically significant at a significance level of  $p = 0.01$ , whereas, regarding the attitudes towards reading and reading strategies, the correlation coefficient ( $r = 0.586$  \*\*) is positive, indicating a moderate connection, and is statistically significant at a significance level of  $p = 0.01$ . Moreover, the reading strategies are positively correlated with the role of the school, since the correlation coefficient is positive ( $r = 0.387$  \*\*), indicating little connection. On the contrary, in terms of test score, this is not related to a scale, although there is a clear trend observed, as far as reading attitudes are concerned, towards a statistically significant result.

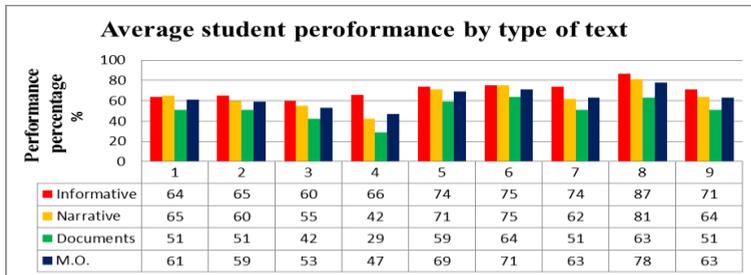
### Classes/ Grades averages per question category

According to our results the averages of the eight groups of the two classes/grades and to the type of question give the answer to the last research question: students achieve better performance in information retrieval questions. The average performance of the eight groups examined is 70% in the information retrieval category, 62% in the interpretation questions and 56% in the information correlation questions, while the overall average performance is 63%. Regarding the retrieval questions, it is noted that it is the question category, where students that participated in our research achieve the best performance.

### Classes/Grades averages per text category

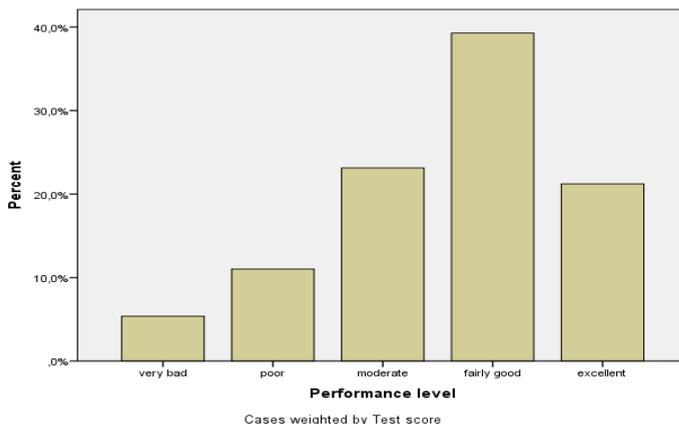
As can be seen from the table below, students generally perform better in informative texts, with the exception of the fifth grade students in the elementary school of Ioannina, which is a smaller city in comparison with Athens and the sixth grade students of the elementary school in the area of Anatoli, Ioannina. On the contrary, the non-continuous text consisting of

documents is the type of text, where students systematically score their worst performances according to the average. As the data show, the average of the classes/grades is 71% in the informative text, 64% in the narrative text and 51% in the non-continuous text with documents, tables and maps.



### Students' performance classification based on test score/ performance

Based on their score/performance, students were conventionally classified into five categories. The "very bad" value includes the range of values 0-35, the "poor" one includes a range of 36-49, the "moderate" consists of a range of 50-69, while the "fairly good" has a range of 70-84 and, finally, the "excellent" performance contains a range of 85-100.



According to the table depicting performance, there appears to be an excellence of the "fairly good" performance. There are still very small differences between performances that are characterized "very bad", "poor" and "excellent". "Moderate" performances seem to appear with the second highest frequency.

It is noted that the high number of "fairly good" performances is due to the inclusion of performances that could be simply referred to as "good".

### Discussion

As we already observed, the better the students' attitudes towards reading are, the more they use reading strategies. In addition, the better their opinion about the effectiveness of the school in the cultivation of reading literacy is, the more positive their attitude towards reading, while they use reading strategies more frequently.

It was observed that sixth grade students had a better average performance compared to fifth-grade ones, girls scored better than boys, while most performances ranged at "moderate" or "fairly good" values. 28.4% of students failed to reach the base, exhibiting serious weaknesses in interpreting and correlating information processes. It is noted that this percentage is almost in line with the results of the PISA surveys, as 21.3% of the Greek sample students were found under level 2 in 2009, while this figure exceeded 25% in 2015 (OECD, 2010a, OECD, 2016).

With regard to the first research question that girls' performance is expected to be better than that of boys, the finding was consistent with the findings of international surveys (Elley, 1992; Mullis et al., 2003; Mullis et al., OECD / UNESCO Institute

for Statistics, 2003. OECD, 2007. OECD, 2014. OECD, 2016). Moreover, the consequence of the superiority of girl students' performance is also reflected by the fact that their averages exceeded in seven of the eight groups examined, with the difference ranging from 2% to 21%. Also, in five cases a double-digit difference between the girls' and boys' averages was observed. In particular, the average performance of the boys is 56.3%, and of the girls is 67.9%. This difference in average performance between the two genders is 11.6% and was identified as statistically significant.

The difference in average performance is interpreted by a number of factors. According to results of the PISA survey (OECD / UNESCO Institute for Statistics, 2003: 181) in comparison with our study's results the coefficient of the variable corresponding to reading out of personal pleasure is positively related to predicting a student's performance in the field of text comprehension. It can be assumed that students, who spend more time reading for pleasure as an aesthetic value of language, come in contact with a larger variety of written texts and display a more positive attitude towards reading. It is noted that these students tend to have higher scores in the field of reading literacy, even after taking into account other factors such as gender, number of siblings, economic, social and cultural situation as well as the level of wealth in the country. In the present study it was observed that girl students report a more positive attitude towards reading. In particular, girl students are found to be friendlier to reading, spend more time daily reading non-school books, and feel more joyful than boy students, when they receive a book as a gift. At the same time, their attitude to reading is also established by the frequency of their visits to book-affiliated places/ venues. In addition, the type of text affects the level of understanding and is likely to be a significant contributor to performance. Narrative texts, as reported, include stories, novels and poems (Primor et al., 2011).

Concerning the second research question, regarding the difference between the classes/ grades, there is a significant difference between the averages of the groups, which was characterized as statistically significant. Inevitably, the sixth graders, due to fact that they had more impulses and experience, exhibited better performance, although the maximum performance (97%) is the same and common for both classes/ grades. The fifth graders in this research presented a higher incidence of "very bad" and "poor" performance scores than the sixth graders, a finding that is consistent with an earlier study (Φράγκος, 1972).

The third research question, about the performance differences between the students, regarding the area variable showed that there was no statistically significant difference. We examine here the student's performance in relation to the type of text and the type of question. The students showed better performance in the informative text (71%), followed by the narrative text (64%), while the worst performance was recorded in the non-continuous text (51%). The difference in student performance of this research between the informative text and the narrative one is not consistent with the results of the 2001 PIRLS research, where Greece participated (Mullis et al., 2003). The finding that students achieve better performance in continuous texts, compared to the non-continuous ones, is in agreement with a corresponding research in Cyprus (Vasilidis et al., 2006). This is interpreted based on the type of questions contained in the non-continuous text, after, basically, utilized information-correlation questions. The average performance of the eight groups examined is 70% in the category of information retrieval, 62% in interpretation questions and 56% in information correlation questions. It has been argued that, as the degree of difficulty of questions increases, the degree of success of students is reduced. It is also quite possible that the difference in the types of text is due to their theme or their degree of difficulty.

As far as types of questions are concerned, the students, as mentioned, are managing, at quite a satisfactory level, to find information in the text. The recovery process involves the ability to decode the text on the part of the student. Some students' weaknesses are found mainly in questions that do not contain the elements mentioned in the text, such as the text, where the students had to reject the possible answers contained in the text.

Moreover, there is an inability of the students, to divide information based on their morphological representation at a word level, and not on their graphic representation, since in the case of the question: "How many subway lines are there on the map, according to the memorandum?" of the third text, the students did not decode the information correctly, scoring the lowest total performance in a question in this category.

In relation to the interpretation questions, the students scored good enough, but some difficulties in specific areas were observed. Students, especially fifth-grade students, are experiencing serious difficulties in finding synonyms or antonyms, as there are questions where the percentage of students is below the average. Indicatively, in the questions, where it was asked to find synonyms for the words "otherwise, necessary, beneficial" the percentages were 57%, 47% and 54% respectively, while for finding an antonym for the word "we were turning", the percentage reached 50%. Problems are also found in the interpretation of metaphors, as shown by the examples of questions. "My professorial words escaped as if they were hieroglyphics. What is the meaning of the phrase?" (Average = 51%) and "Which hand took a tremendous sponge

and made the soul an empty table? Interpret the phrase” (Average = 35%), despite the fact that the questions were formulated as a multiple choice. Finally, weaknesses are found in the field of semantic rendering of symbols and numerical data. On the questions, “Which month does the summer season include, according to the opening hours of the Acropolis Museum?” (Average = 44%), and “Morning and noon are expressed by which point of time?” (Average= 52%), where in the first case the students were asked to interpret the following symbol (-) between the months and, in the second case, to interpret the points of time of the choices, in order to select the correct answer.

Based on the current research, it was found that one in five students did not adequately correlate information to existing knowledge or use the information in everyday life. The finding that students are lacking in this category of questions is consistent with the results of another/ previous research (Elley, 1992).

Concerning the interpretation of student performance, there was no correlation with the questionnaire scales, although there is a clear trend towards a statistically significant effect of the scale of attitudes towards reading on test score/performance.

Also, it has been found that students who use reading strategies successfully when reading scientific papers, score better performance (Herman, Perkins, Hansen, & Gomez, 2010). Therefore, for the sample case, other parameters may have set the level of performance.

An important parameter is the frequency and quality of interactions between students and parents. The level of student reading literacy is significantly influenced by the interaction with their parents in pre-school age, although this effect at the age of 10 is not so significant, apart from their common and frequent visits to a library or a bookstore (Geske & Ozola, 2008). More generally, however, the overall impact of the family environment on reading literacy is high, since, according to research results, it has been found to be an important part of the overall variance of the correlation between , (Alivernini, Lucidi, Manganellia, & Di Leoa, 2011).

In addition, reading opportunities in the social environment appear to be very important. Inevitably, reduced reading opportunities potentially lead to reduced language comprehension, verbal skills, and the use of higher language skills in reading comprehension, thus increasing the knowledge base of the students with increased performance, while simultaneously lowering the corresponding lower-performance base (Stanovich, 1986). Finally, cultural practices and activities of parents with children, higher levels of social resources, the effects of the cultural and socio-economic situation of the family and pre-existing knowledge of students, all significantly affect academic performance in this field of reading performance and skills accompanied from this area, (Anderson & Cheung, Miller & Keenan, 2009).

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## **Biofeedback Training for the Recovery of Urinary Continence After Prostatectomy: a Systematic Review**

**Nívea Adriano de Santana e Santos**

**Maria Vieira de Lima Saintrain**

**Carina Barbosa Bandeira**

**Ana Ofélia Portela Lima**

**Rosendo Freitas de Amorim**

**Davi Oliveira Bizerril**

Programa de Pós-Graduação em Saúde Coletiva, Universidade de Fortaleza (UNIFOR), Fortaleza, Ceará, Brazil

**Flaviano da Silva Santos**

Curso de Psicologia, Universidade de Fortaleza (UNIFOR), Fortaleza, Ceará, Brazil

### **Abstract**

Post-prostatectomy incontinence (PPI) has various forms of treatment to improve pelvic floor muscle function and biofeedback can accelerate the return to continence. We aimed to systematize scientific evidence on the use of biofeedback in the recovery of PPI. Randomized controlled trials (RCTs) on the treatment of PPI through biofeedback with or without other techniques were selected from MedLine/PubMed, LILACS, Cochrane Library, SciELO, IBECs and PEDro databases using the descriptors prostatectomy AND urinary incontinence AND pelvic floor. Methodological quality was assessed using the Cochrane risk of bias tool and Jadad scale. In all, 61 articles were reviewed and nine which used biofeedback after prostatectomy were selected. In 55.5% (5/9) of the studies, biofeedback presented better results (recovery of continence) compared to other types of treatment or no intervention. Shorter time to recovery of continence was observed in three studies. Biofeedback appears to be an effective option for the recovery of continence after prostatectomy.

**Keywords:** Prostatectomy; Urinary incontinence; Pelvic floor

### **Introduction**

Prostate cancer (PC) is the second most common cancer in men worldwide, with an estimated 1.1 million new cases according to the latest worldwide estimates dating from 2012 (Ferlay et al., 2015). With the increase in life expectancy, Brazil reports 61,200 new cases of PC and an estimated risk of 61.82 new cases per 100,000 men, with the state of Ceará presenting an estimated rate of 57.52 new cases per 100,000 men (Brasil, 2015).

The definitive treatment method – standard of care – for localized prostate cancer (PC) is radical prostatectomy (RP). However, surgery is an approach that can lead to complications such as urinary incontinence (UI), which is a cause for concern and anxiety among patients. UI in men is common after surgical removal of the prostate and its occurrence will depend on the surgical technique used and the surgeon's experience (Michaelson et al., 2008).

In the procedure, the prostatic urethra is also removed; thus, continence is now maintained by the external urinary sphincter which might require strengthening exercises to recover the ability to resist increases in abdominal pressure and thus hold the urine (Kakihara, Sens, & Ferreira, 2007).

The spontaneous recovery time of urinary continence, which may take from three months to two years after surgery, is still unclear. Therefore, invasive treatments for incontinence must be postponed for at least one year after prostatectomy (Marchiori, Bertaccini, Manferrari, Ferri, & Martorana, 2010; Zequi & Campos, 2010).

Conservative treatment for post-prostatectomy incontinence (PPI) may include various forms of treatment as a way to help improve the function of pelvic floor (PF) muscles, for instance: pelvic floor exercises (PFE), electrical stimulation (ES), biofeedback (BFB) and behavioral therapy (BT), which includes educational activities, or a combination of these techniques.

Physical therapy measures may favor the reduction of urinary incontinence due to increased pelvic muscle contraction strength, increased interval between voids and – consequently – decreased urinary frequency, and decreased degree of loss; additionally, they can also provide patients with greater satisfaction with the quality of life<sup>7</sup>.

The International Continence Society (ICS) recognizes the PFE as first-line treatment for stress urinary incontinence (SUI) in women (Grade A recommendation) and as initial treatment for men with SUI after prostatectomy (Grade B recommendation) (Abrams et al., 2009).

The PFE may be performed through contractions only or contractions associated with BFB – an adjuvant to training capable of accelerating the return to continence (MacDonald, Fink, Huckabay, Monga, & Wilt, 2007). Thus, BFB devices offer patients the ability to coordinate muscular responses through visual and/or audio signals generated by a device, providing an effective contraction (Seleme, Bertotto, & Ribeiro, 2009).

Studies aimed to verify the effectiveness of BFB and compare it with other interventions have shown inconclusive results. Thus, the aim of this review was to systematize the scientific evidence on the use of BFB in the recovery of post-prostatectomy urinary continence.

## Methods

The present review was carried out based on the Methodological Guideline for the development of systematic reviews and meta-analyses of randomized controlled trials of the Ministry of Health of Brazil (Brasil, 2012). The PICO strategy was used to build the following question: "Do prostatectomy patients undergoing pelvic floor biofeedback therapy have better reduction in the degree of urine loss and shorter time to recovery of continence compared to exercises without the use of this technology?"

The literature search was carried out on May 2015 in PubMed, LILACS, MedLine, Cochrane Library, SciELO and PEDro databases using the following descriptors: prostatectomy AND urinary incontinence AND pelvic floor.

The review included randomized clinical trials published in English whose outcomes included the recovery of urinary continence after RP due to PC in individuals at any ages, without period distinction, undergoing training of the PF muscles using the biofeedback device only or combined with other interventions compared with individuals receiving no treatment, placebo treatment or other interventions. Studies that – in addition to PPI – addressed cases of erectile dysfunction or other types of incontinence and articles that could not be fully accessed were excluded.

Initially, the articles were selected for analysis of titles and/or abstracts. Then, full-text articles that potentially addressed the issue were accessed and read in its entirety.

The Cochrane risk of bias tool and the Jadad scale were used to verify the quality of the selected studies. The Cochrane risk of bias tool was used to assess the following criteria: (i) selection bias (random sequence generation/ allocation sequence concealment), (ii) performance bias (blinding of participants and personnel), (iii) bias detection (blinding of outcome assessment), (iv) attrition bias (incomplete outcome data) and (v) reporting bias (selective outcome reporting). In this assessment, each study gets a judgment on the potential risk of bias in each of the areas above and are classified into three categories: "low risk", "high risk" or "unclear risk" (Carvalho, Silva, & Grande, 2013).

The quality scale by Jadad consists of five questions with scores ranging from 0 to 5 in which trials scored less than three points are considered to be of low methodological quality and have a low possibility of extrapolating the results to the scientific community (Jadad et al., 1996).

Given the small number of clinical trials and the wide variability of the proposed interventions, a qualitative analysis of the contents of the selected studies was carried out; however, statistical analysis using a meta-analysis could not be carried out.

## Results

The literature search yielded 321 studies, but only nine were chosen for analysis, as shown by the article selection Flowchart for the systematic review.

In five of the nine studies included in the review (55.5%), the BFB training led to better results in the recovery of continence after RP compared to other groups. However, in four studies, no significant differences were observed in patients using this technology with or without other interventions and/or other treatments (Goode et al., 2011; Floratos et al., 2002; Franke et al., 2000; Ribeiro et al., 2010; Wille, Sobottka, Heidenreich, & Hofmann, 2003). Three studies (33.3%) reported a significant reduction in the time to recovery of continence in the groups using BFB (Mariotti et al., 2009; Ribeiro et al., 2010; Van Kampen et al., 2000). Seven of the selected studies (77.7%) used electromyography-BFB with surface electrodes.

Table 1 shows the descriptive data of the selected studies. There was a great variability of interventions in the groups undergoing BFB therapy: BFB only (Franke et al., 2000); BFB and PFE (Van Kampen et al., 2000); BFB and ES (Ahmed, Mohammed, & Amansour, 2012; Mariotti et al., 2009); BFB and instructions for performing PFE (Floratos et al., 2002; Ribeiro et al., 2010; Tienfort et al., 2012); BFB, ES and instructions for performing PFE (Wille et al., 2003) and BFB, ES, PFE and bladder control strategies (Goode et al., 2011).

The recovery of urinary continence was observed using the pad-test, self-reports of continence, number of incontinence pads and bladder diary. The pad-weighing test (pad-test) proposed and validated by the International Continence Society (ICS) (2002) makes it possible to quantify and classify the urinary incontinence into mild, moderate and severe, based on the weight of a pad previously weighed and reweighed after conducting provocative maneuvers such as coughing and bending. The time needed to carry out the test is also variable – commonly carried out in 20 minutes and 1, 24 or 48 hours. In this review, two authors did not perform this type of test<sup>14,22</sup>. The most commonly used pad-test was the 24-hour test (Ahmed et al., 2012; Mariotti et al., 2009; Ribeiro et al., 2010; Van Kampen et al., 2000).

Likewise, the number of pads used can also be considered an indicator of the improvement or recovery of continence during the treatment, which is verified when patients report they no longer need to use pads. Only two authors did not use this information in their studies (Franke et al., 2000; Goode et al., 2011). Following the same thought, self-reported continence can also be considered to assess the progress made in the treatment. Although subjective, patients are considered continent if they no longer report leaking urine. In this review, two studies used this information (Ahmed et al., 2012; Tienfort et al., 2012).

Regarding the methodological rigor assessed by the Cochrane risk of bias tool, judgments could not be made on performance and detection biases due to the impossibility of blinding in the clinical trials assessed. As for the other criteria, most studies were classified into "low risk" or "unclear risk." With regard to the Jadad scale, two studies scored three points, five studies scored four points and two studies scored five points. Although the present review included only randomized clinical trials for the review, that is, studies with a high degree of scientific evidence, some studies have shown weaknesses in aspects such as the description of randomization and losses. The absence of such information compromises the quality of the studies.

## Discussion

PF muscles exercises are the main physical therapy intervention for the treatment of UI. In theory, BFB training associated with exercises can enhance the urethral closure mechanism and consequently improve continence in addition to representing a playful mode of exercise for the patient. In the long term, BFB training combined with exercises can provide the same efficacy than exercise only. However, in patients with insufficient or lacking awareness of the pelvic floor muscles (PFM), i.e., those who cannot contract or relax properly, the BFB is an excellent tool to provide muscle awareness (Berghmans, 2014).

In general, the recovery of continence occurs for most prostatectomized individuals. However, according to the studies reviewed, the association with BFB showed high success rates ranging 62.5%-96.7% while in the other groups these rates ranged 6.2%-81%. Noteworthy, one study showed the lowest success rate (62.5%) while the others that have reported positive effects with the use of this technology found continence rates above 95% (Tienfort et al., 2012). In addition, the BFB not only speeds up the recovery of continence, but also allows the improvement of the degree of incontinence, urinary symptoms and PFM strength after 12 months postoperatively (Ribeiro et al., 2010).

Review studies on the effect of BFB training on the treatment of PPI are scarce and its effectiveness is still unclear. According to a Cochrane review conducted in 2015 involving 2,736 men undergoing conservative intervention, PFE with or without BFB did not prove to be better than the control for men with PPI, reflecting uncertainties (Anderson et al., 2015).

In this perspective, a systematic review was conducted to assess the effect of the exercises in patients with PPI (MacDonald et al., 2007). Based on the available evidence, it was found that PFE with or without BFB not only improved but also sped up the return of continence compared to men with PPI who performed no exercises.

In the present review, several factors prevented the comparison between the analyzed studies – for instance, the lack of standardization of interventions, methods of assessment and classification of UI, and the beginning and duration of treatment. Furthermore, the combination of various interventions hinders critical analysis and prevents statistical analysis through meta-analysis.

### Conclusion

Physical therapy interventions should be the first treatment option for patients with UI after prostatectomy. The BFB training appears to be an effective option to assist in the recovery of continence. However, it depends on the use of specific equipment, which may require financial investment from institutions, although they have a reasonable cost compared to the surgery to treat UI.

In order to provide a standardization that will contribute to increase scientific evidence and reliability of the BFB training, further research with good degrees of evidence should be conducted from the reproduction of those that have greater methodological rigor.

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## Risk Responsiveness Based Organizational Change Management

Dr. Tamás Kozák Ph.D

Budapest Business School

### Abstract

Risk management, and in particular, risk analysis is a dynamically developing area of strategy management. Its necessity is validated by several business strategies, or rather by the failure of their execution. Besides the exploration and prognosis of uncertainties originating from the outer environment and the inner operation, the role of risk management in strategy management — including organization development — is to make these uncertainties calculable, and to compose action plans to avoid or reduce the occurrent negative effects. In terms of risk analysis it is analysis which types of change management actions are matching with environment and internal resources and capabilities. In the paper it is examined how the company strategy and operational environment determine the effectiveness of organizational development philosophies, and culture, size, profile, partnership of the enterprise. Based on diagnoses is proposed an optimal organizational development goals helping the successful change management.

**Keywords:** organizational development, change management, strategy, project, risk

### Introduction

Risk management, and in particular, risk analysis is a dynamically developing area of strategy management. Its necessity is validated by several business strategies, or rather by the failure of their execution. Besides the exploration and prognosis of uncertainties originating from the outer environment and the inner operation, the role of risk management in strategy management — including organization development — is to make these uncertainties calculable, and to compose action plans to avoid or reduce the occurrent negative effects.

The process of risk management can be broken down into these recurring phases:

Mapping the endangered values and activities that are liable to risks

Exploration, registering and prioritizing the risk factors and sources of danger

Analyzing the effects of the risk factors

Determining action tasks to manage the risks

Executing the chosen risk management methods

Monitoring and improving the program

Phases i-iii of risk management are related to risk analysis, and phases iv-vi are related to risk handling. The risk management's general and typical functions in organization development mean decisions, procedures and methods described below.

Taking the result of the preliminary survey in consideration I focused my research to improve the methodology for strategy evaluation and underpin change management. It is presented the risk assessment steps that lead to the determination and evaluation of strategic options. The business mission as the basic policy of the company is connected to the values and expectations, and the determination of vision as a strategic direction is the starting point of strategic planning. The analysis of the company's internal and external environments should be subordinated to the contents of the mission and the vision. After an environmental and company diagnosis (for example, an SWOT analysis) the strategic directions can be determined (by Porter's Competitive Strategies, for example) along with the strategic alternatives (by TOWS Matrix.). The development methods and resources can be determined by a company value chain and resource analysis.

## Endangered Valuables, Resources at Risk, Mapping of Activities

Risks related to the realization of strategic goals arise from the elements and processes of organization development, and from the quality and usage of resources. Above all, the identification of risks needs the identification of such threat categories and typical blocking factors that can generate the unexpected effects. On the one hand, risky threats and blocking events can arise from the usual course of business, and on the other hand, damages that cannot be planned may cause significant losses. From another approach, unfavorable effects on the realization of the company's business goals may be derived from the weakness or insufficiency of strategic resources and competencies as well as from the changes in the outer factors and the regulatory environment. A change management project is threatened by factors such as:

Uncoordinated or ineffective (elements of) company operation.

Low quality or insufficient usage of material resources, assets and information.

Insufficient human resources, lack of knowledge.

Bad relationship with stakeholders.

The methods described below may help the company in making a "risk map".

The assessment of the organization *through questionnaires* give a full map to the tasks determining organization development. The evaluation of the factors by their ranks sheds light on the uncertainties and weaknesses behind each subtask. As a matter of course, this method of assessment can be used for mapping any resource and competency of the organization. One of the best-known methods of assessment is the so-called EFQM (European Foundation for Quality Management) model (Mullins, 2007). According to this, there are factors and abilities (so-called enablers) that basically defines the operation of an organization, such as:

Leadership

People

Strategy

Resources

Processes

The evaluation of other factors include an examination of the successes that determine the competitiveness of the company. Such success factors or success gauges are:

Company behavior qualifying the customer relationships

Key indicators showing the financial situation

Advancement of the employees, learning skills

Public relationship, social responsibility

In structure this method of assessment is similar to the so-called Balanced Scorecard method in several respects (David, 2011). In the first phase, the components of the organization are evaluated, then the strategic elements indicating the success of competitiveness are examined.

The change management is on one side a method to change the people's behavior to achieve the organizational goals, from the other side it is project management point of you to manage the execution procedures

Drawing a *decision tree* is reasonable in the case of a complex, multiphase organizational development, when at the end of each chapter of the project there are more than one imaginable ways (decision variant) to continue. While planning the project we can add probability levels reflecting the expected outcome of each variant. Of course, after a decision there will be only one way the project continues. For that we must have a proper scenario. In organization development this method is basically used by project managers for making project plans.

The exploration, analysis and sorting of risk factors and threats are based on both the evaluation of factors examined by the method of questionnaire and the analysis of the radar chart (Figure 1) drawn after the weights of the factor groups were given.

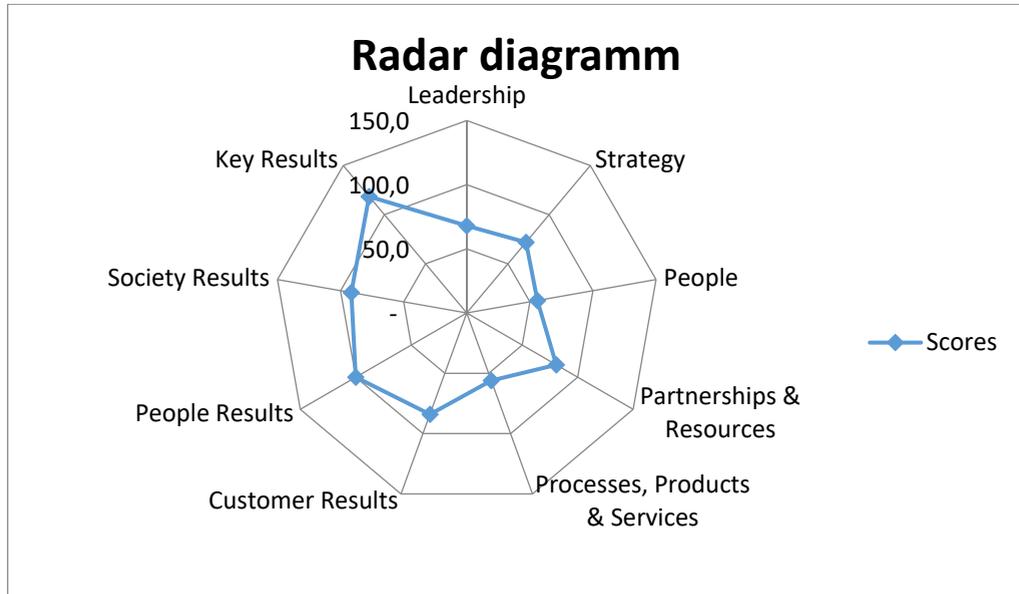


Figure 1: Results of Evaluation (example). Source: Compiled by author

The figure shows which areas are underestimated, and on which areas it is needed to examine both the need for organization development and the method thereof. In this example, the treatment for the employees and the public relationships justify further audit and analysis.

### Analysis of the Risk Factors' Effects

During the analysis, the set of independent variables is made of the characteristic elements — discovered during the identification of risks — of blocking factors or threats (macro level, market, technical, technological, financial, etc. risks). The consequences of these risks are expressible as changes in the dependent variables (such as implementation time, implementation cost, slippage caused by employee dissatisfaction, etc.). The measure of the caused change shows the danger level of each risk factor (Turner, 2009).

By doing a risk analysis we should examine all dangers and risks, and determine their possible combinations. The probability of damages and various damage combinations have to be analyzed. At the same time, determining the possible financial requirements is an equally important element of the examination. During risk assessment it is not to be neglected that what areas of the company are affected by the risk events. It is also a question if the negative effect would make an impact on the whole company or just a part of it?

In the practice of organization development projects the *probabilistic sensitivity analysis* gives the most information for risk analysis. This method shows the measure of impact the change in the incidence rate of each risk factor (independent variable) has on the success of organization development (implementation time, implementation cost, pace of change).

First, each variable must be identified by determining the areas getting relatively bad or critical values during the evaluation of the organization elements. (Figure 1.)

We have to explore the connection between cause and effect to see what further troubles the growth of an organization level problem may cause in the life of the company. Professional estimates can accompany this method of examination in a way that even the probability analysis calculations can be based on probabilities derived from the estimated incidence rate of each risk factor.

Thus, the above-described risk analysis methods complement each other. As a first step, the sensitivity analysis selects the “most dangerous” risks, then the probability analysis shows the combined effects thereof. In some cases an estimated-losses calculation may accompany the analysis of the risk factors, but this method’s usability and value in use is limited in organization development.

### **Determining Risk Management Action Tasks by Risk Types**

In this phase we examine the possibilities of preventing the damages, dangers and risks to the organization, and by this we determine the possible direction of organization development. The risk-related solutions, the tools for risk control are (Mulcahy, 2010).

Avoiding risks

Reducing risks

Transferring risks

Sharing risks

The various types of action presume different organization development and so change management methods as well. These may be the following.

#### **Avoiding Risks**

If an event having adverse effect upon the operation of the company has a high probability of occurrence, then a solution is to withdraw from the very risky activity leading to that event. Organization development procedures opening a way before foreseeable, regulated and significant changes are needed (Child, 2008). It is achievable by certain strategic decisions, or it may need a reorganization of the procedures or the whole company. These kinds of projects are mostly covered by the BPR (Business Process Reengineering).

For example, reconstructing the sales department may be such a project, in which the company switches from the specifications of a product based operation to the allocation of procedures and resources by customer types.

#### **Reducing Risks — Risk Management**

In some organization development projects it is unexpected to get sudden, shock-like events. These projects aim to reduce the impact of damage, dangers and risks. Risk management includes foreseeable activities that have continuous effects on the long term, such as Six Sigma-type quality-assuring projects that includes procedure reorganization and aims to reduce the production error percentage.

#### **Transferring and Sharing Risks**

The company may transfer its risks related to its activities and the resources thereof. In organization development, the common “transfer direction” is an outer (sub)contractor. Characteristically, there are lots of uncertainty factors, the management should expect everyday problems, and it is hard to plan any internal improvement, but following the necessary management decisions this method can achieve significant results. A typical form of transferring risk is the outsourcing, which means that after laying down certain conditions in the contracts, the company outsources its non-strategic activities.

#### **Adoption of Risks, Exploitation of Opportunities**

If significant risk to the organization cannot be identified, or if the risk is manageable in the usual course of business, the company applies indirect risk management. The company environment is changing continuously, the pressure to adapt is constant, so the recognition of possibilities makes it a necessity to formulate the strategic goals and actions. In these cases risk management basically consists of project (development) risks that is not within the scope of this article.

#### **Choosing the “Best Strategy”**

During the process of the evaluation of strategic options supported by the result of a situation reading, the drawn planning scripts are compared to each other and evaluated.

First of all, I compare the company’s mission and vision with strategic options that was set in concord with the former situation evaluation. By this I examine the coherency, and filter out the options that do not meet the requirements. After this I examine if the requirement of completeness is fulfilled; the options that contain goals in accordance with the predefined

set of premises can be compared to each other. After selecting the “best strategy” the examination of acceptability gives answer to the question; Could we find the best organizational development objectives to achieve the strategic goals ? In the case of negative answer the strategy creation process starts from the beginning.

### Summary

By using the organizational risk assessment we can choose one from the possible solutions, or find a combination of solutions that corresponds to the general goals of the company, and most effectively serves the execution of the company's strategic goals. The specific organization development tasks and measures can be distributed among the levels of senior and middle management in accordance with the division of labor in the management.

During organization development the results should be continuously monitored and assessed to always keep the applied evaluation procedures improved and updated. The results and derived conclusions serve to strengthen and enrich the learning skills of the organization.

After I evaluated the environment and the inner resources, I had to designate the possible “roads” on which the vision of the company can be realized. Considering the consistency requirement for the planning process the steps are building on each other. The strategic directions, as planning options, are connecting status quo with the company's vision, thus creating a bridge between present and future. Besides the designation of a strategic direction, a frame for the task supporting the realization of the strategy, namely the action plan, also has to be defined. In this respect, keeping the requirement of consistency in mind I determine the possible set of strategic instruments by using the methods below.

During the evaluation and quantification of the risk exposure I review the cases in which the strategic factors revealed formerly are “flying away”, unexpected events do happen, company resources erode, or the internal shortcomings are not eliminated entirely. This kind of approach helps to think about actual risks for each strategic factor. The risks revealed this way are standardized by the expected events' financial, organizational, market or environmental nature.

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## New Directions of Maternal Factors and Ultrasound Markers in the Prediction of Early and Late Pre-Eclampsia

**Kashami Arian (PhD Candidate)**

**Gliozheni Orion (Prof.Dr.)**

**Troshani Amela (MA,MSc)**

University Hospital of Obstetrics and Gynecology "Koço Gliozheni", Tirana, Albania

**Shabani Zamira (Assoc. Prof. Dr.)**

University of Shkodra "Luigj Gurakuqi" Faculty of natural Sciences, Shkoder, Albania

### Abstract

Pre-eclampsia (PE) is one of the hypertensive pregnancy disorders, de novo protein-uric hypertension that develops after 20 weeks of gestation and it is a systemic disorder associated with high maternal and neonatal morbidity and mortality. The aim of this study was to determine the usefulness as a screening method for early- and late-onset pre-eclampsia of a combination of a series of measurements, including maternal characteristics and UtA Doppler measured at 11 + 0 to 13 + 6 weeks of gestation and 22 to 24 weeks of gestation. This is a retrospective cohort study, during January - December 2017, of women who have had Pre-eclampsia at a tertiary referral University Hospital of Obstetrics and Gynecology "Koço Gliozheni" in Tirana, Albania. In total were 62 women with Pre-eclampsia during this period of time. Maternal and neonatal data were collected from the case notes and was done uterine artery color Doppler examination at 22-24 weeks of gestation. The ultrasound machine used was Aloka Echo Camera L. All data were calculated with SPSS 15.0. T-test, Chi-Square test, Fisher test and Correlation were used for statistical analysis. In total, 62 women with Pre-eclampsia were classified: 32% Early PE and 68% Late PE. In Doppler examination 26 % had bilateral notch at uterine artery, 12 % notch at AU Dexter, 15 % notch at AU Sinister and 47,1 % without notch. 58.8 % Apgar score in the first minute was 8 and 67.6 % in the fifth minute was 9. Mean Fetus Weight at Early PE 1543.18 g and at Late PE 2623.91 g and mean NICU was 37.82 days at early PE and 6.87 days at Late PE. There is a very significant correlation between Fetus Weight (g) and NICU ( $R=-0.84$ ,  $p<0.001$ ) also there is a significant difference between the presence of IUGR on early and Late PE (Fisher's Exact Test = 8.192,  $p=0.008$ ). There is a significant difference on CPR values on early and late PE (T-test = -2.127,  $p=0.041$ ).

**Keywords:** pre-eclampsia, maternal characteristics, screening, uterine artery Doppler

### Introduction

Pre-eclampsia (PE) is one of the hypertensive pregnancy disorders, de novo protein-uric hypertension that develops after 20 weeks of gestation, which affects from 3 to 5% of pregnant women. It is a systemic disorder associated with high maternal and neonatal morbidity and mortality (Roberts JM. 2001.) In addition, PE frequently coexists with intrauterine growth restriction (IUGR, also called fetal growth restriction), placental abruption, and the need for iatrogenic preterm delivery, which are additional major causes of adverse outcomes. (Poon LC et al. 2010). Its diagnosis is based on clinical features, such as high blood pressure and proteinuria, which are the terminal events of a cascade of phenomena that are likely initiated during placental formation and development in the late first trimester of gestation (Redman CWG. 2009). Increasingly, early-onset pre-eclampsia is considered to be a more severe form of the disease than is the late-onset condition (Romero R. 2008). Many groups have focused on methods to predict pre-eclampsia in order to identify accurately pregnant women who are at risk (Nicolaidis KH. 2007). Pregnancy-related HD are thought to be the consequence of impaired trophoblastic invasion of the maternal spiral arteries, resulting in maintenance of vessels of high resistance, inadequate perfusion of the placenta, tissue injury, and increased production of vasoconstrictive substances. In these

cases, there are qualitative and quantitative changes in the maternal uterine artery (UA) Doppler waveforms. Maternal uterine artery (UtA) Doppler at 22–24 weeks of gestation has become the most reliable tool for prediction of pre-eclampsia; this diagnostic test has the ability to predict nearly 50% of instances of any form of the disease and approximately 85% of cases of severe or early-onset disease (Parra M et al. 2005), (Yu CK et al. 2005). However, UtA Doppler performed in the final weeks of the first trimester of gestation (11 + 0 to 13 + 6 weeks) varies much more in its predictive ability for early-onset pre-eclampsia than it does at the second-trimester scan. (Martin AM et al. 2001), (Plasencia W et al. 2007) The majority of the studies evaluated the UA Doppler in the second trimester of pregnancy, supposedly because the trophoblastic invasion of the maternal spiral arteries has finished at this point. On the other hand, there is now strong evidence demonstrating that abnormal UA Doppler in the first trimester of pregnancy is also associated with abnormalities in trophoblast invasion. The concept of early and late PE is more modern, and it is widely accepted that these two entities have different etiologies and should be regarded as different forms of the disease. (Von Dadelszen P et al. 2003), (Huppertz B. 2008). Early-onset PE (before 34 weeks) is commonly associated with abnormal uterine artery Doppler, fetal growth restriction (FGR), and adverse maternal and neonatal outcomes. (Ness RB et al. 2006), (Murphy DJ et al. 2000), (Walker JJ. 2000). In contrast, late-onset PE (after 34 weeks) is mostly associated with normal or slight increased uterine resistance index, a low rate of fetal involvement, and more favorable perinatal outcomes. (Ness RB. 2006), (Sibai B. 2005). Early-onset PE and FGR are placenta-mediated diseases (Crispi F et al. 2006) who reported placental growth factor (PlGF) as a useful second-trimester screening test for this form of the disease, but not for late-onset PE/FGR. Maternal risk factors: age, parity, previous obstetric history, etc. Maternal echocardiography might identify at 24 weeks gestation patients who subsequently develop early severe maternal and fetal complications through the assessment of maternal hemodynamics suggesting an involvement of the whole cardiovascular system in the placental mediated disorder. (Vasapollo B et al. 2008), (Valensise H et al. 2006), (Novelli GP et al. 2003), (Bosio PM et al. 1999). The abnormal placentation that characterizes pre-eclampsia is associated with an increased resistance in the utero-placental circulation. Ultrasonography evidence of this resistance includes the presence of a diastolic 'notch' in the Doppler waveform of the uterine artery or an increase in that vessel's pulsation index (PI). (Campbell S et al. 1983) Being an objectively measured continuous variable, the latter is preferable to the somewhat subjective assessment of 'notching'. (Lees C. 2010) It has been suggested that Doppler studies might be most predictive if performed in a sequential fashion in both the first and second trimesters. (Napolitano R et al. 2012) However, such an approach would preclude the early initiation of prophylaxis. Other potential ultrasonography parameters for the prediction of pre-eclampsia include 3D power Doppler assessment of placental volume and vascularity, maternal MCA Doppler indices (Belfort M et al. 2012). Further research will determine whether any of these is superior to uterine artery Doppler analysis.

#### **Materials and methods:**

This is a retrospective cohort study, during January - December 2017, of women who have had Pre-eclampsia at a tertiary referral University Hospital of Obstetrics and Gynecology "Koço Gliozheni" in Tirana, Albania. In total were 62 women with Pre-eclampsia during this period of time. Maternal demographic characteristics, ultrasonography measurements (uterine artery color Doppler examination at 22-24 weeks of gestation) and neonatal data were collected from the case notes (medical records and were recorded in a computer database). The ultrasound machine used was Aloka Echo Camera L. All ultrasound examinations were performed by an obstetrician. PE cases were managed by medical team, obstetric consultants. Data were collected on patient age, parity, gestational age at time of delivery, history of previous PE, mean arterial pressure and Doppler ultrasound parameters. Neonatal evaluation included neonatal birth weight, Apgar score at 1 and 5 minutes, neonatal gender, generality admission to the neonatal intensive care unit. All data were calculated with SPSS 15.0. T-test, Chi-Square test, Fisher test and Correlation were used for statistical analysis.

#### **Results and discussions:**

In total, 62 women with Pre-eclampsia were classified: 32% Early PE (before 34 weeks) and 68% Late PE (after 34 weeks). At the table Nr.1 we can see that the mean age of mothers with PE was 32.65 years old, Std. deviation = 5.851 years. It was interesting to see how maternal age was different in the two groups of preeclampsia: early onset PE are older with a higher percentage of women over 35 years than late onset PE. Although it is well known that an age more than 35 years is linked to a higher risk for preeclampsia, the importance of age in early and late preeclampsia has not been clearly reported so far. An intriguing hypothesis could be that an older age might negatively influence the placental process, but this should be confirmed on larger numbers with the whole set of hemodynamic data. The mean age of mother at Early PE was 34.45 years old and at Late PE was 31.78 years old. (Table nr.2).

Parity was also a maternal characteristic that could interfere in the trophoblastic invasion of the maternal spiral arteries in the present study. Pre-eclampsia is more common among women who: has had a baby (50% second parity, 14.7% third

parity, 2.9 % multiparity). At the Table Nr.1 are summarized the neonatal complications, like as: Low Birth Weight (mean 2200-2300 g) and some of them IUGR. It has also been observed that women carrying male fetuses (62%) are at slightly greater risk for PE than are women carrying female fetuses (38%). We can admit that 29 % of women of PE have had previous PE in their pregnancies.

The mean arterial pressure is calculated by dividing the sum of the systolic and twice the diastolic blood pressures by three and is thus easily measurable. As we can see that the mean systolic blood pressure is 160 mm Hg (for Early PE 167.7 and for Late PE 156.3 mm Hg) and mean diastolic blood pressure is 96.5 mm Hg (for Early PE 99.55 and for Late PE 95 mm Hg). (Table Nr.1 and Nr.3, Fig. Nr.1).

The utility of Doppler analysis of the uterine artery in predicting pre-eclampsia has been extensively studied initially in the mid-second trimester and more recently in early pregnancy. The abnormal placentation that characterizes pre-eclampsia is associated with an increased resistance (RI) in the utero-placental circulation. Ultrasonography evidence of this resistance includes the presence of a diastolic 'notch' in the Doppler waveform of the uterine artery or an increase in that vessel's pulsation index (PI). In our study, the mean UA RI was calculated in both trimesters of pregnancy.

We considered abnormal values greater than 0.85 and 0.77 in the first and second trimester, respectively. Being an objectively measured continuous variable, the latter is preferable to the somewhat subjective assessment of 'notching'. At the table Nr.3 we can see that mean CPR at Early PE is 1.3 (around 1) and at Late PE 1.79. We can see that in Doppler examination 26% had bilateral notch at uterine artery, 12 % notch at AU Dexter, 15 % notch at AU Sinister and 47,1 % without notch (figure nr.2).

PE is associated with an increase in preterm birth and neonatal outcome. Fetal intrauterine growth retardation (IUGR + PE 38 %), Low birth weight (< 2500 g), low Apgar score which needs admission in neonatal intensive care unit. Mean Fetus Weight at Early PE 1543.18 g and at Late PE 2623.91 g and mean days that neonatal had stayed in the Intensive Care Unit was 37.82 days at early PE and 6.87 at Late PE. (Table Nr.2) In the figure Nr.4 we can see that 58.8 % APGAR score in the first minute was 8 and 67.6 % in the fifth minute was 9. From the table nr.4. we can see that exist a very significant correlation between Fetus Weight (g) and NICU, Apgar min 1 and Apgar min 5. The lower fetus weight, higher is NICU ( $R=-0.84$ ). On the other side the lower fetus weight, lower is the APGAR min 1 and min 5 ( $R=0.574$  and  $R=0.688$ ). Also as higher the APGAR min 1 and min 5 as lower the NICU. There is a significant difference between the presence of IUGR on early and Late PE. As we can see from figure nr.5 the presence of IUGR is higher on early PE (Fisher's Exact Test = 8.192,  $df=1$ ,  $p=0.008$  (2-sided). There is a significant difference on CPR values on early and late PE (T-test = -2.127,  $p=0.041$ ). (see the tab. Nr. 5)

## Conclusions

Abnormal uterine artery Doppler studies in the first and second trimester combining with maternal factors are useful to predict PE in low-risk pregnant women and have been associated with subsequent adverse pregnancy outcomes including preeclampsia, fetal growth restriction, and perinatal mortality. Early PE showed: an increased percentage of patients >35 years old, an increased PI and an elevated RI of uterine artery Doppler, a higher prevalence of bilateral notching at 24 weeks gestation, a lower gestational week at delivery, a lower neonatal weight centile and some days at the NICU.

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**Table Nr.1 Maternal and Neonatal parameters**

	Minimum	Maximum	Mean		Std. dev.
	Statistic	Statistic	Statistic	Std. Error	Statistic
Maternal Age	18	45	32.65	1.003	5.851
Parity	1	4	1.88	0.132	0.769
Maternal Weight(kg)	66	127	83.82	1.941	11.318
Maternal Height(cm)	153	169	161.53	0.643	3.752
SBP	140	190	160.00	2.214	12.910
DBP	75	110	96.47	1.204	7.020
PI UA	0.70	1.39	1.0318	0.03527	0.20567
PI MCA	0.60	2.80	1.6597	0.09690	0.56504
CPR	0.70	3.59	1.6388	0.11498	0.67046
Fetus Weight (g)	975	3600	2274.26	130.236	759.398
APGAR Min 1	2	9	7.8529	0.20740	1.20937
APGAR Min 5	6	9	8.6176	0.11182	0.65202
NICU	0	62	16.88	3.453	20.137

**Table Nr.2: Mother's Age**

	PE	Mean	Std. Deviation	Std. Error Mean
Age	Early PE	34.45	6.758	2.038
	Late PE	31.78	5.308	1.107

**Table nr.3. Blood Pressure, Doppler Parameters, Fetus Weight and NICU**

PE		SBP	DBP	PI UA	PI MCA	CPR	Fetus Weight (g)	NICU
Early PE	Mean	167.73	99.55	1.1245	1.5100	1.3027	1543.18	37.82
	Std. Dev	14.029	6.105	.16299	.60656	.42800	446.667	16.424
Late PE	Mean	156.30	95.00	.9874	1.7313	1.7996	2623.91	6.87
	Std. Dev	10.789	7.071	.21216	.54323	.71241	615.864	12.715
Total	Mean	160.00	96.47	1.0318	1.6597	1.6388	2274.26	16.88
	Std. Dev.	12.910	7.020	.20567	.56504	.67046	759.398	20.137

**Tab. Nr. 4. The correlation between Fetus Weight (g) and NICU, APGAR min 1 and min 5.**

		Fetus Weight (g)	APGAR min 1	APGAR min 5	NICU
Fetus Weight(g)	Pearson Correlation	1	.574(**)	.688(**)	-.841(**)
	Sig. (2-tailed)		.000	.000	.000
APGAR min 1	Pearson Correlation	.574(**)	1	.810(**)	-.659(**)
	Sig. (2-tailed)	.000		.000	.000
APGAR min 5	Pearson Correlation	.688(**)	.810(**)	1	-.800(**)
	Sig. (2-tailed)	.000	.000		.000
NICU	Pearson Correlation	-.841(**)	-.659(**)	-.800(**)	1
	Sig. (2-tailed)	.000	.000	.000	

Tab. Nr.5. CPR values on early and late PE

	PE	Mean	Std. dev	Std. Error Mean
CPR	Early PE	1.3027	.42800	.12905
	Late PE	1.7996	.71241	.14855

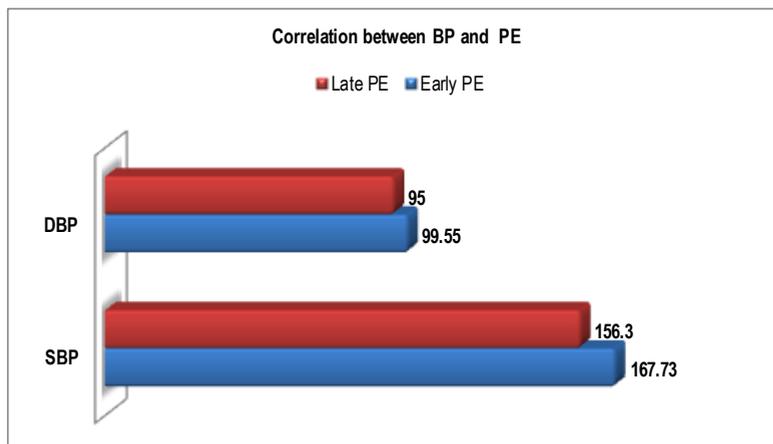


Fig. Nr. 1. Systolic and Diastolic Blood Pressure

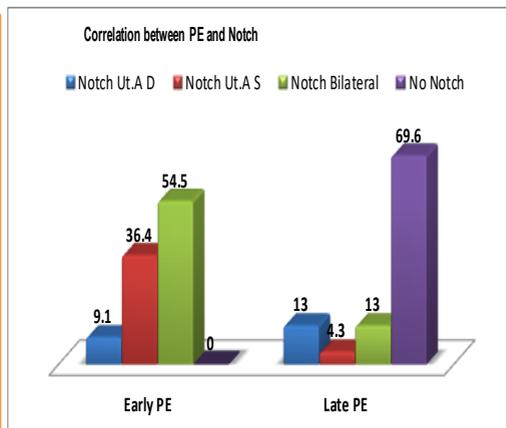
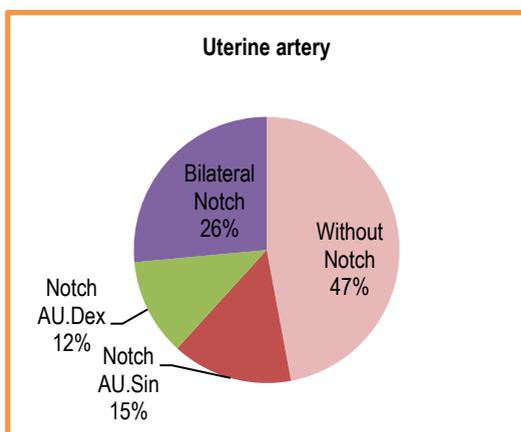


Fig. Nr.2. Doppler of Uterine Artery Fig. Nr.7. Doppler of Uterine Artery

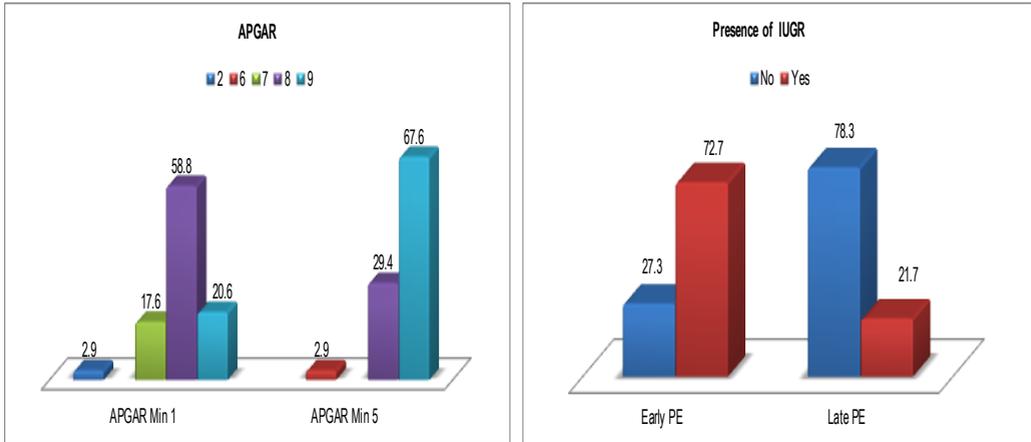


Fig. Nr.4. APGAR minute 1 & 5 Fig. Nr.5. The presence of IUGR

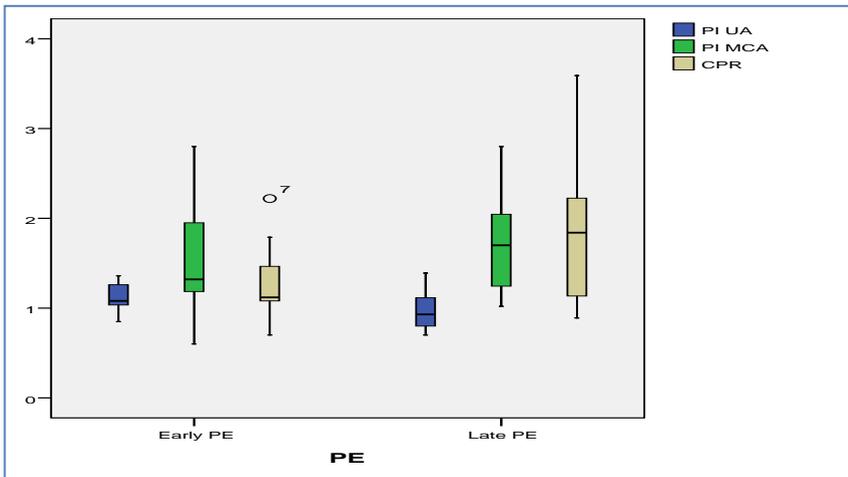


Fig. nr. 6. The values of PI UA, PI MCA, CPR on early and Late PE

## Computer Simulations of Ethics: the Applicability of Agent-Based Modeling for Ethical Theories

Jeremiah A. Lasquety-Reyes

Universität Hamburg, Germany

### Abstract

I consider the applicability of Agent-Based Modeling (ABM) and computer simulations for ethical theories. Though agent-based modeling is already well established in the social sciences, it has not yet found acceptance in the field of philosophical ethics. Currently, there are only a few works explicitly connecting ethics with agent-based modeling. In this paper, I show that it is possible to build computer simulations of ethical theories and that there are also potential benefits in doing so: (1) the opportunity for virtual ethical experiments that are impossible to do in real life, and (2) an increased understanding and appreciation of an ethical theory either through the programming implementation or through the visual simulation. In the first part of the paper, I mention some social science simulations with ethical import that could encourage ethicists to work with ABM. Second, I list the few pioneering works that attempt to combine computer simulation with philosophical ethics, the most prominent being *Evolving Ethics: The New Science of Good and Evil* (2010) by Mascaro et al. Third, I give pointers for the computer simulation of the most prominent ethical theories: deontological ethics, utilitarianism, feminist care ethics, and virtue ethics. In the final part, I consider the potential of using an existing reference model for the simulation of human behavior, the PECS model, as the foundation for a computer simulation of virtue ethics.

**Keywords:** Ethics, Computer Simulation, Agent-Based Modeling, Virtue Ethics

### Introduction

Agent-Based Modeling (ABM) is an established approach in the computational social sciences. It uses computers to simulate the behavior of “agents.” Agents may be molecules, organisms, or other entities, but in the context of computational social science, they normally represent human beings with certain behaviors. The interactions of agents with other agents, or agents with their environment, can lead to different results depending on the assignment of specific conditions and values. They can also lead to unforeseen or surprising results called *emergent* behavior, where a complex property at the macro system level is produced that is not encoded at the individual agent level (Axelrod, 1997, p. 4; Wilensky & Rand, 2015, p. 29). The possibility of running such computer simulations over and over with different variables make them function like digital laboratories where one can perform experiments and test hypotheses (Epstein & Axtell, 1996, p. 4; Gilbert & Troitzsch, 2005, p. 14). They are particularly attractive for social scientists because many social experiments cannot be practically (or ethically) carried out in the real world.

Though many social scientists have embraced ABM as a promising approach to conducting social science research, the same cannot yet be said for ethical and moral philosophers. Many philosophers discuss the ethics of computers and technology, but there are only a few who *use* computers—and in particular, computer simulation—to conduct their research on ethics. Given this situation, this paper explores the potential of computer simulation to be used for the benefit of philosophical ethics.

### I. Social Science Simulations and Ethical Implications

Many of the phenomena that computational social scientists study have ethical implications. For example, the first attempt to apply agent-based modeling to social science was by Thomas Schelling. In his book *Micromotives and Macrobehavior* (1978), he presented a model that showed how housing segregation between races could occur even if no individual wanted it specifically, so long as these individuals had a preference not to be an extreme minority in their neighborhood. In other words, individual preferences and actions resulted in large-scale consequences that none of the individual agents actually intended. This phenomenon could be witnessed in the simulation where two populations of different colors would begin mixed together, but slowly start to form their own homogenous neighborhoods. One could also adjust parameters such as the percentage of tolerance of agents to having different colored neighbors. This results in different kinds of segregation.

Though the dynamics explored in the simulation were not of a directly ethical nature (the individual preferences and the resulting segregation were not themselves judged as being right or wrong), it obviously touches on many sensitive ethical issues in the real world such as racial discrimination, unequal opportunities and development in cities, etc.

A more recent trend in social science simulation is the investigation of trust. Doloswala investigates the behavior of peer groups when confronted with the discovery of a liar in their group (Doloswala, 2014). Using proximal space to represent the idea of “shared cognitive space,” they simulate how a discovered liar would be ostracized from the group depending on different parameters such as the probability of being discovered, the penalty for lying, and the forgetfulness of agents. According to their simulations, the forgetfulness of agents plays a greater role in shaping groups than the penalty for lying. Meanwhile, Lim et al. investigate the interplay between trust at the level of individuals and the development of collective social moral norms (Lim, Stocker, & Larkin, 2008). They call their resulting model a Computational Model of Ethical Trust (CMET), a two-tier architecture that utilizes both agent-based modeling and artificial neural networks. Kim (2009) and Tykhonov et al. (2008) investigate trust in the context of supply chains and networks. Kim finds that as a trust relationship between trading partners is prolonged and uncertainties about the trustworthiness of trading partners are diminished, one sees a greater stability in their inventory levels over time. This occurs even without any explicit information sharing among trading partners regarding the status of their own inventories. Meanwhile, Tykhonov et al. employ a human “trust and tracing game” with real-life participants to collect data for trust, deceit, and negotiation behavior, and then use that data to inform a computer agent-based model. They hope that this combined research method will produce a model that is more applicable to real-world trade processes.

In these computer simulations, the researchers touch on many ethical issues. For example, they discuss the importance of being recognized as “trustworthy” by others, the damage and disruption caused by lying and deceit, the benefits of a strong trust relationship, etc. Though none of them refer to any ethical theory, there is no obvious reason why an ethical theory cannot be employed to interpret and engage with their data and results. It is clear that social scientists are able to use computer simulations for studies with ethical import. Can philosophers use computer simulation for ethics itself?

## II. Computer Simulations and Ethical Theories

Robert Axelrod is famous for the computer tournament he organized for the iterated Prisoner’s Dilemma<sup>1</sup> where many different strategies were submitted from all over the world and matched with each other in round-robin (Axelrod, 1984). The strategy TIT FOR TAT—which first cooperates then subsequently replicates the other player’s previous action—emerged as the winner of the entire two-tier tournament. The tournament was not itself an agent-based model, but similar to one in that “agents” (with respective strategies) interacted with all the other agents in the virtual arena. The project also did not espouse any particular ethical theory, though it did explore real-life examples of the TIT FOR TAT strategy. Eventually, Axelrod attempted to move beyond the two-person format of the Prisoner’s Dilemma and explore how cooperation could emerge between many individuals simultaneously. In order to do this, he consciously resorted to agent-based modeling (Axelrod, 1997). With the use of ABM, he was able to explore social phenomena such as the promotion of norms, choosing sides, and the formation of new political groups. He was also able to introduce the evolution of strategies through genetic algorithms. Though containing much ethical import, these simulations did not refer to any particular ethical theory.

Building on Axelrod’s work, Peter Danielson was perhaps the first person to explicitly address a philosophical ethical theory with the use of a computer simulation. He coined the term “artificial morality” for a combination of game theory and artificial intelligence used to develop an ethical theory called *instrumental contractarianism*, which is partially based on the work of David Gauthier (Danielson, 1992, p. 17). He used an Extended Prisoner’s Dilemma which involves two sequential moves instead of the two simultaneous ones in the traditional Prisoner’s Dilemma. He also eschewed the iteration found in Axelrod. The tournament tested whether the “constrained maximizer” of Gauthier, which cooperates with those who cooperate and defects with the rest, really fares better in every case over “straightforward maximizers” (which includes TIT FOR TAT). His

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<sup>1</sup> The Prisoner’s Dilemma is an imaginary situation employed in game theory. Two prisoners are accused of a crime and placed in separate cells. If one of them confesses and the other does not, the one who confesses receives only 1 year in prison, while the other who does not confess receives 4 years. If both of them do not confess, they each receive only 2 years. If they both confess, they each receive 3 years. While deciding on what to do, they are unable to communicate with each other. Clearly, the greatest payout is if one confesses while the other does not, and we might expect a prisoner to pursue this action out of self-interest. However, the other prisoner might also have the same mindset, and if they both pursue their self-interest, they would be in a worse situation (3 yrs. each) than if they both keep silent (2 yrs. each). What is the best thing for a prisoner to do? Confess (sometimes called “defect”) or not confess (“cooperate”)? The Prisoner’s Dilemma is a one-shot game where both players make their moves simultaneously. In comparison, the iterated Prisoner’s Dilemma allows for many moves and a memory of what transpired in the previous moves.

simulations answered in the positive. However, according to him, there is apparently another agent, a so-called “reciprocal co-operator” (which cooperates only when cooperation is necessary and sufficient for the other’s cooperation), that fares better than Gauthier’s constrained maximizer in a varied population environment.

An unexpected conclusion from Danielson is that his “artificial morality” applies more to formal organizations, firms and machines than to actual people (Danielson, 1992, p. 198). According to him, this is because of the lack of cognitive transparency on the part of human beings as well as the unpredictable and lasting influence of emotions. As he says, “it should not be surprising if traditional human morality fares poorly in terms of rational performance... Artificial Morality may lead us to discover techniques of communication and commitment that are morally effective but unavailable to unaided human beings” (Danielson, 1992, p. 201). Regardless of the controversial conclusion, Danielson’s work is noteworthy for being the first to combine a philosophical ethical theory with a computer simulation, though his simulation was a tournament in the style of Axelrod and not an ABM.

Alicia Ruvinsky has called for “the integration of computer simulation and ethics theory... an agent-based simulation mechanism that takes a computational perspective to ethics theory” (Ruvinsky, 2008, p. 76). She uses the term “computational ethics” for this project but this can be confusing since people also use the same term to refer to ethics for AI (i.e. machine ethics) or ethics for computer programmers, so I do not follow her in calling the combination of computer simulation and ethics “computational ethics.” Her short article does not give any implementation but only some rough suggestions. According to her interpretation, “an ethic is a moral framework characterized by rights, liberties, and duties, which are parameters in an ethic model” (Ruvinsky, 2008, p. 77). She then claims that ethical theories such as deontological ethics and divine command ethics can be quantified using these parameters. Once such ethical theories are quantified, one can simulate artificial societies where agents can adopt different ethical theories and interact with each other.

These simulations are useful in considering emergent effects of distinct moral perspectives within a society. For example, what kind of social ethic would emerge in a simulation of the Prisoner’s Dilemma in which half of the population adopts a Kantian ethic model while the other half adopts a rational agent model? (Ruvinsky, 2008, p. 79).

Though she refers to the Prisoner’s Dilemma, it seems like the simulation she envisions is an ABM with an interacting population and not a tournament in the style of Axelrod and Danielson. How one quantifies ethical theories using the parameters “rights, liberties, and duties” is not shown in any detail. I doubt that one can quantify ethical theories such as care ethics and virtue ethics based on these parameters alone. Nevertheless, Ruvinsky is noteworthy for being one of the few voices encouraging the computer simulation of ethical theories through agent-based modeling.

The first ever computer simulation of an ethical theory using ABM was done by Mascaro et al., as presented in their book, *Evolving Ethics: A New Science of Good and Evil* (Mascaro, Korb, Nicholson, & Woodberry, 2010). Their simulations were programmed in NetLogo, currently the most popular and accessible ABM software package. They first developed an evolving world where agents could move, eat, reproduce, and also pass on certain traits and behaviors to the next generation. Next, they used act utilitarianism to address the ethical status of controversial acts such as suicide, rape, and abortion in this evolving world. They chose act utilitarianism as the normative ethical theory because they think it is right and also because, according to them, it is “the only ethical system which *allows* us to measure the outcomes of computer simulations and judge them as better or worse” (Mascaro et al., 2010, p. 5). In other words, it is the only ethical theory that can be usefully quantified for computer simulations. All the other ethical theories, such as deontological ethics, virtue ethics, and even rule-utilitarianism “depend upon the exact semantics of the deontic principles or the virtues, respectively, and incorporating semantic understanding into artificial life simulation in any kind of sophisticated way requires a prior solution to the problem of natural language understanding” (Mascaro et al., 2010, p. 32). I strongly disagree with this point, and I hope to show in the next section that this is not the case. It may be that act utilitarianism is more *straightforward* to simulate than other ethical theories because what is minimally required is a quantification of the utility from every act, a single numerical variable. But other ethical theories can also be quantified without recourse to natural language understanding.

Mascaro et al. remind us that according to utilitarianism, what is good is what maximizes “the sum of expected utilities *across a population*” (Mascaro et al., 2010, p. 29). Though acknowledging that in real life, “what utilities themselves are is not exactly clear” (p. 27), they simplify things in their simulation by connecting utility to the variable, “health,” which accounts for both physical and psychological health. An act that is committed is good if it produces greater utility (health) for the whole population than if the act was not committed. Fortunately, with computer simulations, this can easily be done and measured. A batch of simulations (perhaps with varying environmental conditions) can be run with act X turned on, then an equal number of simulations could be run with act X turned off. The utility scores between the simulations can then be compared. In the case of Mascaro et al.’s work, simulations were run where suicide, rape, and abortion were present, and

also where they were absent. These simulations spanned several generations of agents or thousands of digital years. Their findings reveal that suicide and abortion can in some extreme cases be ethical, namely when there is a scarce supply of food such as during a drought, while rape is always unethical because of the unavoidable health costs for the victim, both physical and psychological.

One could question aspects of their implementation. First of all, the values for negative and positive utilities must be determined by the programmer. "Those utilities are fixed, being selected to reflect the real world to some approximation" (Mascaro et al., 2010, p. 89). So for example, in the rape simulation, when a victim is raped, the victim derives a large negative utility of -70 health units (additionally, if there is offspring produced, the victim will have to invest anywhere from -590 to -110 health units as parental investment) and the rapist derives a small positive utility of 5 health units. If the rape is prevented according to a "rape prevention probability" variable (either 0.9, 0.75, or 0.5 depending on the experiment), then the targeted victim experiences a smaller negative utility of -10 health units while the rapist suffers a large negative health effect of -60 health units and negative utility of -15 health units, representing the rapist being punished (Mascaro et al., 2010, p. 186). Why a negative utility of -70 and not -100 or -150 for being a rape victim? Is it also reasonable to keep the negative utility constant in every case or is it better to introduce some fluctuations? Mascaro et al. acknowledge that in principle the value need not be fixed and can perhaps evolve over time (Mascaro et al., 2010, p. 96). However, this issue of setting appropriate values for utility presents a challenge for anyone who wants to simulate utilitarianism.

Second, whether it is "utility" (e.g. psychological trauma) or a more neutral "health effect" (e.g. giving birth) that is being referred to, they both involve "health units" and contribute to a single numerical variable called "health." This can be confusing because it is not clear whether utility is essentially different from health or the same as health. It seems that utility and health are distinct from the point of view of the simulator but not from the point of view of the virtual agent, who experiences both simply as health.

Despite these implementation problems, the greater value of the work of Mascaro et al. is its pioneering endeavor to simulate a specific ethical theory with ABM. Given the exploration of acts of suicide, rape, and abortion in multiple worlds and over many thousands of virtual years, it is obvious that one can do ethical experiments in computer simulations that one cannot do in real life. In fact, they call their project a "new science" and an "experimental ethics" that introduces a new methodology to the study of ethics. To the objection that their simulations might be too simple or naive, their answer is likewise simple: "go forth and simulate better!" (Mascaro et al., 2010, p. 236). Indeed, the controversial aspects of their work should be a spur to others to see how computer simulations of ethics could be better undertaken.

### III. Prominent Ethical Theories

In a brief Internet article, Mike Loukides of O'Reilly Media speculates about "an AI that can compute ethics" and considers how the three major ethical theories of deontological ethics, utilitarianism, and virtue ethics might be considered "optimization problems" for a machine to solve (Loukides, 2017). He himself is skeptical about such a prospect but recognizes that these ethical theories indeed have features that are, in theory, computable. "It isn't surprising that computational ethics looks like an optimization problem. Whether you're human or an AI, ethics is about finding the good, deciding the best way to live your life" (Loukides, 2017).

I now turn to prominent ethical theories, namely deontological ethics, utilitarianism, feminist care ethics, and virtue ethics, and consider how they can also be simulated on the computer with ABM. I only provide pointers and suggestions for their simulation, not any technical implementation. But I hope that these will be enough to show that their simulations can be done.

#### a. Deontological Ethics

Kant's categorical imperative is as follows: "Act only in accordance with that maxim through which you can at the same time will that it become a universal law" (Kant, 2002, p. 37). As Christine Korsgaard explains,

[Kant] suggests that the way to test whether you can will your maxim as a universal law is by performing a kind of thought experiment, namely, asking whether you could will your maxim to be a law of nature in a world of which you yourself were going to be a part... Kant's test may be regarded as a formalization of the familiar moral challenge: "What if everybody did that?" In order to answer this question, you are to imagine a world where everybody does indeed do that. (Kant, 2012, pp. xx-xxi)

Any maxim that passes this test counts as a duty, and a duty ought to be followed no matter what. It should not be influenced by any external factors, emotions, or unforeseen consequences.

Implementing this ethical theory in a computer simulation is challenging. One could at first suggest that it is easy to apply deontological ethics to the world already provided by Mascaro et al. To see whether suicide is a duty, simply have all the agents commit suicide in one simulation and observe what happens. But even in this trivial example, this would be a deontological ethics on the part of the experimenter who is not *part* of the virtual world itself. A unique aspect of deontological ethics is that it is an ethical theory that the *agent* doing the act needs to know and implement. The theory cannot be applied from *outside* as might be the case with utilitarianism or virtue ethics. In these other ethical theories, a person may act ethically (by maximizing net utilities or by performing virtuous acts) without consciously subscribing to utilitarianism or virtue ethics. In contrast, one cannot act ethically according to the categorical imperative without knowing it. It needs to be conscious and deliberate. This is also apparent in the third formulation of the categorical imperative called the “formula of autonomy,” which considers the will of the agent as the source or giver of universal law, i.e. the universal law cannot come from outside the agent (Kant, 2002, p. xviii).

Given this special condition, we need to add a more complex “cognitive architecture” to properly render deontological ethics. There are many cognitive architectures that have been developed for agents, one of the most well-known being the BDI (Belief, Desire, Intention) architecture (Rao & Georgeff, 1995).<sup>1</sup> However, without going into the details of any specific cognitive architecture, I suggest that the way to simulate deontological ethics is through a “simulation within a simulation.” An agent must have the capacity to simulate another simulation in its head (a second-order simulation). Assuming that the agent subscribes to the categorical imperative, then before it performs a certain act (perhaps given to it as an option by the programmer or randomly generated), it must be able to imagine (simulate) a world where all other agents in its present world did the same act (for the sake of the example, let us assume that the agent is a powerful rational agent who knows everything about its present world).<sup>2</sup> This second-order simulation will be evaluated as either good or bad based on some standard. If it is good, then the agent will identify the said act as a *duty* and perform it.<sup>3</sup> If it is bad, then the act will not be performed.

How will the agent decide if the imagined world is good or bad? Should it be *better* in some way than the present world for it to be regarded as good? If so, in what way? If one considers the benefit to all the agents in the world then it would be similar to utilitarianism. My tentative answer is that the second-order simulation should be *sustainable* and *balanced*. Kant speaks of a universal maxim as a “universal law of nature,” and nature usually tends to a kind of sustainable equilibrium. The imagined world should be *sustainable* in that the second-order simulation could continue for *n*-number of generations without any kind of catastrophe. A universal maxim of abortion obviously cannot be sustained because there would be no more agents by the next generation. On the other hand, a universal maxim of reciprocal helping could be sustained for an indefinite number of generations. How far ahead into the future the agent can look will depend on the programmer. Second, the imagined world should be *balanced*. This is more variable and could mean any number of things depending on what can be found in the first-order simulation. If agents possess wealth in the simulation, then *balanced* might equate to every agent having at least 1% of the total wealth in the world, with no single agent having more than 10%. A world where three agents ended up with 90% of all the wealth in the world would then count as *imbalanced*, something the rational agent would never consent to. Therefore, a universal maxim that leads to this kind of imaginary world would not count as a duty and will not be performed by the agent.

These suggestions can be refined further but I hope they show that there is a way of simulating deontological ethics which stays true to its special condition. It requires a “simulation within a simulation” or second-order simulation conducted by the deontological agent. Complex as it may sound, this arrangement is possible with current computing power and programming resources. It would be computationally taxing if we require that second-order simulations need to be conducted by agents for every single act. More efficiently, agents could just remember what they have identified as duties and reserve the second-order simulations for brand new acts. It could also cause significant slowness if we have many deontological agents doing second-order simulations at the same time. But if well executed, we could have a simulation with agents only doing acts that, according to their own reason, should be universal laws.

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<sup>1</sup> For a survey of cognitive architectures for agents, see Balke and Gilbert (2014).

<sup>2</sup> Because the second-order simulation depends on the state of the present virtual world (first-order simulation), this also gives some variability in what will count as a duty. What counts as a duty at one point could change over time as the conditions of the present virtual world change.

<sup>3</sup> There is also the complicating factor of how *often* the act should be performed as a duty. Every tick of the simulation? Once every cycle? For the sake of simplicity, we will ignore this issue here.

## b. Utilitarianism

In their book, Mascaro et al. mention an interesting method for act utilitarianism:

Calculating the cumulative utilitarian effects of a specific act, e.g. a specific suicide, is straightforward enough. At the point in our simulation where the suicide occurs, we can fork the simulation, with one process containing the suicide and the other excluding it, and then compare the consequences. (Mascaro et al., 2010, p. 179)

They do not adopt this method because they claim they are more concerned with *kinds* of acts rather than individual acts, and also that this method would be impractical. However, this forking method is more faithful to act utilitarianism than the method that they adopt and should be developed by anyone wishing to construct a better simulation of act utilitarianism. The kind of act utilitarianism that Mascaro et al. have, which turns a particular action on or off for different simulations and then compares the results, is in fact not very far from rule utilitarianism. Rule utilitarianism in its simplest form states that an action is right if it follows a rule that leads to the greatest good. However, issues such as what it means for a specific action to *follow* a rule, what counts as a rule, and whether exceptions to the rule are permissible (especially those that maximize utility), have led to different versions of rule utilitarianism (Lyons, 1965). Without discounting the complexities and nuances involved, let us here consider a simplistic version of “strong rule utilitarianism” which holds that if a rule contributes to the greater good, it is always right to follow that rule and always wrong to break it.

Mascaro et al.’s simulations seem to already contain everything needed to explore this kind of strong rule utilitarianism. The effect of the rules, “one should not commit suicide,” “one should not commit rape,” and “one should not commit abortion” can already be observed in their simulations, namely, in simulations where those actions are turned off versus those simulations where they are turned on. However, the method of assessment for rule utilitarianism will be different from theirs since, as I understand it, rules are more temporally independent than actions. Instead of looking at the net utility of a total population at a given time period (such as in a time of drought), one should look at the net utility of the total population over the *complete timeline*, i.e. the whole time span of the simulation. If the supertemporal, intergenerational net utility in the simulation where suicide is turned off is greater than the supertemporal, intergenerational net utility in the simulation where it is turned on, then the rule “one should not commit suicide” contributes to the greater good and the act of committing suicide is unethical in all cases, even in times of drought.

I will not dwell on this point because this strong rule utilitarianism is only a simplistic version and there are better and more nuanced versions of rule utilitarianism that cannot be discussed here. However, as mentioned in the previous section, I think where Mascaro et al.’s work can be improved is in the designation and assignment of utility. This will apply whether we use act utilitarianism or rule utilitarianism. Though they connect utility in their simulation with health, they recognize that there are many other sources of utility. For example, in the case of rape, the negative utilities are not only on account of the direct psychological and physical harm but also involve long-term trauma, negative utilities to the relatives and friends of the victim, etc. (Mascaro et al., 2010, p. 185). A more complex virtual world where long-term memory and emotions are included, as well as human social relationships, would allow for a better simulation of utilitarianism. In the last section, we discuss the PECS reference model as something that could work well with virtue ethics, but it could have benefits for utilitarianism as well.

## c. Feminist Care Ethics

As a response to the two rational and *masculine* ethical theories mentioned above, Nel Noddings introduces a care ethics that she says is more *feminine* in its approach, an ethic that “has a proper regard for human affections, weaknesses, and anxieties” (Noddings, 2013, p. 25). According to her,

Caring involves stepping out of one’s own personal frame of reference into the other’s. When we care, we consider the other’s point of view, his objective needs, and what he expects of us... Our reasons for acting, then, have to do both with the other’s wants and desires and with the objective elements of his problematic situation. (Noddings, 2013, p. 24)

The concrete relationship between the “one-caring” and the “cared-for” is considered basic. In the caring relationship, the “one-caring” has an affection and regard for the “cared-for” that is not bound or dictated by rules. At the same time, the “cared-for” usually has an awareness of this affection and reciprocates in a proportional way. Noddings claims that care ethics is not a *theory* like utilitarianism or deontological ethics. It does not deal with the abstract and hypothetical but with concrete human relationships. It does not even claim universalizability for all human beings.

Ignoring the fact that Noddings would probably object to a computer simulation given its abstract and hypothetical nature, can care ethics be simulated? I suggest that a good place to start is to build on simulations that already simulate the

begetting of offspring. In most of these simulations, offspring are practically the same as the parents, perhaps only with less health or a lower “age” value. There is no enduring link or relationship between the parents and children beyond the passing on of certain “genes,” as in the case of evolutionary simulations. However, if we modify such simulations so that the child has serious weaknesses that the parent needs to address, and if we create a unique, enduring link between the two such that parent and child can identify themselves as the “one-caring” and the “cared-for” respectively, that could serve as a basic foundation for care.

For example, it would be the parent’s responsibility to collect food in order to feed the child who would otherwise not survive. In order to simulate an awareness of the needs of the other, the parent must know the status of the child in terms of health. To simulate less of a linear rule-dictated behavior and more of an overarching “care” for the child, we can also imagine the parent behaving differently depending on the seriousness and urgency of the needs of the child. For example, the parent might collect food at a pace of 1 step/tick when it knows that her child has a good health of 50 units. But once the parent knows that her child’s health has dropped dangerously low to 10 units, the parent might consider various options that she would not normally do: collect food at a pace of 3 steps/tick at the risk of exhaustion, explore a more dangerous part of the map for the sake of better food, etc., all with one goal in mind: to restore the health of her child. Interesting mass dynamics might be observed in crisis situations where many children start suffering from low health (e.g. famine, spread of disease among infants, etc.).

The reciprocity of care can also be simulated. When the parent reaches a certain age in the simulation, she could acquire handicaps and weaknesses. By this time, the child would be a strong adult and would be in a position to care for the aging parent. The roles of the “one-caring” and the “cared-for” will be reversed. This is in fact how it works in many traditional societies where children serve as the “insurance” of parents in their old age. After the caring relationship between parents and children is properly established and configured in the simulation, this can serve as the pattern for caring relationships between siblings, relatives and non-relatives.

What has been mentioned so far is the procedural part of caring. But if we want to be more faithful to what caring means to Noddings, then we would have to deal with the affections and emotions which add a deeper layer of complexity. The “one-caring” needs to be *engrossed* and perhaps even *sad* about the weaknesses and problems of the “cared-for.” Meanwhile, the “cared-for” needs to know that the “one-caring” feels this way and that the caring acts are not perfunctory. There are many models proposed for the computer simulation of emotion, some of them based on actual psychological theories (Bourgais, Taillandier, Vercouter, & Adam, 2018). Whether any of these emotion models will suffice to simulate a caring relationship remains to be seen. But it seems that an emotional component is an essential requirement to genuinely simulate care ethics.

#### **d. Virtue Ethics**

Virtue ethics looks at the positive qualities (virtues) and negative qualities (vices) of persons that lead to habitual actions and behavior. It traces its origins to Aristotle’s *Nicomachean Ethics* and experienced a revival in the 20<sup>th</sup> century through the work of Alasdair MacIntyre (MacIntyre, 1981). Perhaps the greatest advantage of virtue ethics is that it is essentially “agent-based.” It looks primarily at the person before looking at the person’s actions.

Though no author explicitly refers to a computer simulation of virtue ethics, Coelho et al. imply it. They talk about designing an intelligent agent with character and virtues, where “agency and character [virtue is a character trait] merge together and are responsible for all the behaviours generated” (Coelho, da Rocha Costa, & Trigo, 2014, p. 22). In order to do this, they designed an agent that operates a stochastic game in its moral decision-making process, namely, “a partially observable Markov decision process or POMDP” (Coelho et al., 2014, p. 24). Without going into the details of their work, I think the idea of employing stochastics and probability in a virtue ethics simulation will be useful. When we say that a person is just or possesses the virtue of justice, we do not mean that the person does just actions *all* the time, though that person might be expected to do just actions *most* of the time. In simulation terms, an agent might have a justice value of 70%, which means we can expect the agent to perform just acts in about 70% of cases where such acts could apply.

Coelho et al. admit that “it is not easy to design an agent to be gracious, merciful or respectful” (Coelho et al., 2014, p. 22). I add that the success of simulating virtuous agents will depend on their capacities in the virtual world. It is perhaps not so easy to simulate virtues and vices when agents can only eat, move, and reproduce. However, in some simulations such as the classic *Sugarscape* of Joshua Epstein and Robert Axtell, agents can also possess wealth, trade with each other, and come into conflict (Epstein & Axtell, 1996). Such a world would be more conducive for virtues and vices. For example, let us say that when two agents conduct a trade of different resources between them, there is a small probability for an opportunity to “cheat” or “steal” to arise, i.e. an opportunity to take resources illicitly from the other agent. When this opening

comes up, a just agent might have a 70% chance of declining this opportunity to cheat, while an unjust agent might only have a 10% chance of “resisting the temptation.” We can imagine that as the unjust agent experiences the thrill and reward of cheating, its vice of injustice strengthens, decreasing its justice level to 8%. On the other hand, the just agent also increases its justice when it is able to decline the cheating opportunity, perhaps to 72%.

An additional mechanism is the probability of being found out and punished (in the case of the cheater) or praised (in the case of the just agent). Being punished might teach the cheater a lesson and discourage it from cheating again in the future (increasing its justice level to 12%). Being praised might encourage the just agent to become even more honest (raising its justice level to 75%). All the dynamics mentioned can easily be simulated since they only involve simple probabilities.

I can also offer a more abstract approach for the simulation of virtue ethics. Let us assume that agents tend to find themselves in certain situations represented by a mathematical function. Each situation can be addressed with an abstract virtue A. An agent will perform gradient descent  $n$ -number of steps on the situation-function, with  $n$  determined by the level of their virtue A. The closer the agent comes to a local minimum of the situation-function, the more it can be said that the agent has addressed the situation “virtuously.” If it reaches the global minimum, then the agent can be said to have acted in the most perfect way possible given the situation. Conversely, we could talk about gradient ascent and maxima for vices. Reaching either a minimum or maximum of the function can be bound with certain rewards or punishments for the agent. Situation-functions can resemble each other in various ways or can mutate. Some situation-functions might be “tougher” than others, requiring a greater degree of virtue to “solve,” i.e. to find a minimum.

The disadvantage of such an abstract approach is that it is not apparent what situation, virtue, or vice from real life is being represented, unlike in the previous cheating example. On the other hand, the advantage is that a situation-function could represent practically any situation in human life, such as “buying a car (requiring prudence),” “confronting a bully (requiring courage),” etc.

Whether we choose a more concrete or abstract approach, if we want to accurately portray virtue ethics then we need to account for emotions just like in care ethics. In traditional virtue ethics, a virtue is considered a virtue if it allows the higher rational part of the agent to control and direct the lower instinctive and emotional part which can often *resist* this control (Aquinas, 2010, pp. 18-19). Emotions need to be simulated to more faithfully depict virtue ethics. Furthermore, in the cheating example above, I also mentioned the possibility of being punished or praised by others which is a social dimension to virtue. A virtue (or vice) can flourish if society at large praises and rewards those who have it. So a system of social reputation needs to be introduced. These emotional and social components will be reiterated in the next and last section when we introduce the PECS reference model for simulation.

To conclude, it is not true, as Mascaro et al. have stated, that natural language in AI is required to simulate other ethical theories besides act utilitarianism. In fact, rule utilitarianism could already be applied to their simulation simply by using a different kind of perspective for assessment; deontological ethics can be simulated using the technique of a “simulation within a simulation” or second-order simulation; the basic mechanism for care ethics can be built on top of simulations that involve parents and children; and virtue ethics can be simulated simply with probabilities or more abstractly with mathematical functions and a gradient descent algorithm. The recurring challenge is the inclusion of emotions, which is needed in care ethics and virtue ethics and to a certain degree also in utilitarianism. However, there are already emotion models for simulation that can be explored (Bourgais et al., 2018). So far, we have not encountered any insurmountable barriers to the computer simulation of ethical theories. In the next section, I point out the compatibility of virtue ethics with a simulation model that has already been proposed, called PECS. This is a precursory step to attempting the technical implementation of a computer simulation of virtue ethics.

#### IV. Virtue Ethics and the PECS Reference Model for Simulation

The PECS Reference Model was introduced by Bernd Schmidt and Christoph Urban for the simulation of human behavior in a social environment. It stands for **Physical Conditions**, **Emotional State**, **Cognitive Capabilities**, and **Social Status** (Schmidt, 2000, p. 1). It was proposed as an alternative to the popular BDI (Belief, Desire, Intention) model. BDI is a good framework for the rational decision-making process but does not account for emotions and common social behaviors such as communication and learning. Schmidt and Urban claim that to more accurately model human behavior, these components should be included. However, they only provide concepts and guidelines for such a model and not a technical implementation. Based on the literature, PECS has definitely not replaced BDI and it has not received any enduring support from the ABM community. Nevertheless, I think it is naturally compatible with virtue ethics and should be used as the foundation for a computer simulation of virtue ethics.

As was mentioned above, in traditional virtue ethics, a virtue is described as the higher rational part controlling and guiding the lower instinctive and emotional parts of the soul which may *resist* the higher part. This dichotomy corresponds to the two kinds of behavior in PECS: “deliberative behavior” and “reactive behavior,” with the latter including “drive-controlled behavior” and “emotionally controlled behavior” (Schmidt, 2000, p. 1). Presumably, “deliberative behavior” comes from the cognitive component of the agent, whereas “reactive behavior” comes from the physical and emotional components. According to Schmidt and Urban, there must be a constant interaction between these components.

In addition, virtues do not arise out of thin air. They are learned from others. A child usually learns them first from parents and elders, and then later on from peers and famous “exemplars.”<sup>1</sup> As Aristotle says, “it is not unimportant how we are habituated from our early days; indeed it makes a huge difference – or rather all the difference” (Aristotle, 2000, p. 24). So virtues (and vices) should be able to be “passed on” from one agent to another. As mentioned in the preceding section, virtues (or even vices) can also thrive if they are praised by a particular community. If courage is a highly praised virtue in society, then an agent who is especially keen on social praise will have a greater inclination to be courageous. In short, agents are encouraged towards certain behaviors because of social influence. All these elements of virtue ethics would fall under the social component of the PECS model.

To provide an example, temperance is the virtue of moderation in matters of physical desire such as food, drink, and sex (Aquinas, 2005, p. 119). We can imagine an agent with a weakness for food who eats more food than everyone else, perhaps 3 units of food instead of the normal 2. This physical drive is genetic, i.e. it is programmed into the agent. Let us say that this is compounded by an emotional response: when the agent is unable to regularly eat 3 units of food, the agent gets “angry” with an irrational proneness (probability) to attack one of its neighbors. This would lead to serious punishment and negative consequences for the agent. However, if the agent has the virtue of temperance, the virtue would have the probability of curtailing these weaknesses either by addressing the physical weakness (it makes the agent eat 2 instead of 3 units of food) or the emotional weakness (it prevents the anger from arising when the agent is hungry). Though on the outside the agent seems to act like everyone else, the agent is more virtuous because it actively practices a virtue that regulates its imbalance. If we imagine a society that praises the virtue of temperance, then this could encourage the agent to increase its level of temperance even more depending on how much the agent is receptive to social influence. This is a relatively simple example, but it touches on all the components of the PECS model.

To conclude, there already exists a reference model for social simulation that is conducive for simulating virtue ethics. As its authors state, “it is a fundamental conviction of the PECS research program that an understanding of human behaviour can be achieved only if all 4 aspects and their interaction are taken into account” (Schmidt, 2000, p. 20). Virtue ethics, in its traditional form, also requires all four aspects and their interaction to be taken into account. What remains is to attempt a computer simulation of virtue ethics using the PECS model as its foundation.

## Conclusion

It is possible to do computer simulations of ethical theories with ABM. Though there are challenges involved, there are no insurmountable obstacles to such an endeavor. I hope that this paper provides a starting platform for philosophers to use computer simulations just as many social scientists are currently doing. Computer simulations provide the opportunity to conduct virtual experiments impossible in real life due to practical or ethical considerations. They can be considered “thought experiments” with greater degrees of detail and sophistication than what can ever be done with words. A computer simulation can provoke a deeper understanding and appreciation of an ethical theory as its unique aspects are hammered out in the programming process, or as its consequences are observed in visual simulation. If the simulation is expertly constructed, it might even contribute to defending an ethical theory as being universally valid for human experience, real and imagined.

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## Study of Driving Behavior in Ilioupolis, Athens According to the Environmental Affordances Theory

**Efthimios Bakogiannis**

Transportation Engineer & Urban Planner,  
Ph.D., Sustainable Mobility Unit- Department of Geography & Regional Planning,  
National Technical University of Athens

**Charalampos Kyriakidis**

Ph.D. Candidate, Urban & Regional Planner, Transportation Engineer,  
Sustainable Mobility Unit- Department of Geography & Regional Planning,  
National Technical University of Athens

### Abstract

The urban space is characterized by specific qualities that may contribute to, or mitigate the social life. These qualities were described by James Gibson as “environmental affordances”. But beyond social life, such environmental affordances can affect other human behaviors, such as driving behavior. Such an approach can be particularly useful, since the objective in most European cities is to regain the social character of roads and streets and thus to reduce the speeds on the roads and the number of cars. Through this research, conclusions can be drawn related to road elements that contribute to the development of high traffic speeds to prevent their use during urban planning while encouraging the use of other qualities that will support the maintenance of low speeds of cars. In the light of the above, the specific research focuses on a neighborhood of the southern suburbs of Athens, Ilioupolisi. Through observations and an electronic survey, conclusions are drawn on the behavior of drivers in Ilioupolis. Finally, an attempt is made to generalize the effects of the specific physical characteristics in order to optimize the design of cities where the roads will be social spaces in addition to vehicle traffic channels.

**Keywords:** environmental affordances, road design, driving behaviour, Ilioupolis, Athens.

### Introduction

Roads are an important part of open public urban spaces in cities (Jacobs, 1961; Dumbaugh, 2005; Ghahramanpouri, et.al., 2012; Lamit, et.al., 2013; Mehta, 2013; Mahdzar, et.al., 2015; Shao, et.al., 2016), worldwide. According to Vlastos and Tsorou (2006), the streets are the most important places where pedestrians operate and are thus more perceived as social sites than as building and functional elements of cities. Jacobs (1961) and Malone (2002) agree to that view and argue that streets are the social settings where human personality and society are reflected. It is no coincidence that a series of studies (Jacobs, 1961; Carmona, et.al., 2003; Mehta, 2009; Mehta, 2013; Ghel, 2010; Ghahramanpouri, et.al., 2012) support the multidimensional role of roads (political, cultural, religious, psychological and symbolic), in the context of social life. For this reason, an understanding of the parameters that influence human behavior has also been the subject of research for space designers and environmental psychologists. The latter, in fact, have formulated a set of theories that justify the emergence of specific behaviors.

In this work, the use of such a theoretical approach is used not for the study of social behavior, but for the understanding of driving behavior. Earlier studies conducted at the Sustainable Mobility Unit, NTUA, found a relative incompatibility between understanding a road as a social site and its function as a motorized traffic channel. The speeds developed seem to be a parameter that negatively affects the sense of safe pedestrian traffic while making communication between them

difficult. Thus, the following questions arise: What parameters affect the movement of vehicles at high speeds within cities? Are these parameters detrimental to the movement and concentration of pedestrians on the streets?

The above queries are attempted to be answered through this research. The issue is examined in the light of the environmental affordances theory in a particular neighborhood of Athens located in the southern suburbs called Ilioupolis. Two methodological tools, observation and questionnaire survey, are used in order for the issues studied to be explored and a holistic approach of environmental affordances is presented. Finally, the resulting conclusions are generalizations regarding the possible correlation between driving behavior and the shape of the road space. These conclusions can be useful in case studies of road section regeneration, in order to motivate citizens to make more use of roads as concentration and social gathering areas, enhancing the sense of community.

### Theory of Environmental Afordances

This research lies within the scientific area of environmental psychology that, from the 2nd half of the 20th century (Clayton and Saunders, 2012; Cassidy, 1997), studies the relationship of the environment and human behaviour (Scholz, 2011). Thus, over the last decades, a number of studies have turned its interest in understanding people's behavior, utilizing different theoretical approaches. According to Moser and Uzzell (2003), the major theories are grouped into three groups of theoretical thinking: determinism, interactionism and transactionism. The approach of environmental affordances falls within the transactionistic theories.

Under this theory, any human behaviour is related to the possibilities offered by the space on every user, each time (Warren, 1984; Greeno, 1994). According to Mehta (2013), environmental affordances are not treated as elements that are characterized by "obligatory" to the users of the space qualities but as elements of the environment that make it capable of developing some experience as well as experiencing some aesthetic experience. Although, the various features of the site can support or constrain behaviours, this does not mean that these behaviors will definitely take place (Gibson, 1979). Indeed, environmental affordances are a "*real chance*" for the event of an action (Tillas, et.al., 2017). Characteristic is the example that is demonstrated by Gaver (1996), who expects that the number of moving individuals on space located at a higher altitude level from another is less because of the height difference.

Although several groupings of environmental affordances have been formulated (Fallah and Fallah, 2015), the most frequent categorization is that based on the "benefit of the user" criterion and distinguishes the affordances into positive and negative affordances. Other categorizations can be made based on "actor's involvement" (potential or actualized affordances) or "perceiving acting agent" criteria (individual or shared affordances). These types of categorization were used in this specific research paper, which uses the affordances as a mean of understanding driving behavior.

### Methodology

To answer the research questions, a particular area was selected as a case study. According to Jennings (2001), case study research is a kind of a primary research since it offers new information both qualitative and quantitative, in order to draw conclusions that will be useful in design projects of similar research theme (Kyriakidis, 2016; Bakogiannis, et.al., 2017). The characteristic that makes them a useful and reliable tool of research is that they are empirical studies of the phenomenon under the scope of real life, as Yin (1984) notes.

Ilioupolis was selected because it: (a) is characterized by an average degree of compactness (Kyriakidis and Iliadis, 2018), consisting a typical city case, (b) constitutes an autonomous non-center neighborhood within the metropolitan area of Athens, which is important since most researches on how a place can become socially more active concern the central districts rather than the neighborhoods (Mahmoudi Farahani, et.al., 2015), (c) is located on the perimeter of the metropolitan area of Athens and is crossed by major motorways that operate as an extension of the regional ring (Attiki Odos) (d) is an area developed after urban planning and not in an anarchic way, as several areas in Greece, (e) has a wide variety in the characteristics of the roads, as there are many highways where high traffic loads are recorded, as well as local roads, (f) is among the municipalities that will develop the Sustainable Urban Mobility Plan (SUMP) and will therefore design and implement interventions that will affect mobility at municipal level.

Concerning the understanding of driving behavior in Ilioupolis, two methods were chosen: (a) Drive-by and walk-by observation; and (b) Questionnaire survey. The first method aimed at the recording of basic driver mobility choices, such as the approximate calculation of average speed, giving priority to pedestrians when they use zebra-crossings for crossing the roads, the maintenance of priority in the nodes, parking in areas where parking is prohibited, the use of traffic lights, etc. The second method aimed at understanding the perception of drivers about how they are moving to Ilioupolis. Through

the questionnaire survey, it is checked whether drivers understand the behavior they express; for example, understanding of the speeds they reach when they drive, understanding of the cases when they violate a signal, etc., as well as the attempt to understand the motivation for the expression of specific behavior. The survey was conducted between 8-22 June 2018, electronically. 91 people participated in the survey. They were informed via social media. In that way the random character of sample selection among residents or visitors of the city who have an account on a social media platform was ensured. Regarding the profile of the survey participants, the majority of participants are men (53.3%), aged 25-35 (66.7%), university graduates (52.2%) driving a car or motorcycle (91, 1%). 56.7% of the respondents declare residents of Ilioupolis, while the others visit the study area on a daily basis (45.7%) or 3-5 times a week (30.4%). It is worth noting that the majority of questions were closed-ended, since in open-ended research the open questions do not find the appropriate response from the respondents (De Bruijne and Wijnant, 2014; Zhou, et al., 2017).

The results obtained from the field research were evaluated in the light of the literature on environmental affordances. A table was accrued, showing the affordances found in Ilioupolis and are classified according to the "benefit of the user" and perceiving acting agent" criteria.

### **Case Study: The Municipality of Ilioupolis, Athens**

Ilioupolis is located in the southern part of the metropolitan area of Athens. Its population is 78,153 inhabitants and the population density is estimated at 13,175.8 inhabitants/km<sup>2</sup>. Indeed, it is characteristic that it consists a relatively compact municipality in its urban section (Kyriakidis and Iliadis, 2018), assessing a number of parameters, such as public transport coverage, the height of buildings and the surface of public and green spaces.

Although the balance of public spaces versus private ones is positive for public spaces, however, most of them are not attributed to the use of pedestrians but to the movement of motor vehicles. The city is crossed by highways and roads of large width with high traffic loads. On most of these roads, the speeds developed are above the permissible limit within urban areas. Indeed, 69% of the respondents said that the average speed of their vehicles in Ilioupolis is 40-60 km/h when the permissible limit is 50 km/h. 4.6% of the participants even underlined that their average speed in Ilioupolis is more than 60 km/h. As the main cause of high speed development, the large width of the roadway was considered the most important parameter (52.9%), while the number of lanes and the existence of a separating island were two other features that favored this. As respondents are also pedestrians, when they were asked they think that cars are moving at high speeds on the main streets of the city, 78.9% of respondents responded affirmatively. However, it is paradoxical that even from those who recognize that they have exceeded the speed limit (76%), only the 46% believe that they exceed the boundary within an urban area.

These features are evident on roads such as Marinou Antypa Ave., Andrea Papandreou Ave. and Heron Polytechniou Ave., which after Eleftheriou Venizelou Ave., an extension of Attiki Odos, are roads identified as roads where drivers develop high speeds. In fact, some intersections on the above roads were characterized by the participants in the questionnaire survey as dysfunctional. However, this parameter does not seem to affect the land values in the Municipality of Ilioupoli, as the property rating index tend to be increased from the southeast to the northwest side of the municipality. It seems that wide-width roads and avenues –in which heavy traffic loads are recorded (General Study for Traffic Control and Parking Management in the Municipality of Ilioupolis, 2017)- are being evaluated in a positive way due to the fact that act like connecting axes with the center of Athens and the northern suburbs of the Athens metropolitan area. The question of the movement of the drivers at the junctions focused on the roundabouts that are numerous in Ilioupolis. The majority of survey respondents consider that they are largely served by the city's roundabouts (40.5%). The same positive was their attitude towards the regulation of traffic with traffic lights, since most (70.6%) do not consider that there are delays in the rotation of the movements and therefore do not feel that such a delay causes them to violate the red signal.

The survey also looked at the attitude of drivers towards pedestrians crossing the streets. Although the majority (35.8%) of respondents uses the crossings during their crossing on the main streets of Ilioupolis when they move as pedestrians, only about 30% of the total assess the crossing of the central streets of Ilioupolis as comfortable. This may be due to the fact that crossings are also located and where there is no traffic light, resulting in a large number of drivers not stopping. Indeed, 50% of the respondents do not stop at the crossings when there is no traffic light.

The on-street parking was another phenomenon that was largely observed in Ilioupolis, as in many Greek cities (Vlastos and Chronopoulos, 2007; Kyriakidis and Bakogiannis, 2018). On both central and local roads, parking along the road and sometimes even on the sidewalk seemed to make it harder for pedestrians to move. However, only 25.2% of respondents consider parking to be one of the reasons that make it very difficult or too difficult for them to be pedestrians. This view is perhaps related to the satisfactory assessment of the pavements in terms of their width (39.7%). This view relates, in

particular, to the sidewalks of the main roads where the sidewalks are of sufficient width and the existence of additional pavement patch (area between the street line and the building one), that in several places is not delimited, creates the sense of even larger pavements. A similar situation prevails on some roads that have been restored and function as mild traffic roads. However, it has been found that there are many points in the city where the width of the sidewalks is too small, so it is not enough even for the safe movement of healthy people.

Regarding the issue of the protection of pedestrian traffic on the sidewalks, the attitude of residents and visitors was investigated for the use of equipment, such as the pillars, to restrict parking. 41.7% of respondents are taking such measures positively to make pedestrian movement easier and safer. This point of view is important because, recently, railings have been placed in order to release the pavements from parked cars. In addition to the portable obstacles, horizontal marking can also act as a deterrent to parking. Indeed, lining and using pictograms prevents drivers from parking at specific points. It is typical that 94% of respondents in the survey have never parked on a bicycle lane marked by road markings.

	Big Formation width of a road	P	P*
	Big Carriageway width (sealed road)	P	N
	Big pavement width	P*	P
	Islet	P	N*
	More than 1 traffic lanes	P	N
	Big Lane width	P	N
	On-street parking	N*	N
	Great number of private parking-areas	N	N
	Roundabouts	P	N*
	Traffic lights on nodes	P	P
	Simple intersections	N	N*
	Zebra-crossings not integrated with traffic lights	N	P
	Road signs	P	P*
	Horizontal Signals/Markings	N*	P
	Plastic protective barriers	N*	P
	Green spaces and trees	P*	P
	Inclined ground	N	N
	Horizontal Marking	N	P*
	P*/N*: potentially positive or negative affordances. It should be noted that some estimations are made by taking into account the functional or social character of each affordance.		

Table 7. Main environmental affordances in Ilioupolis, Athens, categorized according specific criteria. Source: Own Elaboration.

The above points were evaluated in the light of the literature for environmental affordances. Once identified, they are tabulated and presented in Table 1. It should be noted that the affordances presented in this table are an indicative list of the most important affordances for the whole municipality. A corresponding, more detailed record on a smaller scale (i.e. street or neighborhood scale) may bring to light other affordances not listed in Table 1.

The sum of the recorded affordances (17) were evaluated on the basis of the "benefit of the user" criterion for two categories of users (drivers and pedestrians) and categorized into positive and negative. However, some affordances are characterized as potentially positive or negative depending on the benefits to the user most likely to have. As depicted in Table 1, motor vehicle drivers tend to have more benefits from the existing planning in the municipality of Ilioupolis. 44.4% of the affordances were positive for the comfortable movement of vehicles, while 11.2% were potentially positive. For

pedestrians, 33.3% of the affordances were positively evaluated and 16.6% potentially positive. Respectively, as negative affordances for vehicle traffic were evaluated the large number of private parking areas, simple intersections, zebra-crossings not integrated with traffic light and the inclined ground. The affordances in terms of pedestrian traffic characterized as negative were more.

The above confirm the fact that Ilioupolis is a neighborhood of Athens that is designed with an orientation that serves the most motor vehicles rather than the pedestrians, as most Greek cities (Vlastos and Perperidou, 2007). It is no coincidence that 50% of respondents to the questionnaire survey do not express a clear position on the question: "How safe do you feel as a pedestrian in Ilioupolis?" The recent regeneration of some road sections seems to be moving towards pedestrian protection. However, a single united planning is required to promote sustainable mobility throughout the municipality, through integrated strategies, ensuring both pedestrian safety and the limitation of the circulation of motor vehicles. The affordances presented in Table 1 can serve as indicators for progress in the area of sustainable mobility. Thus, the design goal should be to increase positive environmental affordances for pedestrians, even if this means limiting the comfort of vehicle traffic, at least on local roads.

Finally, it is worth noting that the increase of positive affordances for pedestrians is expected to have a positive impact on cyclists as well, since the physical characteristics of an area influencing the presence of pedestrians affect in a similar way, in the majority, the presence of cyclists as well. These characteristics include the width of the pavement, as there is no autonomous bicycle space, the degree of shading of the pavements, the urban green, the ease of crossing the roads, etc.

## Conclusions

Streets are fundamental parts of cities and people's everyday life. Nevertheless, over the decades, large surfaces of them have been conceded to the use of cars. As a result, they function more as traffic channels than spaces of social interaction. This situation tends to be reversed through the implementation of SUMP, based on the European Union's guidelines, to make roads safer for pedestrians and to regain their importance as social sites. To do this, a number of street interventions aim to modify some of their physical characteristics, assuming that they affect the choice of the means of moving by people as well as their behavior as drivers, cyclists or pedestrians.

These physical characteristics are called environmental affordances and were described in the context of homonymous theory, which falls within the field of environmental psychology. The affordances recorded in an area can be categorized in a number of ways: positive, negative, actualized or potential, affordances perceived by drivers or pedestrians.

The above theoretical approach has been applied in the case study examined in this research paper concerning the Municipality of Ilioupolis. Ilioupolis is a neighborhood in the southern part of the metropolitan area of Athens with large public areas. Although the degree of urban compactness for its urban segment is relatively high, however, a large part of its public spaces are the streets, thus limiting the sociability in its public spaces. The ratio between roads and public spaces for pedestrians has been the motivation for exploring driving behavior in Ilioupolis and the way it is influenced by the physical design of the area.

To investigate the issue, a questionnaire and walk-by and drive-by observation research was conducted to capture behaviors and investigate the cause of their expression. The research has shown that physical characteristics are related to driving behavior as well as pedestrian behavior. The conclusions that have emerged for Ilioupolis can, under certain conditions, be generalized for other Greek cities, as well, with corresponding characteristics. In summary, the key findings can be described as follows:

The large sealed road width contributes to the development of higher speeds than the permissible speed limit. Other parameters that affect high speed development are the number of lanes per direction and the existence of a separating islet between the traffic flows. In any case, the existence of an islet is legitimate, since its geometrical characteristics are such that do not discourage pedestrian movement and the safe crossing of the roads, since they consist urban areas. Regarding the width of the sealed road, it is legitimate to keep it in small widths within urban network to prevent high speeds. An alternative would be to use different asphalt material.

Roundabouts are rated more positively than negative. Negative evaluation of roundabouts occurs to a greater extent by pedestrians who do not have access to the central island area, even if there is a design that predicts their presence in it. In any case, the operation of roundabouts in Greek cities could be more efficient as long as there was a better education of drivers in terms of priority and the combination of different means such as roundabouts, traffic lights and vertical marking was prevented.

The adjustment of traffic into nodes with traffic lights against typical nodes (priority settings) is more efficient and safer. However, switching of traffic light signals should be tactical so as not to encourage drivers to violate light signals.

On-street parking is a parameter that prevents pedestrian movement. However, its effects are smaller, as long as there are wide widths of sidewalks. Potentially negative may be the effects of the parking garage and for drivers since they have difficulty in parking and traffic on the road. Negative impacts on drivers also arise from the existence of a large number of private car parking areas, as they have difficulty in finding a car park.

Obstacle use can be a satisfactory method of limiting on-street parking and parking on the sidewalks. A large portion of the audience agrees with their use. An alternative could be to pinpoint and use pictograms for easy and cost-effective interventions, at least in a stage of public opinion adaptation for future permanent footpaths or regeneration of streets.

The above points summarize the findings of research on the psychology of drivers who move to an area with specific physical characteristics. It was found that there was a correlation between driving behavior and the existence of specific features, which, in theory, was more established for pedestrian behavior. Research may further specify the relationship between driving behavior and pedestrian traffic in the study area as well as focus more on the parameters that affect the use of the bicycle as a means of transport. Through such an integrated approach, important conclusions could be drawn that shape a set of policies that need to be taken into consideration when designing roads, which has been increasingly observed in Greek cities over the last few years due to the increased demand for SUMP. Thus, because through such a behavioral research the psychology of behavior is being examined, it can be said with relative certainty that designs based on such policies are expected to have positive effects on the safety of citizens, the enhancement of the publicity of public spaces and the development of a strong community sense.

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## Characterization in literary discourse: A pragmatic study

**Nawal Fadhil Abbas**

College of Education for Women, Baghdad University

**Jinan Ahmed Khaleel**

College of Education for Women, Baghdad University

### Abstract

Modern literary writers are regarded as being fellow researchers into the basic structure of verbal communication on the basis of modeling literary communication on the knowledge of pragmatic aspects. Fiction writers, as literary authors, are really concerned with the basic structure of verbal communication. This paved the way for linguists to reconstruct literary communication by supplementing their knowledge with their insights into the communication system by applying linguistic theories, aspects and approaches to literary texts, whether written or spoken. The present study aims to examine to what extent the pragmatic aspect of Conversational Implicature, mainly meant for naturally occurring conversation, is of help in revealing the development of the plot and reflecting the features of the characters in Mansfield's 'The Daughters of the Late Colonel'. To do so, Grice's Cooperative Principle and the four maxims (1975) are utilized by the researchers to examine the above aim. Among the conclusions arrived at, the researchers state that it is sometimes difficult to determine whether a particular maxim is flouted by the author or by any one of the characters, sometimes it is difficult to determine whether or not a particular maxim is flouted, and the author sometimes reports what he believes to be false just to enrich the fictional world presented and to create a greater impact on the reader.

**Keywords:** Literary communication, characterization, Grice's maxims, implicature.

### Introduction:

Despite the fact that pragmatic aspects work much better within oral discourse, written discourse is amenable to this kind of study and in this respect it is applicable to drama and to fiction as well. Traugott & Pratt (1980, p. 260) mention some of the points at which writing differs from face-to-face speech as far as pragmatic aspects are concerned. Zou (2010 as cited in Abbas 2014) contends that such differences between reading and writing have no great impact on the differences between spoken and written texts. That is why many people tend to overemphasize the gap between the two and ignore this similarity. In this regard, Zou emphasizes is that

In fictional written conversations, pragmatic particles such as 'you know' and 'kind of', repetition, hesitation, ungrammaticality occur frequently, which is similar to spoken conversation. Therefore, oral language and literary language are not mutually exclusive types (2010, p. 160).

Traugott and Pratt while discussing pragmatics in relation to written discourse, they state that pragmatics has already corrected the view that a literary text, is not an object but "an act of communication between a writer and a public" (1980, p. 255). This act of communication is intended to accomplish a number of tasks that could be either to project oneself into an imaginary world, to produce pleasure and approval in the audience, to produce shared understanding and evaluation and, for Horace, the great philosopher, it is to teach and delight (Abbas, 2014, p. 29).

In spite of the many attempts made by Banfield (1982), Benson (1984) and Ulrich (1986), to limit the application of pragmatic aspects to drama rather than fiction, according to Abbas (ibid), many others justified the application of pragmatic aspects to fictional conversations by alluding to the positive correlations or similarities that exist between fictional and naturally-occurring discourse. Among such scholars, the researchers of the resent study include Watzlawick, Beaven, and Jackson, 1967; Burns, 1972; Pratt, 1977; Turner, 1980; Gudas, 1983; Rossen-Knill, 1996 and Zou, 2010. In this regard, Ragan and Hopper (1984, p. 311) justify this aspect by stating that "fiction represents a valid representation of behavior; fictional talk

and naturally-occurring talk are more similar than disparate; both fiction and reality are constructions". This is on the one hand. On the other hand, Jarbou (2002, p. 66) states

Though the characters are imaginary, the cultural and social variables and concepts present in their world and encoded in their speech are not; they are the same ones present and used in the society where the text is originated. The author after all, uses the language (with all its socio-pragmatic features) of the society where he lives and whose inhabitants are expected to use the same knowledge of how language functions in society in order to understand how it functions in the literary text (cited in Abbas, 2014).

Besides, a great amount of effort has been exerted on the linguistic analysis of fiction in an attempt to establish a basis for interpretation of the literary text from within the text itself rather than establishing viewpoints about the literary work depending on the factors affecting the creation of the work whether social, religious, and psychological, etc. Accordingly, a massive body of literature has developed within this area, i.e., linguistic analysis of fiction (Fowler 1977). Short story writing is part of the art of 'Fiction' and accordingly, when the dialogue is analyzed, the emphasis is on studying the dynamics of social interaction among characters. In this regard, character speech is studied in order to investigate the relationship between real and fictional dialogue (Rossen-Knill, 1999; Tannen, 1990; Nykänen and Koivisto, 2016), to arrive at a systematic way to present fictional speech (Leech & Short, 1981; Overfelt, 2017), to gain psychological interpretation (Wexler, 1997), and to explain point of view (Sotrinva, 2004) etc. The present paper is intended to analyze dialogue in fiction so as to enrich 'character interpretation' through the examination of the social interaction among characters and the strategies used to achieve social interaction.

### Analysis and discussion

Having a very normal domestic affair, death in a family and the consequences of ill-upbringing of two middle-aged spinsters, Jug and Con, no conflict and accordingly no implicature is expected. They speak for the sake of speaking to break the monotony and boredom of their lives. Therefore, when we come to CI we find that there are a few instances of the flouting of Grice's maxims and resultant CIs on the one hand and many instances of the violation of the aforementioned maxims and non-cooperation on the other hand as is shown in table (1) below:

Characters	Flouting				Violation			
	Quantity	Quality	Relation	Manner	Quantity	Quality	Relation	Manner
Jug	-	-	3	-	3	-	2	-
Con	1	-	-	1	2	4	2	1
Colonel	-	-	-	-	1	-	-	-
F.& %	5=23.8%				16=76.2%			

Table 1: Frequency and percentage of floutings and violations in "The Daughters of the Late Colonel"

This is at the level of character-character interaction. But at a different level of interaction (author-reader) such violations can be considered as flouts on the part of the author, Katherine Mansfield, by which she wants to implicate to her readers certain features of her characters.

The first example of "The Daughters of the Late Colonel" occurs in episode I when Jug replies to Con:

Con: Do you think that father would mind if we gave his top-hat to the porter?

Jug: the porter? Why ever the porter? What a very extraordinary idea?

In this example, Jug flouts the maxim of relation by producing a three-move utterance, two questions and a displaying assertion, instead of answering her sister's question. This flouting can be thought of as an attempt by Jug to put an end to Con's question which has the illocutionary force of a suggestion and can be paraphrased into 'What about giving the top-hat to the porter?' (idiomatic expression). What is implicated here is that Jug is not against the idea of giving the top-hat, though she utters the metalinguistic phrase 'what a very extralinguistic idea', but she is against giving the top-hat to the porter. The implicature is further reinforced by Jug's promise to discuss the matter the following day as though she is nearly convinced by Co's justification 'he was always nice to father'.

Another example also occurs in episode I. while they are talking about the papers with the notice to their brother Benny in Ceylon, Con asks Jug a very normal question (Yes/No) which seeks a positive or negative answer. To such a question, Jug produces:

Con: Have you got enough stamps?

Jug: Oh, how could I tell? What's the good of asking me that now?

In her reply Jug violates the maxim of relation for producing two distinct questions instead of simply answering with yes or no. Her reply indicates nothing at the level of character-character interaction but at the same time it can be considered as a flouting on the part of Mansfield who is telling us indirectly that they are naïve, bewildered and weak enough to handle a conversation regardless the subject or topic of such a conversation. Whenever they fail to go on, they change the topic of interaction by issuing a question, a request or whatever speech act necessary to save the situation.

The point above can be reinforced further in the following example from episode II. In this episode both sisters have Nurse Andrews staying on with them a week. One morning the three, both sisters and their hostess, sit together to have breakfast . nurse Andrews starts talking and produces a very normal question or more specifically a question tag:

Nurse: But why? No one surely would take more buttah than one wanted, would one?

Jug: Ring, Con.

Here, Nurse Andrews flouts the maxim of relation because she produces two moves with no relation between them. The first is a rhetorical question in response to Jug and the other is a positive question tag. This indirect directive, which has negative-plus-positive orientation, is an attempt by Nurse Andrews to get Jug to talk (or even to reply with Yes or No). leech (1980, p.112) points out that the positive question implies disbelief in the possibility of a positive answer and so virtually obliges the listeners to respond negatively. So the implicature is that Nurse Andrews attempts to get Jug to talk. Jug on her part violates the maxim of relation and puts the whole Cooperative Principle in jeopardy when she produces a directive (request) instead of answering Nurse Andrews's indirect directive. But this violation can be considered as a flouting on the part of Mansfield to implicate that Jug is not ready to give and take with strangers as well.

As for the maxim of quality, there are two interested examples in episode VI. The first one is that when Jug tells her sister "But I do wish you wouldn't whisper", Con utters the following:

Con: I didn't know I was whispering.

By saying so, Con violates the first sub maxim of quality "Do not say what you believe to be false". This violation counts as a flouting on the part of Mansfield who implicates that Con is refusing to confess her weakness. On the contrary, she denies the truth of her assertion by embedding a negative element under the factive verb 'know'.

The second example is provided in the following exchange between Jug and Con:

Jug: But- but it seems so weak.

Con: But why not be weak for once, Jug? If it is weak, why shouldn't we be weak for once in our lives, Jug? It's quite excusable. Let's be weak-be weak , Jug. It's much nice to be weak than to be strong.

Jug's 'so weak' is actually embedded under the non-factive verb 'seems' which creates the ironic implicature on the part of the author who is telling us that they, contrary to the situation, are really weak. This sense of weakness is reinforced by Con's reply in which she produces a rhetorical question the answer to which is 'there is no harm in being so weak for once' which is further reinforced by the conditional clause "If it is weak..." and also by the assertion "It's quite excusable...". Much more interesting is the invitation or even the suggestion to be weak, which is repeated three times in the same move, which in turn constitutes the irony of situation. Therefore, by saying what they believe to be false, Con is violating the first sub-maxim of quality and creates the ironic implicature. This violation again counts as a flouting on the part of the author who tells us (at the level of author-reader) that both sisters talk only to give vent to their emotions and that Con really makes it plain her assumption that there is no harm in being weak when she says "It's much nicer to be weak than to be strong". In the last remark Con violates the second sum-maxim of quality "Do not say for which you lack adequate evidence". This violation is resolved by the author who implicates something like the old saying 'Sour Grape'.

Another violation is that provided in episode V and in particular in Con's response to Jug: Let them bury father like that.

Con: But what else could we have done? We couldn't have kept him, Jug- we couldn't have kept him, Jug---we couldn't have kept him unburied. At any rate, not in a flat that size.

In addition to the violation the sub-maxim of manner 'be brief', Con violates the second sub-maxim of quantity 'Don not make your contribution more informative than is required for the current purpose of the exchange' as she states an obvious state of affairs that the dead should be buried. But this violation can be considered as a flouting on the part of the author who is trying to portray to us how much they are dominated by fears to the extent that it takes her, for Con, three moves to utter the word 'unburied'. What is interesting here is that their worries and fears reach their peak when Jug utters "father will never forgive us for this- never!" which has the illocutionary force of warning. The father, Colonel Pinner, is dead now and the two sisters are still captured and they do not have the ability to believe the fact that the father is dead and they are completely free.

The first sub-maxim of quantity 'Be as informative as is required for the current purpose of the exchange' is violated only once by Kate, the servant. In episode X, the two sisters are interrupted by Kate bursting through the door in her usual fashion, as though she had discovered some panel in the wall and asks:

Kate: Fried or boiled?

Here Kate produces less information than is required and what supports this is Jug's question:

Jug: Fried or boiled what, Kate?

This violation counts as a flouting on the part of the author to implicate that there is a sort of parallelism between Kate's insolence and rudeness and the sister's passivity and weakness. The weaker she sees them, the more insolent she becomes. She carries no sense of respect to them. Actually this is not the only time in which Mansfield presents Kate as being stronger than them. Kate's strong personality is shown also in another situation. When the two sisters try to open the father's door, the door-handle refuses to open not because it is stiff, but because Kate is watching them from the kitchen. Jug does not have enough courage to open the door, therefore, she produces:

Jug: Very stiff.

And by saying so, Jug violates the first sub-maxim of quality. Again this violation counts as a flouting on the part of the author, who is implicating that it is the lack of courage rather than stiffness that hinders Jug and prevents her from opening the door.

Towards the end of the story, the first sub-maxim of quantity is severely violated by both sisters, Jug and Con, since they give less information than is required for the current purpose of the exchange. Now let us consider the following:

Con: Don't you think perhaps-

Jug: I was wondering if now-

Then they stopped, and waited for each other:

Jug: Go on, Con.

Con: No, No, Jug; after you.

Jug: No, say what you were going to say. You began.

Con: I ... I'd rather hear what you were going to say first.

Jug: Don't be absurd, Con.

Con: Really, Jug.

Jug: Connie:

Con: Oh, Jug.

A pause then:

Con: I can't say what I was going to say, Jug, because I've forgotten what it was...that I was to say.

Jug: I've forgotten too.

Being less informative than is required counts as a flouting on the part of Mansfield who indirectly implicates that they are suffering from emotional loss and loss of concentration since they are producing fragments rather than full and understandable utterances. These two types of loss give rise to bewilderment, hesitation, fears, and ultimately increase the sense of alienation they live in. actually it is too late for them to get out of this atmosphere and to break the shackles of imprisonment and to start a new life that is devoid of fears, weakness, hesitation and bewilderment. We say so because we are not provided with the least idea that they might change some day.

Previously we have noticed how Grice's maxims are applicable to the conversational side of the story and how the characters' violations count as flouting on the part of the author to communicate to the reader something about the way the character develops throughout the story. As far as the application of Grice's maxims to the narrative sub-text is concerned, we still have certain points to examine.

If we consider the first and second maxim of quantity we can say that it is violated many times in different places in the story and these violations are probably related to the author's style or method of presentation. Such violations should be justified to keep the Cooperative Principle at work. It is a characteristic feature of Mansfield's style to employ such details that play an important part in her stories to the extent that the role of minute details is very much similar to that in any painting. Each detail, employed to describe the outward features of any figure, has also a similar bearing on that character's individual traits and previous circumstances. For example, when Con is portrayed as lying "like a statue", at the beginning of the story, we are presented with a description of her physical position at that particular situation, but at the same time such a description illustrates certain traits of her character like patient endurance of suffering, coldness, indifference and ultimately we gain more knowledge of the kind of life she has been leading, desolate, dreary, raw, chilly and monotonous.

Concerning the maxim of quality we can say that it is severely violated many times in the story and such violations are also justified if we know something about the type of language Mansfield usually uses. Her language has a poetic quality because she works in the manner of a poet rather than a narrator telling a story. If we consider, for example, how we are given the sisters' reaction to Nurse Andrews's fondness of butter. They both think that she uses too much butter and when they see her helping herself, they react in different ways. Jug looks as if she was watching a minute insect on the table cloth (and actually there is no such a thing on the table cloth), while Con gazes away-away far over the desert. And we know very well how much more effective is this than a direct description of the disapproval of the two women. As for metaphor, we have many instances in different places in the story by violating the maxim of quality such as when Mansfield describes Kate, the insolent servant, as the 'enchanted princess' and the two spinsters as 'the old tabbies'.

Another interesting point to mention here is that Mansfield employs the technique of beginning the narrative in the middle of the situation, *in medias res*. By so doing, Mansfield violates the maxim of manner 'be orderly'. To Labov (1972, p.363) a fully developed narrative type consists of the following elements (each provided with its function):

The abstract: what is it about?

Orientation: when, who, what, where?

Complicating action: then what happened?

Evaluation: so what?

Result/ Resolution: what finally happened?

Coda: put off the above question.

Reading the short story tells that Labov's system is not available simply because the story opens with the curtain rise sentence "The week after was one of the busiest weeks of their lives". Therefore, both, the abstract and the orientation are missing and accordingly, Mansfield directly delves into the subject assuming that her readers are already familiar with the characters while all the necessary data unfolds as the narrative proceeds. Step by step the reader gets to know who 'they are', the week after what, and why it was the 'busiest' of their life.

As for the maxim of relation (be relevant), it is expected to be adhered to since the narrator should only report such events and evaluations as are thematically relevant to the narrative world presented. Even those incidents which seem superficially irrelevant are closely related to the overall story since they contribute, in one way or another, to the thematic level.

Therefore, talking about the mice, the marmalade, the reporter's head though seem irrelevant but they give minute glimpses or details about how the main characters develop. They are quite relevant to the story.

### Conclusion:

The aspect of Cooperative Principle and its four maxims used in the analysis of Mansfield's 'The Daughters of the Late Colonel' have provided us with many insights into the way the characters think and communicate with one another in terms of their strategies and assumptions and also into the way the author implicitly communicates her views to the readers. The greatest difficulty in adapting the maxim is created by the fictional framework around the narrative world and the concomitant fact that communication is affected in two levels simultaneously: between the implied author and the implied reader and between the narrative personality and the fictive reader. In terms of the violation and flouting of the maxims, it is the relation maxim that is flouted (intentionally and non-intentionally) differently by different characters in different episodes to reveal to the reader that both sisters are naive and weak to handle a conversation. Whenever they find themselves unable to respond or react rationally, the two sisters tend to flout the relation maxim and turn the topic of interaction. In this way they avoid both continuing the conversation and the embarrassment that might follow. The maxim of quantity is also flouted and this gives the reader the implication that both sisters suffer from emotional and spiritual loss. The maxim of manner (be orderly), on the other hand, is sometimes violated to make the construction of the story more interesting and more amusing. Starting in the middle of the story, and focusing on the most important situation in the daughters' life, is a good example of this point.

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## Developing Pupils' Language in Primary School Based on Technology

Georgeta Pânișoară

Cristina Sandu

Silvia Făt

Iulia Lazăr

Liliana Mata

University of Bucharest/ University of Bacău

### Abstract

This study aims to identify the level of language difficulties for children in primary school and to open teachers to use virtual methods in teaching through technology. The participants in this study were 122 Romanian teachers with different levels of experience. The method used was a questionnaire created by ourselves to which we applied the Cronbach alpha index to measure the fidelity of each item. The questionnaire aimed at identifying the sources of speech difficulties, teaching methods used by teachers, and teachers' perceptions about the use of technology and its effectiveness in relieving language difficulties. The results of this research were introduced into statistical interpretation programs to confirm the hypotheses, the data obtained confirmed the use of teaching methods by teachers and their opening to the combination of technology in didactic activity.

**Keywords:** language, technology, digital learning, virtual reality

### Introduction

#### Theoretical foundation

In the new era of information technology, thinking and communication are crucial for students to master world class knowledge and contribute towards the building of a modern and progressive society. Pupils, developing their communication skills, can have personal and professional achievements; can become successful people; can shine in social life; can reach emotional, social and economic maturity (Ngang, Nair, Prachak, 2014).

The development of language is closely related to the child's early relationships and experiences (Van Scoter, 2008). The importance of playing at an early age and the familiarization of children with everything that involves digital technology, these games being the one that gives the uniqueness of building reading and writing skills for each child (Toki, Pange, 2010). Using speech technology contributes to building educational environments, improving the quality of speech therapy, so digital technology and resources can be considered tools for change and innovation in speech therapy. (Tezci, 2009). Massaro and Light (2004) helped to improve language articulation by using a computer-animated speaker (Baldi). Another example is SpeechKit, a multimedia program that can be used by speech therapists to support people with associated communication difficulties (Calder, 2008)

An important aspect for the efficiency of speech therapy is the use of intelligent diagnostics and therapies, a viable alternative to traditional approaches and aimed at increasing the efficiency of speech therapy (Popovici, Buiică and Velican, 2010). The language as a vital part of children's development provides opportunities for learning, for communicating and building relationships with others as well as for enabling children to make sense of the world around them (Brock, Rankin, 2008). It is well recognized that interacting with more qualified speakers, providing a rich home and school environment and engage in interactive book reading are important activities to support the development of the language preschool age children (Berk, 2013).

Research studies in language area for students indicate that technological development is very important and effective in learning the language. The technology, internet and some computer games could promote language positively if they are

used correctly. Gee (1996) mentions sociocognitive approach gives language learners chances to interact in an authentic social context. Internet can provide sociocognitive approach through authentic tasks and project based studies. Online games can support and improve various vocabulary fields and also give valuable language feedback. (Pensky, 2002)

Technology makes a positive effect not only on social life but also on education. Since technology becomes increasingly prevalent within educational settings, there emerges an expectation for educators to utilize digital tools to support classroom teaching and learning. However, the rapidly changing technological innovations about the education make it harder for the teachers (Kingsley, 2007). Technology changes so fast that it is almost impossible to follow for the teachers. Nonetheless, although most teachers throughout the world still use chalk and blackboard, technological devices are used frequently in language development classrooms all over the world to provide supplementary practice in the language development. The digital society we live in, also referred to as the information society, is driven by information and communication technologies which allow people to produce and share data unboundedly (Webster, 2006 in Panisoara et al., 2017).

Virtual learning is an excellent method of targeting learners who are not able to participate the formal class sessions in an educational institution due to the priorities of work, home, or some regulation limitations. However, distance education has also another aspect which is emerging in new colleges where education authorities encounter shortage of school members for offering specialized courses. (Bidaki, Semnani, 2013)

The definition „virtual reality” nowadays is used very actively not only in the sphere of computer techniques as by representatives of different fields of man's vital activity. The process of training mainly seems to be virtual and may be apprehended like interaction of virtual spaces, and people in this case fulfill a function of bearers or like a process of coping and appropriating strange virtual spaces. The role of virtual reality in professional activity of a teacher of technology is analyzed through relativity of professional activity space as a main sign, distinguishing it from space and it displaying in functional, valuable and emotional spheres. (Akhmetov, Faizrakhmanov, Faizrakhmanova, 2015)

## Research Design

### II.1. Purpose of the research:

Identifying the language difficulties of pupils in primary classes, and the methods used. by teachers to diminish them. Technology can provide many opportunities to achieve this goal.

### II.2. Research objectives:

- Define the language difficulties encountered by teachers among the students and measure the impact on learning and socialization in schooling;

Find the best solutions, where digital resources can have a certain degree of efficiency;

Establish the role of teacher in preventing, identifying and remedying these difficulties.

### II.3. Hypotheses

There is a high level of language difficulties encountered in pupils in primary classes.

Teachers in primary classes apply interactive teaching methods so that children's speech problems are ameliorated.

There is a high degree of teachers' openness to the use of technology in activities.

II.4. Research Method: Several specialists have built a questionnaire in a launched survey among teachers with different level of experience in teaching and speech development.

II.5. The sample consisted of 122 teachers whose teaching experience ranges between 1-3 (57%), 3-5(33%) 10 (7%), and over 10 years (3%).

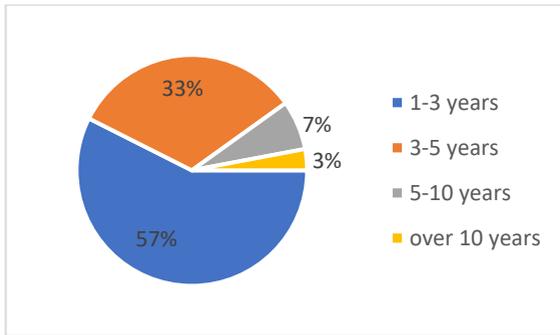


Figure 1. Teaching experience

**Results**

The language development is important at any age. The age of small schooling is branded by a remarkable potential. If it is not activated, the losses are high and the recoveries are partial for all these children.

Typology, sources and frequency of speech difficulties - Recently, teachers observed there has been an increase in the number of pupils who have communication difficulties. In our research, 90% noticed this reality, particularly visible at school, where pupils' performance is conditioned by language issues. Oral and written expression are significant aspects of school success, defined as a child's ability to meet school requirements. Language is also a practical tool, to which educators and parents must equally contribute. The following reasons refer to the fact that the specialists do not get involved enough (7%) and that the therapy, psychological or logopedic, has quite high costs in our country (10%). School absences does not appear to be a frequent source, showing the child's participation rate in school activities is high. This behavior can be specific to urban school. In some cases (4%), teachers do not show enough interest in language education or teaching-learning methods used actually in school are inadequate. A few teachers mentioned, in free answers, that students spend all their free time in front of the computer.

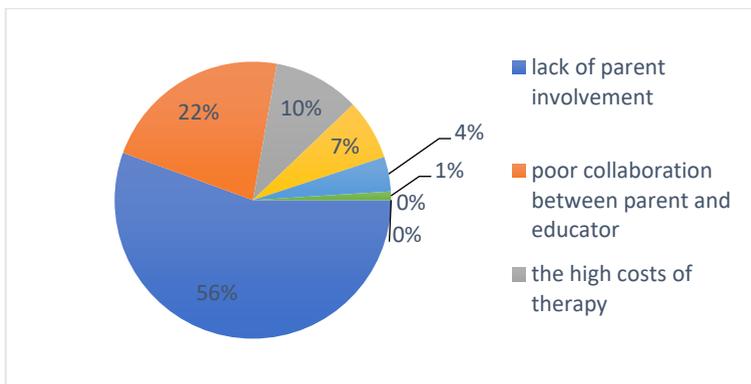


Figure 2. Language difficulties sources

For the majority of respondents, over 80%, many disorders were diagnosed by the specialist. In their grading, were mentioned (see figure 3):

1. substitutions, omissions, letter inversions;
2. alteration of different sound;
3. difficulties in reading-writing;
4. inadequate tempo, rhythm, fluency of language;
5. hearing impairment;
6. unsettling the reading process;
7. articulatory immaturity such as dyslalia.

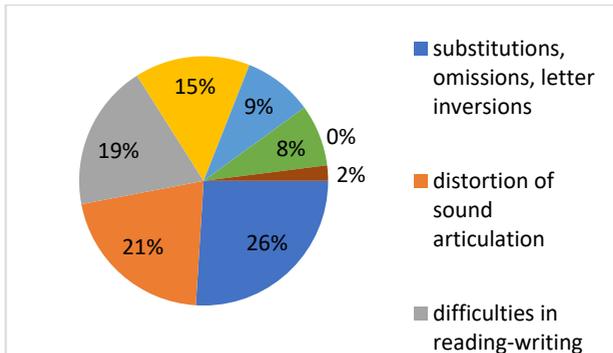


Figure 3. Diagnosed disorders

For those that mentioned a disorder (47, 7%), there is a specific form of manifestation, in a medium and easy stage. Only 4% of teachers have experienced a serious form of language disorder, accompanied by additional medical complications.

The language development methods - Usually, teachers practice in primary school a large number of methods and techniques, language training tools and forms, and textbooks for lessons design and application. Although the differences between these resources are small, the most useful methods for developing language at school are (see figure 4)

1. conversation-based methods - 21%
2. games- 18%
3. reading - 18%
4. methods of group communication -17%
5. creative methods – 15%
6. narrative stories 11%
7. reading-writing

The conversation techniques make the speech easy or difficult, in order to understand and fix words in individual vocabulary. Words must be integrated in into a system of relationships. Besides conversation, a popular form of developing pupils' language is the game. By content, language learning games can be ways: to form a correct pronunciation and phonematic hearing; for enhancing the active and passive vocabulary of children.

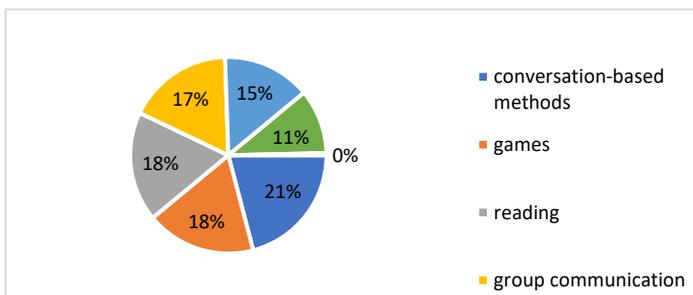


Figure 4. Learning methods

The technology usage - In relation to the teachers' opinion on the efficiency of technology in language education, their answers reflect a moderate attitude. Over a half of respondents (51%) show a neutral attitude. 26% and 17% consider that technology would be very useful in language learning activities (see figure 5). The open attitude of the teaching staff for the use of technology in educational instructive activity represents a an element that leads us to a high degree of progress and efficiency.

Group Statistics	N	Mean	Std. Deviation	Std. Error Mean
questionnaire	122	46.0714	5.33831	.51853

Table 1. Descriptive statistics

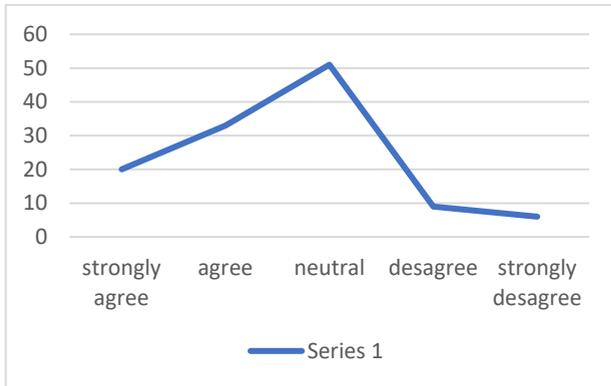


Figure 5. Teachers' opinion on the efficiency of technology

The questioned teachers were asked to give an example of an efficient virtual method for language development. As we see below (see figure 6), next methods have a various choice: interactive games (46%); audition (20%); digital lecture (16%); electronic exercises (10%); electronic testing (5%); virtual simulation (3%).

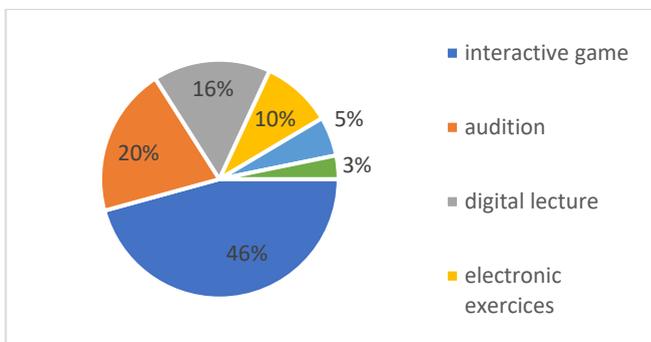


Figure 6. Virtual methods

Interactive games create a good motivation for communication and develop children's initiative, attention, imagination, and creativity. Digital language learning applications have an obviously adaptive potential: feedback immediate alert signaling, analysis and offering multiple alternatives, selective responses, possibilities to individualize the language development methods.

### Conclusions

The teachers seem to be dissatisfied with communication with family in the case of children with language difficulties. School-family partnership is poorly represented in many situations. Technology is an appropriate means of helping to remediate some difficulties of speech, but this is not a unique, miraculous solution. The option for digital resources is at a neutral level. This is not a surprising conclusion, considering that Romanian teachers need many resources to use technology at its real potential. At this moment, there is a lack of resources. Speech difficulties are important aspects of student learning. They have a relationship of mutual conditioning. The teacher has the responsibility to create a good framework of communication situations, more or less formal, based on clear objectives, included in a coherent program. This also implies prevention, diagnosis and improvement. For this, technology can be an effective resource.

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## Decision-Making Process in Foreign Investment Choices

**Dr. Marwan Al Qur'an**

Abu Dhabi University

P.O Box 59911, Abu Dhabi, UAE

### **Abstract:**

This exploratory investigation aims to develop a managerial decision model that assist international firms and investors in selecting the right valuable foreign country for their international operations. Two comparative and rich-information case studies were purposefully selected from among Arabian large firms. Additionally, six international investment decisions were investigated within these two cases and data were collected by in-depth interviews, follow-up interviews and questionnaire instrument. Within and cross-case analyses were undertaken in the current investigation. The findings demonstrated that a methodical and international experience-based strategic decision-making process was adopted to attain a profitable foreign country choice. The decision process comprised five critical managerial phases; that is, (1) analysis of internationalization drivers, (2) searching and development of location determinants and country alternatives, (3) obtaining adequate and related-information about potential countries, and, ultimately, assessment for these alternatives, (4) selection of a final beneficial foreign country choice, and, finally, (5) effective implementation of the selected country choice. The research findings provide theoretical and practical implications to the internationalization of firms as well as international investment. Further, it provides significant methodological contributions to international business research in relation to an effective multiple case study approach to capture elements of the international market selection process.

**Keywords:** Decision model, foreign investments, Arabian international firms.

### **Introduction:**

The internationalization activity of firms and foreign market entry and selection have received increasing research attention among scholars during the last decade due to the significant contribution of this movement to the economic and social development in both home and host countries (Akbar and McBride 2004 ; Jansen and Stockman 2004). According to the "eclectic paradigm of international production" proposed by Dunning (1980, 1988), firms which decide to internationalize their business activities face a very vital, complicated, and strategic decision concerning the selection of a foreign country for their international operations. Consequently, during the phase of the foreign country selection, firms have to choose the most appropriate entry strategy for that foreign market such as exporting, franchising, licensing, joint venture, and foreign direct investments (FDI) (Buckley and Casson 1998). The internationalization activity of Arabian firms is a relatively recent phenomenon and has attracted extremely little attention from scholars. Therefore, as an attempt to fill this evident shortcoming and gap in FDI literature, two comparative in-depth, and information-rich case studies of the Arabian premium manufacturing and service firms were undertaken to explore and analyze the foreign direct investment decision-making process. More specifically, this paper underlines the important managerial decision-making aspects that should be considered by international firms to arrive at a beneficial foreign country for their outward FDI.

### **Literature Review:**

#### ***The Internationalization Process of Firms***

Internationalization refers to the process through which a firm shifts its business operations from the local market to foreign markets (Buckley and Casson 1998). The literature on the internationalization process of firm can generally be categorized under two main approaches: the economic approach and the behavioral approach (Andersson 2000). The economic approach has its roots in economics, and it primarily assumes that firms are likely rational in their choice of foreign investments and that the decision-maker has access to perfect and complete information (Andersson 2000; Buckley et al. 2007a). According to this school of thought, the choice of country for foreign investment is a premeditated decision and

motivated, led by the principal goal of profitability. Thus, firms select the most profitable locations (Buckley et al. 2007a). The behavioral approach focuses on the influence of international experience of the firm on the speed and direction of succeeding internationalization. An important aspect in this school is the important role of organizational knowledge in the internationalization process (Clercq et al. 2005). The approach considers individual learning and top managers as important aspects in understanding international behavior of firms (Andersson 2000). Eclectic theory proposed by Dunning (1980, 1988) underlines the importance of firm and location-specific factors to explain international operations. Dunning (1988) states that specific organizational skills or technologies allow a firm competitive advantage in the marketplace. He also indicates that country-specific factors are also essential to successful international operations. He argues that the characteristics of the selected foreign country influence significantly the firm's international efforts. Vernon's International Product Life Cycle Model (Vernon 1966) considers the internationalization process to be a systematic, incremental, and predictable chain where the type of entry into foreign markets depends on the life stage of the products passing through the phase of introduction, growth, and maturity. The roots of the transaction cost approach go back to Ronald Coase (1937) who argued that due to the transaction costs of foreign market activities, it is more efficient for a firm to engage in a local market rather than enter foreign ones. A high extent of transaction cost gives rise to a preference for internalizing the transaction (Johanson and Mattsson 1987). Firms therefore prefer to produce offshore if they recognize that the decrease in transaction costs will be greater than the cost of organizing such activities internally. Otherwise, foreign markets will be supplied by exports, licensed sales, or some other type of foreign market entry. The Uppsala model is perhaps the most cited model of internationalization process. Johanson and Wiedersheim-Paul (1975) found that firms who decided to internationalize their business activities go through distinct steps, starting from no exports to exports, to independent representatives (agents), to the establishment of sales subsidiaries, and, finally, to the establishment of owned or joint production facilities. In their view, the flow of information between the firm and the market is critical in the internationalization process, and they significantly underlined the concept of "psychic distance" which determines the location choice of international manufacturing firms. Psychic distance was defined as the costs of obtaining significant information about business conditions in other countries, the perception of risk and uncertainty involved in international operations, and the resources required to access foreign networks. The model asserts that the costs expended in overcoming "psychic distance" decrease over time due to the experience achieved by the firm. Therefore, firms often first enter adjacent markets because of their historical familiarity and then expand to other foreign markets. Afterward, models of innovation-related internationalization were developed on the basis of the Uppsala model. Among the best-known models are from Cavusgil (1980) and Reid (1981). These models focus on the learning chain in relation to adopting an innovation, and thus, the internationalization decision is considered an innovation for the firm. They state that the decision-maker's attitude, experience, motivation, and expectations are main determinants in firms engaging in foreign market entry (Reid 1981) and, therefore, the entry into exporting is considered to be traced to an innovator inside the firm.

### ***Foreign Direct Investment Decision-Making Process***

Foreign direct investment (FDI) was defined as "a category of cross-border investment made by a resident in one economy (the direct investor) with the objective of establishing a lasting interest in an enterprise (the direct investment enterprise) that is resident in an economy other than that of the direct investor" (OECD 2008, p. 10). Empirical research in the area of foreign direct investment decision-making process is relatively little. For instance, Aharoni's behavioral decision-making model (Aharoni 1966) described the foreign investment decision as a multifaceted social process that is influenced by social relations within and outside the firm. Generally, in the first international operation decision, the firm often has had export experience but has no experience in the field of foreign investment. It has no clear standard decision procedures to deal with that decision. As a result, the firm will gain from its experience when foreign investment decision processes needed to be carried out. He concluded that the FDI decision-making process involves three main phases: initial idea generation, investigation and development, and finally presentation and decision. Likewise, Wei and Christodoulou (1997) examined the decision-making process undertaken by international firms to select a foreign country for their FDI. He observed that the foreign country selection process incorporates three key stages: initiation and preliminary thinking, investigation, and evaluation and final decision-making. Wahab (1978) attempted to make some developments in Aharoni's decision-making model. He found that the profit was an imperative consideration in FDI decisions that is why firms invest in countries with high profit potential. He also concluded that firms were not only receivers of information in various forms, as stated by Aharoni, but also they were information seeker and were continuously searching for opportunities and take advantage of them where they exist.

### **Research Design and Methodology:**

The international investment decision is a very strategic one which is carried out by senior managers of the firm; therefore, the phenomenology paradigm was adopted in the current exploratory research to enable the researcher to “get inside” the decision-makers’ minds and seeing the foreign country selection process from their point of view (Hassard 1993) and experiences (Smith and Heshusius 1986; Yeung 1995). The case study method was employed in our study due to the close connection of this strategy with philosophical assumptions and foundations of the selected paradigm and because it represents one of the primary research methods for studies adopting the phenomenology paradigm (Perry 1994). Moreover, the exploratory nature of this research required the use of the case study method as it offers an opportunity for in-depth exploration and results in rich understanding about the research issue (Rowley 2002). A multiple case (embedded) design was chosen because two information-rich Arabian firms, which carried out various international investments decisions, were investigated. The selected two comparative companies were information-rich, accessible, proximal, large, leading, and well-established Arabian international manufacturing and service firms which established various foreign investments worldwide.

### **Data Collection Method:**

#### ***Case Descriptions***

Company A is one of the largest and most profitable petrochemical manufacturers in the Middle East and the world. It involves in industrial marketing as it produces chemicals, fertilizers, plastics, and metals to be used by other companies. The company’s remarkable accomplishment is the outcome of focusing on three important issues: investment in local partnerships, research and technology (R&T) programs, and an ambitious global growth strategy. In order to achieve its global vision, the company invested heavily in R&T, as it has R&T facilities worldwide. Recently, the company launched a new company, and it is a leading global supplier of engineering thermoplastics. Finally, the company has a global presence as it has manufacturing facilities in the Middle East and Africa, Asia, the Americas, and Europe.

Company B is a large, leading, and well-established Arabian international professional service firm that engaged in providing world-class engineering and construction services to the Saudi and the Middle East market. The company is a key member of a large group of companies which established diverse business activities in Saudi Arabia and the Middle East. The group commenced operations in Saudi Arabia 60 years ago in the business and transport sectors with a large transportation fleet that covered a wide network in the region. The group established new companies in the fields of construction, operations, maintenance, health care, medical equipment, hospital supplies, and commerce. The current annual turnover of the group is in excess of US\$377 million, and it has over 7,000 employees worldwide. The Engineering and Constructions Company is a dynamic and expanding construction organization which was established in 1975. The company is classified among the top three construction companies in Saudi Arabia and one of the largest and most reputable in the Middle East. It has over 3,500 employees, significant construction plant and equipment resources, strong financial capabilities, and three decades of sustained successful construction track record. In its 28-year history of considerable progress, the Engineering and Constructions Company has made significant achievements in the construction industry. Finally, the company has expanded its services internationally as it established service operations and working relationships for construction business in Qatar, UAE, Bahrain, and Lebanon.

The data was mainly collected via in-depth personal interviews, follow-up telephone interviews, a questionnaire instrument, documents review when available and field notes. Initial telephone calls were made with the selected companies, which agreed to participate in the study, to explain to the company’s executive the purpose of study and the issues that will be covered during the interview sessions. The accessible most knowledgeable senior executives, involved in international investment decisions, were in-depth interviewed. Multiple interviews were carried out and each interview lasted 1 hour. All the interviews were recorded during the interview sessions using high-quality recording devices. The interview questions were open-ended and designed to explore the drivers of FDI decisions and elements of the decision-making process relating to the international investments and selection of foreign country. The questionnaire instrument was designed to obtain information about the company background and to confirm the interview responses.

### **Data Analysis:**

For the purpose of the data analysis, the researcher listened carefully to the tape interviews more than once in order to capture the key ideas and themes linked to the main research questions. The field notes which taken during the site visits to the participating firm were very valuable and necessary in assisting the researcher in preliminary identification for the anticipated main themes about the international investment decision process story. Within and cross-case analyses were

utilized in the current research (Creswell 1998; Eisenhardt 1989; Yin 2003). Accordingly, we developed a detailed description or report for the selected single case study. The developed case study report described and organized all information and details relevant to the case company. Seeing that an assurance as to the confidentiality of the interviewees' responses and identities during the data collection and analysis processes was given to the informant by the researcher, all the names indicated to individuals or organizations were removed from the report. In cross-case analysis, categorizing the case studies based on the size and type of industry such as large firms vs. small firms, manufacturing firms vs. service firms and followed by search for similarities and differences among these categories was adopted as an analytic strategy for cross-case pattern (Eisenhardt 1989). The data analysis method employed in analyzing the interview data was based on the descriptions written by Miles and Huberman (1984, 1994) which imply data reduction, data display, and conclusion drawing and verification.

### **Findings and Discussions:**

The research findings revealed that Arabian international firms undertook a thorough and comprehensive decision process in order to successfully arrive at a beneficial foreign country for their outward FDI. In general, the decision process encompassed five imperative managerial stages; that is, (1) analysis of internationalization drivers, (2) searching and development of location determinants and country alternatives, (3) obtaining adequate and related-information about potential countries, and, ultimately, assessment for these alternatives, (4) selection of a final beneficial foreign country choice, and, finally, (5) effective implementation of the selected country choice. More details about the managerial procedures of the earlier managerial stages are provided below:

1. Selecting an experienced team consisting of a team leader who is internationally experienced in addition to other senior managers with different international experiences, and then the selected team should identify carefully the drivers of international investment, the organization's overall strategy and financial and human resources capabilities, and the financial and human resources commitments toward the international investment. If the prospective entry mode to the foreign country is by a greenfield operation, it is better to select and identify a trustworthy and internationally experienced expatriate manager for the international investment at this stage who will become another important part in the FDI team. In the case of an internationalizing firm which does not have sufficient international experience, it is recommended to recruit an external internationally experienced team leader, seek advice from professional consulting firms, and develop international experience prior to pursuing the international investment process, especially, if the FDI involves massive financial and human resources commitments.
2. The selected FDI team develops a list of primary and secondary foreign country factors taking into consideration the drivers of the internationalization decision, the organization overall strategy. For manufacturing firms entering the foreign country through international joint venture (IJV), developing local partner factors or criteria is important; trust a high level of local knowledge is very important.
3. Searching and determining potential foreign country options relying on a set of established country factors, international experience, and the country knowledge of the FDI team and external consultations with international business experts. In addition, for IJV, searching for a local partner should be carried out together with the search for a country. The proposed country options should be developed within the scope of the country knowledge and international experiences of the team.
4. Collecting satisfactory information relevant to the developed foreign country factors from appropriate governmental trade departments of both home and host countries and through external consultations with business experts from the home country and the potential countries.
5. Assessing the gathered information by comparing it with the developed country factors. In addition, rely on the international experience and country knowledge of the FDI team as well as the external consultations with business experts from the home country and the potential countries; assess the opportunities and threats, the financial and nonfinancial costs and benefits, and the global risk factors of each country option. As a result, eliminate the less feasible foreign country options.
6. Maximizing the knowledge of the most feasible foreign country options through exploratory field visits to these countries. Consequently, selecting the most beneficial foreign country choice relying on the international experience and country knowledge of FDI team as well as the external consultations with business experts from the home country as well as from the potential countries. For IJV, select the local partner based on the identified criteria simultaneously with the foreign country choice.

7. Reviewing the decision consultatively with FDI team members and not to hurry in performing the decision and once the decision has been agreed, obtaining official authorization if required for pursuing the remaining parts of FDI process.

8. Finally, consulting international business experts and consulting firms about how to implement the international investment decision and conduct field visits to the selected foreign country and negotiate with its foreign investment officials about their incentives and regulation.

The results relating to drivers of international investments decisions were in line with the past internationalization theories addressed by (Al Qur'an, 2011; Clercq et al. 2005; Andersson 2000; Johanson and Mattsson 1987; Dunning 1980, 1988, etc.). Furthermore, the FDI decision-making process adopted by Arabian international firms confirmed the behavioral and bounded rational model disused earlier in the literature review (Wei and Christodoulou 1997; Aharoni, 1966, etc.). Nonetheless, the findings of the current investigation revealed that selecting the foreign country of the international investment relied heavily on the international experience and country knowledge of the management team along with the external consultations with business experts from the home country and the prospective countries. This result was not indeed addressed in the previous body of knowledge and, thus, providing new insights into importance of international consultation in international investments decisions.

### **Conclusion and Implications:**

The intention of this study was to develop a managerial decision model that assist international firms in selecting the right profitable foreign country for their international operations.

In general, the current research findings provide benefits to foreign investment policy-makers and local development administrators in the Arab countries by assisting them to increase their outward FDI and, accordingly, enhance the economic development movement in their countries. The research provides insight into how Arabian investors select the country for their foreign investments in relation to how they develop prospective beneficial countries, what type of characteristics they require in a foreign country, what type of location factors they produce, what type of information they gather and how they assess country options, and finally how they implement the country decision. Understanding these issues would assist considerably the Arabian firms and their local government trade departments concerned with increasing their business involvements with foreign countries to improve the foreign investment decision-making process. Minimizing the risk associated with foreign investment decisions will bring economic benefits to the national economy through assisting firms to attain successful international growth. In addition, they could establish a governmental consulting body and recruit internationally experienced directors and academic experts in the area of international investments to assist substantially the Arabian international firms willing to undertake foreign investments, but which lack of adequate international experience, to arrive at successful international investments. Furthermore, the international trade policy-makers could increase the international participations of Arabian firms by reaching positive trade agreements with foreign countries to provide attractive foreign investment incentives to the investors and facilitate the implementation process in relation to international investments, legal requirements, and registration procedures.

In conclusion, the beforehand discussed recommendations and implications of the current research findings within the Arabian context could be applied to any foreign country to assist in the economic and social development in that country.

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## Mongolian Tax Policy for Development SMEs

**Enkhtuya Dandar**

*Doctoral student of Graduate school of Business,  
Mongolian University of Science and Technology, Ulaanbaatar, Mongolia*

**Battuvshin Gurbazar**

*Dean of Graduate school of Business, Mongolian University of Science and Technology  
Ulaanbaatar, Mongolia*

### Abstract

A strategic development of small and medium enterprises (SMEs) by providing an intensive support is becoming a main priority of the world's economy. Development of SMEs plays an important role not only in eradicating poverty and unemployment but also in increasing economic growth. In addition, SMEs development contributes significantly to lower inequality, support social stability and provide development of the private sector. Today, SMEs businesses are ran by middle class people, and is becoming the basis of sustainable economic development of many countries. 70-90 percent of total production in the developed countries accounts for small and medium enterprises (SMEs). In this paper the following will be discussed; What is the role of SMEs in the country's economy? How to support SMEs through tax policies? as well as analyzing the current state of taxation policy and its activities based on a number of policy studies of Germany and Italy under the Industry 4.0, which have been widely discussed in recent years, as well as quantitative studies on Mongolian SMEs and importance of SMEs support to achieve SMEs growth and sustainable development goals.

**Keywords:** *Economy, small and medium enterprises, tax system*

### Introduction

SMEs play an important role in promoting market competition and accelerating economic growth. Developing into a bigger and more prosperous business while being able to compete in the world market are the proven advantages for essential economic development of small and medium-sized enterprises.

Small and medium enterprises are the key sectors that need to be developed, not only in Mongolia, but also in other countries. The development of small and medium sized enterprises has many advantages, such as raising the country's GDP, increasing employment, creating market competition and eliminating monopolies and stabilizing inflation. Particularly in countries with a large share of imported consumer goods, such as Mongolia, with a relatively low financial capital, low population (3.2 mln), unemployment (rate 9.7 / 2017) and poverty stricken (poverty level 29.6 / 2016) the development of small and medium enterprises are crucial to economic security. In recent years, Mongolia's economic and financial situation has been improving significantly compared to previous years in regards to a new policy of promoting small and medium-sized enterprises by the government in a multilateral way. Furthermore, it is planned by the government to adopt a multilateral policy such as to develop small and medium enterprises, creating local technology-friendly centers, to build national databases, to empower small and medium enterprises, to fully meet the needs of domestic markets, to export to foreign markets, and provide investment support and credit guarantee for businesses and individuals who are unable to access the loan due to lack of capital.

Taking a look at other countries, the main example is to choose one product to specialize and producing competitive commodity in the world market which in turn will help diversify the development of various small and medium sized businesses (Viral.M, 2012).

The issue of spatial diversification and concentration of small and medium enterprises has been raised today. The purpose of this study is to examine the current state of tax policy, its current state of policy support for SMEs, and to identify ways in which the sector will be able to maximize the effectiveness of the sector.

The research was done on the basis of philosophy, economics, general theory of management, market, financial and tax theory, observations, abstractions, induction, deduction and comparison methods were used.

### **The history and development of small and medium enterprises and their role in social economy**

A small business is generally a revenue-producing or income-generating business within the law to improve living standards. Small businesses may be based on any form of ownership depending on the specifics of the country; the number of employees, and the capital amount. The government develops a policy that legalized criteria of income generation and categorizes them accordingly enabling a small business to operate.

It's also a compact in terms of the size of industry and workforce but also capable to recover its cost in a short amount of time. It's a form of low-cost, highly productive industry with flexible technology and ability to compete in the market.

According to the OECD, a medium-sized industry is limited in employees, with an independent and maximum frequency of 250 employees. Small enterprises generally have less than 50 employees, while micro-enterprises have at most 10 employees (OECD, 2005).

Although OECD has described the small business as above mentioned, each country has defined different levels based on their economic development, market size, state participation in business, employment status, and budgeting (Table 1). For example:

Table 1. Number of developed countries and SMEs and employees in Mongolia

Name of country	Micro	Small	Medium
European union	1-9	10-49	50-249
United Kingdom	1-24	25-99	200
France	1-9	10-50	51-200
Germany	1-9	10-49	50-499
Italy	1-19	20-99	100-499
Japan	1-10	11-50	51-500
USA	1-24	25-99	100-499
Mongolia	1-9	10-50	51-199

Source: <http://fxclubmongolia.blog.gogo.mn>

The new definitions of the European Union have been applied since January 1, 2005, with a medium-sized enterprise (with 50-249 employees) not exceeding 50.0 million euros, small enterprises (10-49 employees) not exceeding 10.0 million euros and micro-enterprises (with less than 10 employees) not exceeding 2 million Euros (OECD, 2005).

Since the transition to a free-market economy in the 1990s, Mongolia started to change from a centrally-planned economic system to a social-economic relationship, with private sector enterprises emerging as a result of privatization of the industrial structure. Since then, small and medium enterprises in light industry manufacturing have emerged, such as retail and public services, food production, sewing and knitting shops.

The "Law on Small and Medium Enterprises" of Mongolia specified a medium enterprise and individuals as an entity with no more than 199 employees having USD 1.5 million<sup>1</sup> income from production and trading business; a small business entities and individuals are defined as those with no more than 49 employees with business income of USD 1.0 million<sup>1</sup>; a micro enterprise and individuals are defined as entities with no more than 9 employees and generating USD 0.250 million<sup>1</sup> income from production, trade and service.<sup>2</sup>

But the manufacture of tobacco and alcohol; paid quizzes, gambling games, lottery draws; banking, non-bank financial activities and insurance services; a business entity or an individual engaged in exploration and mining activities are excluded from the small and medium sized enterprises.<sup>3</sup>

The Government of Mongolia established SMEs policies and guidelines, developing "Law on Small and Medium Enterprises" in 2007 and establishing a Government Implementing Agency on "Small and Medium Enterprises" in 2008

and Small and Medium Enterprise Development Fund" in 2009. In addition, amendments to tax laws were made to exempt equipment's bought for small and medium-sized industries from customs and VAT, in 2015 "Law on Promotion of Industry", "Sustainable Development Concept-2030" and small and medium enterprise's projects were added. As a researcher, I determine the following phases of legal environment for small and medium enterprises have been established: 2007 was the first phase; the legal environment has been improving since 2012 and is still in the second phase of the sector development. Furthermore, in the future small and medium enterprises should be substantially developed.

As of 2017, 90270 small and medium-sized enterprises in Mongolia account for 69.0 per cent of total businesses, of which 92.8 per cent are micro enterprises.<sup>4</sup>

In regards of location, 66.5 percent are in Ulaanbaatar (capital city of Mongolia), and 33.5 percent are in rural areas.

In this sector, 800.0 thousand people are employed of which 88.6 percent are working in places with 1-9 employees, 9.6 percent with 10-50 employees, and 1.8 percent with 51-200 employees; making up 67.0 percent of the job market in total. All of these are accounted for 17.0 percent of total GDP and 40.0 percent of exports (Davaabayar.Ch 2018).

<sup>1</sup> converted to USD in 2007 at the rate of the Mongol Bank.

<sup>2</sup> Law on Small and Medium Enterprises of Mongolia, 2007, Article 5

<sup>3</sup> Law on Small and Medium Enterprises of Mongolia, 2007, Article 8

<sup>4</sup> Statistic data on the General Tax Authority of Mongolia, 2018

Mongolian researchers have concluded that small and medium enterprises should be trained to produce pure ecological products that meet international standards, increasing the type and quantity of export products, and making a space for Mongolia in the world market will be the key to develop the country.

### **Mongolian tax policy for SMEs**

Recently, the general tax policy of the country is aimed at balancing the societal and economic structure and balancing many factors related to taxes. The views and opinions of F.Ramsey, J.E.Stiglitz, M.Friedman, T.Atkinson, and T.Utkina in the development of modern tax sciences are central. (Altanzaya.G, 2003)

Since the establishment of a tax system of Mongolia the taxation of the state's financial resources, Mongolian scientists and researchers have been studying theories since the centrally planned economy and market social transition period began.

When we examine how our tax legislation is supporting SMEs; crop and livestock production and related support activities; food production; manufacture of textile and apparel; the production of construction materials, and 90% discount on the operating income tax for only 4 sectors are reflecting that not all SMEs are covered entirely. In addition, in the three years that from the starting point of the Innovation law provides for the release of revenues from newly created innovation products, jobs and services, manufacturing and selling of small and medium-sized industrial equipment and spare parts; the reality is since the date of registration of production, and registration of sales in the state registry, economic benefits are not met and there are currently no other tax policy that supports SMEs.

Surveys shows that small and medium enterprises increased by almost 2.5% between 2007 and 2017, but on the other hand, taxes in 2017 were 9.1% of PIT, 10.9% of VAT and 3.8% of CIT payments by small and medium enterprises, showcases the level of development of this sector.<sup>5</sup>

Taxes such as Personal Income Tax, Value-Added Tax, and Corporate Income Tax are relatively small compared to other countries, but the same tax rate for all taxpayers does not support the development of SMEs.

In 2009, 2014 and 2017, Laws on VAT and VAT exemption for equipment and spare parts imported for the purpose of increasing the workplace and supporting small and medium enterprises and producing export-oriented products were approved. In 2009-2016, a total of 2899 small and medium-sized enterprises imported over 7000 equipment and spare parts of 3201 different kinds of which all were included in the exemptions of value-added tax exemptions of 18.8 million USD and 40.0 million USD respectively however it is still considered to be on an insufficient level.<sup>6</sup>

In view of this, Mongolia's small and medium-sized industry sector policies and its poor implementation of mechanisms, social and political uncertainty, the environment of macroeconomics, inadequate tax policies, stagnation of investment and bad production levels are adversely affecting sector development .

<sup>5</sup> Statistic data of the General Tax Authority of Mongolia, 2018

<sup>6</sup> Statistic data of the Mongolian Customs General Administration, 2017

Today's world's policy tendency to support a manufacture is to have a private sector be a predominant, liberalizing all sectors of the economy, improving market regulation, and rapid expansion of small and medium enterprises.

A key factor in the development of small and medium enterprises in developed countries is the active support of the state and the government becomes a unique tool for the creation of enterprises in the market, establishing and controlling the legal environment, promoting market activity, activating, protecting and managing market activities.

To do this, it is aimed at developing and implementing government programs, providing financial incentives, consulting, innovation-technological incubators, and providing more support for the younger people and women to be more involved in this business.

For the Government of Mongolia, the Law on Small and Medium Enterprises will require annual sales revenues of US \$ 2.5 million<sup>7</sup>, Corporate Income Tax rates should be reduced to 1 percent regardless of sector, simplified tax returns per year, to allocate funds equal to at least 10 percent of total investment to the sector, and micro enterprises can get a direct loan from the SME Development Fund. While this is a good news, but by learning about the experiences of some foreign countries that have developed small and medium enterprises, need to incorporate comprehensive tax exemptions into the tax code.

As countries around the world consider the "Industry IV" as a policy priority, our country has been paying special attention to this issue and has adopted this year "Three pillars of development policy" to create a foundation for the "Industrial IV" by the year 2020.

### **Factors and effects of Germany and Italy's "Industry IV"**

Despite talking about the "Industry IV" revolution in the world, let's look at the history of previous revolutions. These include:

In the XVIII century, the industrial progression began in England, as F. Encels called the "revolution of the industry" as its industrial revolution. The *1st Industrial revolution*, which began in the late XVIII century into the early twentieth century, was introduced by the steam engine and into the production, and at that time the parodia (steam carts), paradox (steam-powered boats) were created, and strongly influenced the development of railways. As a result, rapid population change (urbanization), and many new occupations have led to dramatic changes in human society.

The *Second Industrial revolution*, which began in the early 20th century, is linked to the introduction of electrification and production into conveyors. As a result of this revolution, labor productivity has dramatically increased and the process of management has changed remarkably.

The *3rd Industrial revolution* is associated with electronic, industrial automation and information technology, and is basically started in the 70s-80s of the 20th century.

Today, however, the 3<sup>rd</sup> Industrial revolution is not yet complete, experts note that the signs of the *4th Industrial revolution* are manifesting increasingly.

<sup>7</sup> converted to USD in 2007 at the rate of the Mongol Bank.

**Germany** has initiated the new industrial revolution since January 2011, Professor K. Shab<sup>8</sup> says that these changes are not the continuation of 3<sup>rd</sup> Industrial revolution, but the beginning of the "Industry IV". The professor notes that the beginning of the 4<sup>th</sup> Industrial revolution is defined by the following three: First, *the speed of change*; Secondly, *their amplitude*; Third, *the consequences of these changes*. The "Industry IV" can be called digital or the era of the electronic revolution.

**Speed of change:** These changes are not linear, but increase growth. Everything in the world with globalization and interdependence is rapidly developing.

**Their amplitude:** The revolutions cover all sectors of the biosphere, genetics, energy and transport sectors, not limiting to a single sector.

Consequences or systemic effects of these changes: This will cover all systems to fully transform countries, companies, industries and societies, along with the unprecedented changes affecting the economy, politics and society.

One of the characteristics of the "Industry IV" is the recognition of development change for the first time before the end of the revolution.

In addition, in Germany, the project is managed by the government at "top" which is said to be a slow process. currently three major participants represent the revolution. These include:

The Federal Government, the Ministry of Education and Research (BMBF) and the Ministry of Economics and Technology (BMWi) of Germany leading in this team.

The research team is led by the Fraunhofer-Gesellschaft Society.

Business and industry team, representatives of Germany VDMA and ZVEI trade unions.

Just like any process, it took over two years to work on developing a number of agreements, working groups, and developing plans and recommendations.

The foundation of the project is to identifying those who are interested, combining, communicating, and creating public opinion.

This revolution is technologically advanced, and the number of network devices is expected to surpass the world population by 2020, one source say 26 billion and another other source estimates that it will reach 50 billion.

The first economic outcome is that the technological industry has been growing by 20 percent annually and reached 4 billion euros in 2015 and is expected to reach 7.1 billion euros in 2018.

According to these technological advances the value added will be expected to reach 153.0 billion euros in 2015-2020 and € 425.0 billion in 2025.

The German Academy of Sciences is expecting industrialisation to increase by 30% in Germany and 20% in other countries. (Ranger Gleath and Bernhard Digner, 2018)

The economic impact of the "Industry IV" is dependent on the following factors:

<sup>8</sup> Swiss scientist, Founder of the World Economic Forum, the initiator of "Industry IV"

Production Optimization: One product ("Losgröße 1" or 1 product flow) is combined with the advantages of mass production based on customer needs.

The new business model: The processes, components of the resource chain, even the products themselves create information, sharing information, i.e. the products and machines will become "smart" and use "Big data" analysis, artificial intelligence will play an important role.

Business modules based on digital platforms: Increase the number of users (for example, Amazon) to offer a large number of platforms to the market, which will be in the near future.

**Italy** has developed "Impresa 4.0" National plan for the new industrial revolution and the following amendments to the 2017 Budget Law have been implemented by January 1, 2017. These include:

Hyper and super depreciation: Supporting and offering incentives to companies that invest in new capital goods, tangible assets and intangible assets (software and IT systems) for the technological and digital transformation of their production processes

Nuova Sabatini: Supporting businesses requesting bank loans to invest in new capital goods, machinery, plant, factory equipment for use in production and digital technologies (hardware and software)

Tax credit for R&D: Encouraging private investment in Research and Development for product and process innovation to ensure the competitiveness of enterprises in the future

Patent box: Making Italian market more attractive to long-term domestic and international investors by offering a special rate of taxation for incomes deriving from the use intellectual property

Innovative startups and SMEs: Supporting innovative enterprises at all stages of their life cycle, sustaining the development of Italy's startup ecosystem

Guarantee fund for SMEs: Supporting businesses and professionals who have difficulty accessing bank loans because they do not have sufficient guarantees

ACE – Allowance for corporate equity: Offering an incentive for strengthening the equity structure of Italian enterprises through financing with own capital, in order to achieve a better balance between source and uses of expenditures and risk capital and debt, that will make them more competitive

IRES Corporate income tax, enterprise income tax (IRI) and cash accounting: Reducing fiscal pressure for companies that invest in the future by keeping profits in the company –

Productivity wages: Foster industrial policy targets, with particular regard to the National Plan Impresa 4.0 and increase the competitiveness and productivity of the national economy

Although these are defined in a general sense, these measures are regulated by tax policy. (Ministry of Economic Development, 2016)

The results of the new industrial revolution in 2017 show:

Macroeconomic trends: GDP +4.3%, Industrial production +8.0%, employment +953,000;

Finance for growth: 302.700 limited companies used tax credit in 2015, totaling 18.9bn euro (claimable ACE); 728 registered innovative SMEs; 435 agreements, of which 431 in 2017, tax incentive applied on 320.0 bn euro, for 620 firms; in 2017, the refinancing of the Guarantee Fund for 1 bn euro allowed to issue guarantees towards SMEs for 17.5 bn euro;<sup>9</sup>

The experiences and developments in these developed countries have attracted the current attention of many countries.

### **Discussion and conclusion**

It is a good idea to provide a large number of discounts and exemptions to support small and medium enterprises with tax policies, however it is also important for policy makers and researchers to discuss a way to find the source of revenue that is adequate.

In addition to supporting tax policy in small and medium-sized enterprises, the development of a comprehensive legal framework for small and medium enterprises and a comprehensive government policy aimed at creating favorable financial, loan and investment conditions will be a step towards greater results.

At the World Economic Forum in Davos 2016, Marc Benioff director of "Salesforce" said that "...there should be a minister in charge of the future matters" (Adiyasuren.B, 2016) taking into account the structural changes of the state will also contribute to the development of the sector.

The Mongolian National Development Agency aims to create a diversified, centralized production development through the creation of a logistical principle based on the Big Data data creating spatial planning based on logistics principles of Mongolia's small and medium enterprises, with the financial support of German GIZ. The Government has developed a "Three pillars of development policy" for the purpose of promoting the development of small and medium enterprises in the agricultural sector. According to statistics of 2017, 65 million heads of livestock are counted and over 20 heads of livestock per person. In particular, tax policy support for employees in agriculture is particularly challenging.

At the end of the survey, the adoption of a comprehensive tax policy supporting small and medium enterprises is expected to bring the sector's development to a new level. These include:

- Long-term socio-economic stability will form.
- Increasing employment and reducing unemployment.
- Establish the foundations for a major national manufacturer.
- External trade balance improves as imports decrease and exports increase.
- Increased production in GDP and economic growth.

<sup>9</sup> ISTAT, analysis: MISE

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## Servant Leadership as a Predictive Factor of Teachers' Job Satisfaction

**Vasileios Georgolopoulos**

Med. Education Sciences, Teacher

**Evangelia Papaloi**

Dr. Education Sciences, Tutor- Hellenic Open University

**Konstantina Loukorou**

Med in TESOL, Teacher of English Language and Literature

### Abstract

The purpose of this study is to determine the degree of application of the servant leadership principles as well as the degree of job satisfaction as perceived by school teachers and, to examine the correlation between these two variables. The servant leadership is a form of leadership that is linked to high percentages of teachers' job satisfaction; however, it has not received the researchers' attention and lacks adequate empirical foundation. In Greece, only few studies have analysed this leadership style and, this study is the first to be conducted in a primary education environment. More specifically, the sample of the research consisted of 141 teachers from 20 public primary schools in the prefecture of Trikala in central Greece and as a measurement tool we used the OLA questionnaire (Laub, 1999 - edition for educational units), which we adjusted to the needs of the present research. The results revealed a positive trend towards the degree of perception of the characteristics of servant leadership by the majority of sample teachers. It has also been found that sample teachers receive an amount of a lot to a great deal of satisfaction from their work. Moreover, the research has shown a statistically significant powerful positive relationship between job satisfaction and the perceived application of the principles of servant leadership, and that the perceived application of the principles of servant leadership could be a predictive factor of teachers' job satisfaction. The above results demonstrate the positive contribution of servant leadership to teachers' job satisfaction, which is linked to the efficiency of the educational work of schools.

**Key-words:** servant leadership, job satisfaction, primary education, educational leadership

### Introduction

Research reveals that, Greece occupies the last posts among the states of the European Union regarding the performance of Greek pupils and lags behind in the educational novelty and innovation, being in the final ranks in the modernization of the educational systems (European Commission, 2016).

Undoubtly, within the educational unit, teachers have a complex and particularly important role, and, their effectiveness seems to be considerably correlated with the levels of their job satisfaction as well as with the meaning they attribute *in* and *at* their work (Matsaggouras & Makri-Mpotsari, 2003; Zembylas & Papanastasiou, 2004; Papaloi, 2017).

An alternative way of leadership, with a positive impact both on the functioning of schools and on the teachers themselves as well as on the quality of education provided and the efficiency of schools, is the servant leadership (Hebert, 2004; Irving, 2004; Laub, 1999; Thompson, 2002).

With this paper, we look forward to shed light in the educational reality by analyzing the dimensions of servant leadership and its impact on teachers' job satisfaction. From a practical point of view, our research is expected to provide useful information on the practices of school principals and the degree to which this form of leadership influences the orderly functioning, effectiveness and quality of the educational work.

## Servant leadership

The concept of leadership is one of the most important and more complex concepts in the science of management, being a determinant factor for the efficient functioning of organizations (Brauckman & Pasiardis, 2008, p. 216). The different conceptual approach that has been attempted by scholars, for decades, demonstrates precisely this complexity and the breadth of the concept. According to Laub (2004) leadership *"is an intentional change process through which leaders and followers, joined by a shared purpose, initiate action to pursue a common vision"* (p. 5). Leadership, as a process of change, is of great importance for the functioning, effectiveness and quality of education provided by schools, which in a constantly changing environment should be forward looking and not attached to the present and much worse to the past.

Servant leadership is an alternative way of leadership, which has a positive impact both on the functioning of schools and on the teachers themselves (Laub, 2004). In 1970, Greenleaf with his essay "The Servant as Leader" presented the term servant leadership for the first time (Lancot & Irving, 2007, p. 5) and created the basis of the theoretical approach of servant leadership, which according to him is a way of living and not just a management style. The coexistence of the two seemingly different concepts, the leader and the servant in the same person, initially created the feeling of a paradoxical and oxymoron schema, since both these concepts are considered opposite and it is difficult for somebody to understand their coexistence within the same person (Spears, 2005, p. 1). However, these two concepts coexist creatively in servant leadership, having a dynamic and conceptual relationship among them and operating alternatively and in addition to the practices proposed by Greenleaf for a different way of leadership (Sendjaya & Sarros, 2002).

In practice, implementing the philosophy of offering service in exercising power means that leaders perceiving their roles as servants, offer service to others through leadership (Laub, 1999, p. 14). In fact, Van Dierendonck (2010) claims: *"being a servant allows a person to lead; being a leader implies a person serves"* (p. 4). According to Greenleaf (2007), servant leadership aims at the personal development of the employees, so the best way but difficult one as well is to monitor servant leadership by giving answers to questions such as: *"Do those served grow as persons? Do they, while being served become healthier, wiser, freer, more autonomous, more likely themselves to become servants?"* (p. 83).

Nevertheless, Laub (2004) points out that the theory of servant leadership suffers from the absence of a clear conceptual definition and generally of a conceptual confusion regarding the use of the terms used. He proposes the following definition of servant leadership, which we adopt for the needs of this research: *"Servant leadership is an understanding and practice of leadership that places the good of those led over the self-interest of the leader"* (Laub, 1999, p. 81). This definition was further enriched with relative descriptive framework according to which, *"servant leadership promotes the valuing and development of people, the building of community the practice of authenticity, the providing of leadership for the good of those led and the sharing of power and status for the common good of each individual, the total organization and those served by the organization"* (Laub, 1999, p. 81). Interestingly, in the above definition, six key characteristics are revealed, which are the main structures for describing the servant leadership as an act. In particular, Laub (2004, p. 8) states that servant leadership is a model that shapes the understanding and practice of leadership, which requires a different focus on the priorities given. The servant leader being fully aware of the organizational needs of the institution and his own power puts over his own desires even the interests of the organization for the benefit of the employees without ignoring the above crucial issues. Hence, he gives priority to and focuses on his followers, believing that in this way other critical issues such as productivity, teamwork and customer service will have more positive results by maximizing the potential of each employee in the organization. Finally, ethics is a focal point of servant leadership, on the basis of which substantial changes are being made to reform and transform the organization with a view to resolve difficult situations at every level (Parolini, 2004; Russell, 2001; Spears, 2010).

Despite its great interest, the effectiveness of this leadership model has received strong criticism. In particular, it is criticized as been utopian and rather unrealistic and overly idealistic, because the humility model it puts forward is impossible for people to follow (Wong and Davey, 2007, p. 4). Moreover, it is difficult to be applied to consumer societies in which individualism and non authenticity in behavior prevails because people will try to take advantage of the peculiarity and distinct behaviour of the servant leader which they will regard as a weakness and not as a moral pattern of behaviour, which they will have to adopt (Pfeffer, 2015, as cited in Ribeiro, 2016). In any case, studies have shown the positive contribution of servant leadership, both to organizations and employees (Al-Mahdy, Al-Harhi, & Salah, 2016; Anderson, 2005; Barbuto & Wheeler, 2006; Bovee, 2012; Cerit, 2009; Hebert, 2004; Irving, 2004; Laub, 1999; Mears, 2004; Mpantouna, 2011; Patsis, 2016; Taylor, Martin, Hutchinson & Jinks, 2007; Thompson, 2002; Van Dierendonck, 2011).

In the field of education, this theory has not received the attention of the researchers and lacks adequate empirical foundations (Heskett, 2013; Laub, 2004). In particular, research analyzing servant leadership in educational environments

is internationally extremely limited (Al-Mahdy, Al-Harhi, & Salah El-Din, 2016; Alonderiene & Majauskaite, 2016; Anderson, 2005; Bovee, 2012; Cerit, 2009; Chambliss, 2013; Drury, 2004; Güngör, 2016; Hebert, 2004; Inbarasu, 2008; Irving, 2004; Laub, 1999; Mayera, Bardes & Piccolo, 2008; Thompson, 2002) and almost non-existent in Greek literature.

### **Job satisfaction and its importance in educational contexts**

Job satisfaction is a multidimensional conceptual construction that lacks a commonly accepted conceptual and functional definition (Evans, 1997, p. 832; Matsagouras & Makri-Mpotsari, 2003, p. 158; Weiss, 2002). However, scholars seem to agree on the existence of an overall satisfaction, which depicts employee's satisfaction from the different aspects of his work (Koustelios & Kousteliou, 2001; Locke, 1969; Matsagouras & Makri-Mpotsari, 2003).

To be more specific, personal, organizational and environmental factors such as the very nature of the teachers' work, i.e. teaching, leadership style, infrastructure, resources and, school's relationship with the local community appear to have a considerable impact on the way job satisfaction is perceived by teachers (Dinham & Scott, 1998, 2000).

Moreover, research data demonstrate the importance of job satisfaction for both employees and the organization itself. Doherty (1998, op. cit. in Koustelios, Theodorakis, & Goulimaris, 2004) points out that "*job satisfaction is a determinant of human resource effectiveness and of wider organizational effectiveness*" (p.91). This assumption is confirmed by a recent study carried by Murtedjo & Suharningsih (2016), which showed a significant positive correlation of job satisfaction and performance of primary school teachers. Employees' job satisfaction is associated with the organizational commitment and behavior of employees in the organization (Nguni, Slegers, & Denessen, 2006, p. 153) whereas, it has positive and stabilizing effects on organizational functioning such as low rate of absenteeism, adoption of positive working attitudes, low mobility rates (Hatton et al., 1999) and reduced employees' willingness to leave their jobs (Kantas, 1998, p. 107).

As for the positive contribution of job satisfaction on a personal level, it is linked to employees' mental health (Kantas, 1998, p. 107) and constitutes a predictor of professional burnout (Spector, 1997, p. 66). Finally, job satisfaction is related to the person's overall satisfaction with his life, since the person can also convey the pleasure and dissatisfaction he has experienced during his working hours outside of his schedule too (Judge & Watanabe, 1993, op.cit. in Saiti & Papadopoulos, 2015, p. 74).

As far as educational institutions are concerned, teachers' job satisfaction is correlated with the efficiency and the quality of our educational system (Kantas, 1998; Zembylas & Papanastasiou, 2004). More specifically, teachers' job satisfaction is positively correlated with the progress of the pupils (Wright & Custer, 1998) and especially with their performance, through the procedures adopted by the teachers in their class (Cerit, 2010). In other words, teachers' job satisfaction has a positive effect on enthusiasm, attitude, energy and more generally on teachers trying to improve the performance of their students (Nguni et al., 2006; Cerit, 2010). Thus, it contributes to school efficiency, but also to teachers' devotion to their profession (Shann, 1998).

### **Greek educational system and levels of autonomy of the school leader**

In spite of the strong centralized context in which Greek schools operate and the centralized nature of the Greek educational system (Antreou & Papakonstantinou, 1994; European Commission, 2015, p. 6.; Katsaros, 2008; Koutouzis, 2008; Koutouzis, 2012; Papakonstantinou, 2007; Yfanti & Vazaitis, 2005)., "*conditions of increased relative autonomy of the educational units and prerequisites of its effective utilization*" (Koutouzis, 2012, p. 214) have been created according to the needs and capabilities of each school unit. Obviously, an essential prerequisite for pursuing such an internal education policy is the general change of mentality and culture, both of school leaders and teachers.

Law 2986/2002 (Official Government Gazette 24 A), with the subsequent amendments (Government Gazette issue 1180/2010, Government Gazette 1340/2002, Government Gazette 820/2014), created a new framework which enables school principals to take on more substantial roles and to operate not only as agents of central education policy, but as scientific pedagogues, by setting high goals for their schools, by being oriented towards the creation of a democratic, creative, pleasant, effective school, and, by putting emphasis on creating the appropriate climate and the conditions for achieving their goals. Hence, the role of the school principal is to guide, help, inspire, work with school teachers and coordinate their work. In addition, the school principal undertakes educational and pedagogical initiatives with the aim of: providing a high level of education, opening the school to society and strengthening communication with both parents and the wider local community. Moreover, he also cultivates a spirit of solidarity and strengthens the consistency of the Teachers' Association and, strives to mitigate contradictions and encourage initiatives, providing positive incentives to school teachers.

## **Servant Leadership and teachers' job satisfaction**

The principles of servant leadership have been found to have a positive impact on teachers' job satisfaction when they are implemented by the school principals on day-to-day school practices (Al-Mahdy, Y. F., Hal-Harhi, A. S., & Salah El-Din, N. S. 2016; Mayera, Bardes, & Piccolo, 2008). More specifically, servant leadership positively correlates with effective leadership, which is one of the main factors in teachers' job satisfaction (Taylor, Martin, Hutchinson, & Jinks, 2007). Furthermore, it seems that there is a positive influence of leadership in the efficiency and effectiveness of the team, which also acts as an element of teachers' job satisfaction (Hebert, 2004; Irving, 2004; Laub, 1999; Thompson, 2002).

### **Research objective and research questions**

The purpose of this study is to determine the degree of application of servant leadership principles in the school environment as well as the degree of job satisfaction as perceived by school teachers and, to examine the correlation between these two variables.

The following research questions are formulated based on the purpose of this research.

According to the views of the sample teachers:

Do the principals of public elementary schools in the prefecture of Trikala apply and to what extent the practices of servant leadership?

What are its main characteristics?

To what extent are the teachers of public elementary schools experiencing job satisfaction?

To what extent does the application of principles of servant leadership constitute and correlate to a predictive factor of teachers' job satisfaction?

What is the positive contribution of servant leadership to the proper functioning and effectiveness of the school?

### **Methodological data collection framework**

In order to answer the above research questions, we conducted a quantitative survey, with a sample of 141 teachers from 20 public primary schools in the prefecture of Trikala in central Greece, which emerged using the stratified sampling method.

As a research tool, we used the OLA (Organizational Leadership Assessment) version of Laub (1999), a publication for training units, which reflects the degree of implementation of the leadership principles served by school unit principals, as well as the level of work of teachers in a school organization.

Laub developed the specific questionnaire using Delphi's technique which identified 60 servant leader attributes and grouped into 6 groups that formed the 6 sub-scales of the questionnaire and, according to Laub (1999), outlined the key characteristics of servant leadership. Finally, Laub (1999) added an additional separate tool of six proposals to this questionnaire so as to assess the degree of teachers' job satisfaction so as to be continued with the servant leadership framework. In addition, this questionnaire enables the assessment of the organizational health level of an educational organization based on the six levels of health, as Laub (2003) himself categorized, based on the APS (Autocratic-Paternalistic-Servant) model, according to which there are three patterns of leadership: the authoritarian, the paternalistic, and the servant-leader, which represent the different ways leaders perceive the development of the organization and change.

With regard to the validity and reliability of the OLA tool, the internal consistency of the questionnaire was verified by the Cronbach Alpha coefficient and found to be  $\alpha=0.98$  (Laub, 1999, p. 23). In particular, the Cronbach Alpha coefficient of the six sub-scales ranged from  $\alpha=0.90$  to  $\alpha=0.93$  Laub (1999, p. 20) and the occupational satisfaction scale was found to have a Cronbach Alpha coefficient,  $\alpha=0.81$  (Laub, 1999). In addition, the correlation between the proposals of the total OLA scale ranged from  $r=0.41$  to  $r=0.79$ , demonstrating a strong correlation of all the questionnaire proposals (Laub, 1999, p.19). In addition, a statistically significant positive relationship was found between the overall OLA scale and the occupational satisfaction  $r=0.635$  (Laub, 1999, p. 22).

### **Research process**

As far as the research process is concerned, we have obtained the necessary licenses and followed undivided and standardized procedures, thus avoiding bias in research (Creswell, 2011, p. 207).

## Data analysis

The data analysis started with the completion of the questionnaire collection and took place using the statistical program IBM SPSS statistics 24. Initially, we applied descriptive statistic, then checked for a normal or not distribution of the values of the scales and sub-scales measuring tool, both with frequency diagrams and with the Kolmogorov-Smirnov normality test, demonstrating their abnormal distribution, using non-parametric induction statistics.

In particular, statistical controls include: a) non-parametric Spearman tests to test the relationship between the “OLA total scale” and “professional satisfaction scale” as well as among the six OLA sub-scales with “the job satisfaction scale” and b) single and multiple regression analysis to check whether and how the sample teachers’ perception of the existence of certain attributes of servant leadership in their school’s leading figure contributes significantly in the prediction of the level of their job satisfaction (Creswell, 2011).

### Internal Reliability (Cronbach Alpha)

Internal reliability was measured by using Cronbach Alfa coefficient resulting in  $\alpha = 0.89$  for job satisfaction to  $\alpha = 0.99$  for total servant leadership (OLA) (see Table 1). The present study’s finding confirmed the reliability of OLA subscales. According to the result, the OLA instrument is a reliable instrument for measuring servant leadership and for measuring teachers’ job satisfaction as well.

Table 1- *Reliability Scores on Job Satisfaction, Total Servant Leadership (OLA) and six OLA Subscales*

Scales and Subscales	Cronbach's Alpha of this study	Cronbach's Alpha Laub (1999)	N of Items
Total Servant leadership (OLA)	0.99	0.98	60
Values People	0.90	0.91	10
Develops People	0.96	0.90	9
Builds Community	0.92	0.90	10
Displays Authenticity	0.94	0.93	12
Provides Leadership	0.93	0.91	9
Shares Leadership	0.96	0.93	10
Job Satisfaction	0.88	0.81	6

## Results

### Degree of implementation of Servant Leadership principles

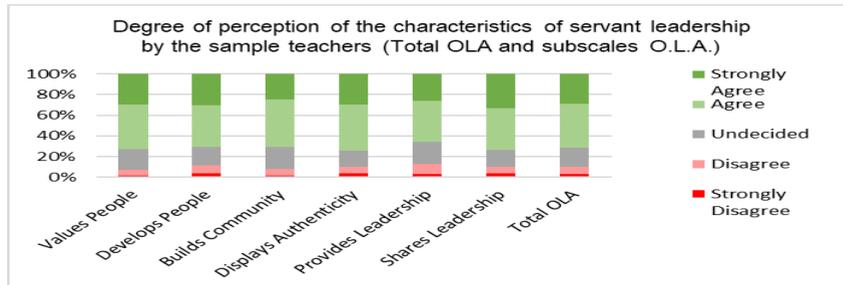
We first calculated the mean of the scale, the standard deviation; the variance and the range of values (see Table 2). The average of the total OLA ( $M = 3.87$ ,  $S.D. = 0.75$ ), which was above the midpoint of 3.0 on the rating scale, classifies the leadership of school principals of the sample, according to Laub (2003), at the paternalistic level of leadership and not at the level of servant leadership.

Table 2- *Descriptive statistics for Total OLA end for subscales OLA*

	N		M	S.D.	Variance	Range
	Valid	Missing				
Total servant leadership (OLA)	141	0	3.87	0.75	0.56	3.38
Values People	141	0	3.93	0.65	0.42	3.10
Develops People	141	0	3.86	0.88	0.78	3.78
Builds Community	141	0	3.79	0.70	0.49	3.40
Displays Authenticity	141	0	3.91	0.79	0.63	3.50
Provides Leadership	141	0	3.76	0.80	0.64	3.78
Shares Leadership	141	0	3.93	0.88	0.78	3.80

Then we estimated the degree of perception of the characteristics of the servant leadership, categorizing the values of 60 questions in the scale: 1 = Strongly Disagree, 2 = Disagree, 3 = Undecided, 4 = Agree and 5 = Strongly Agree, depending on the degree they received (positive: Agree + Strongly Agree, moderate: Undecided, negative: Disagree + Strongly Disagree), as to the degree of perception of the characteristics of servant leadership, from the sample teachers in the schools they serve. From the above, a positive trend (71.46%) of the perception of the leadership characteristics of the sample teachers (see Figure 1) was clearly obvious.

Figure 1. Degree of perception of the characteristics of servant leadership by the sample teachers



### Characteristics of servant leadership (Subscales OLA)

Initially, we calculated the average values of each sub-scale separately (see Table 2). The highest average was taken by the sub-scales "gives value to people" ( $M = 3.93$ ,  $SD = 0.65$ ) and "provides opportunities for leadership" ( $M = 3.93$ ,  $S.D. = 0.88$ ), whereas the sub-scale "take on leading roles" ( $M = 3.76$ ,  $S.D. = 0.80$ ) received a lower average.

In more detail, the highest average concentration out of the ten proposals (queries) of the sub-scale was compiled by the sentence "I feel appreciated by my principal for what I contribute" ( $M=4.31$ ,  $S.D.=0.87$ ), which the majority of the sample perceives to a great extent.

In the sub-scale "Provides opportunities for exercising power", out of the ten statements, the one with the highest average is: "Do not seek after special status or the "perks" of leadership"  $9M=4.09$ ,  $S.D.=1.07$ ), which is understood by the 82.98% of the sample to a great or big enough extent, whereas the lowest average was comprised of the sentence: "People at school are encouraged by their supervisors to share in making important decisions" ( $M=3.72$ ,  $S.D.=0.98$ ), which however is perceived by the 63.83% of the sample to a good or great extent. Also, a great deal of perception was made by the proposals: "The principal allows teachers to help determine where the school is headed" ( $M=4.03$ ,  $S.D.=0.963$ ), (78.01%) and "Uses persuasion to influence others instead of coercion or force" ( $M=3.97$ ,  $S.D.=0.971$ ), (73.76%).

The highest average out of the twelve proposals in the sub-scale, was the statement "I trust the leadership of this school" ( $M=4.13$ ,  $S.D.=1.06$ ), which 81.6% of the sample perceives a great deal. Also, the highest level of acceptance was apparent in the sentence: "My principal is accountable and responsible to others" ( $M=4.07$ ,  $S.D.=1.012$ ), (82.3%).

The highest average out of nine proposals in the sub-scale "Helping to improve people" is found in the statement: "I receive encouragement and affirmation from those above me in the school" ( $M=4.09$ ,  $S.D.=0.93$ ), which is perceived by the 78% of the sample to a great extent. Also, high levels of acceptance noted the statements: "Provide the support and resources needed to help teachers/staff meet their professional goals" ( $M=3.9$ ,  $S.D.=1.05$ ), (73.76%). "Build people up through encouragement and affirmation" ( $M=3.91$ ,  $S.D.=1.03$ ), (73.05%) and "Provide opportunities for all teachers/staff to develop to their full potential" ( $M=3.96$ ,  $S.D.=1.02$ ), (73.05%).

The highest average out of the ten statements in the sub-scale "Forms a sense of community" is developed in the sentence: "The principal works in collaboration with teachers/staff, not separate from them" ( $M=4.03$ ),  $S.D.=1.06$ ), which is perceived highly by 76.6% of the sample, whereas the least average is found in the sentence: "People within this school, work well together in teams" ( $M=3.62$ ,  $S.D.=0.883$ ), which is understood though by the 57% of the sample.

Finally, the highest average out of the nine statements of the sub-scale "Take on leadership roles" is evident in the sentence "The principal provides the support and resources needed to help teachers/staff meet their professional goals" ( $M=4.03$ ,  $S.D.=1.04$ ), which is understood by the 77.3% of the sample to the most. Also, a great deal of acceptance took place with

the statement: "My principal takes appropriate action when it is needed" ( $M=4.04$ ,  $S.D.=1.024$ ), (79.4%) as well as with the sentence "Encourages people to take risks even if they may fail" ( $M=3.67$ ,  $S.D.=1.073$ ), (62.4%).

### Degree of Job Satisfaction

We estimated the average of the scale, the standard deviation, the variance and the range of prices (see Table 3) in order to reflect the level of sample teachers' job satisfaction. In more detail, it was found that the sample teachers gained too much or too great satisfaction from their work ( $M = 4.13$ ,  $S.D. = 0.59$ ).

Table 3- Descriptive statistics for job satisfaction scale

	N		M.	S.D.	Variance	Range
	Valid	Missing				
Scale job satisfaction	141	0	4.13	0.589	0.347	2.67

Of the six proposals on the scale, the highest average was the "I feel happy with my contribution to school" ( $M = 4.21$ ,  $SD=0.70$ ), and "I have the ability to be creative in my work" ( $M = 4.21$ ,  $S.D. = 0.75$ ) (see Table 4).

Table 4- Descriptive statistics for job satisfaction scale (items job satisfaction)

scale: Job satisfaction						
Items job satisfaction	N		M.	S.D.	Variance	Range
	Valid	Missing				
I am working at a high level of productivity	141	0	4.03	0.676	0.456	3
I feel good about my contribution to the school	141	0	4.21	0.702	0.493	3
My job is important to the success of this school	141	0	4.18	0.581	0.337	2
I enjoy working in this school	141	0	4.06	0.927	0.860	4
I am able to be creative in my job	141	0	4.21	0.745	0.554	3
I am able to use my best gifts and abilities in my job	141	0	4.08	0.793	0.630	3

### Correlations between total leadership (OLA) and job satisfaction

A Spearman's correlation was run to determine the relationship between servant leadership (total OLA) and job satisfaction. There was a strong, positive correlation between total OLA and job satisfaction ( $r_s = 0.73$ ,  $p < 0.001$ ) (see Table 5 and Figure 2).

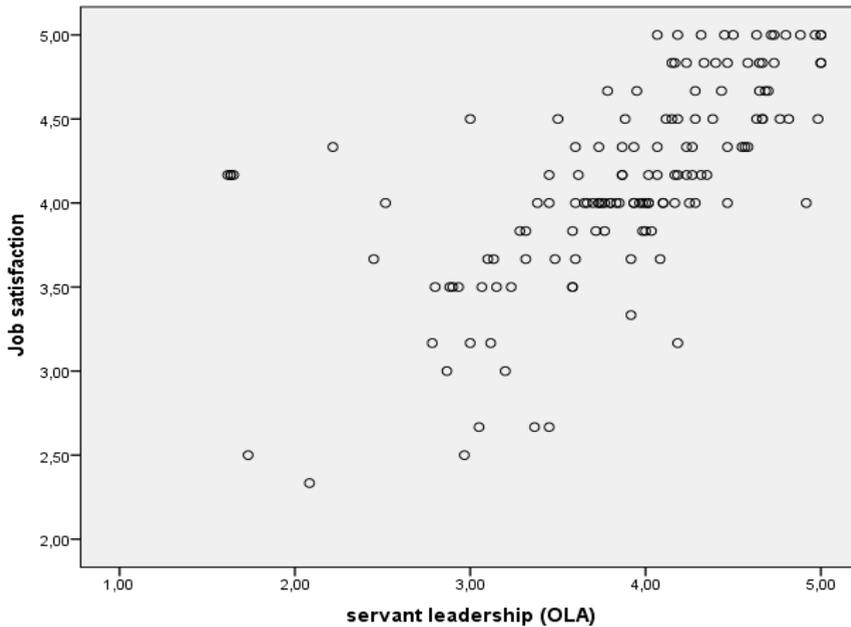
Table 5- Correlations (Spearman's rho  $r_s$ ) between six servant leadership characteristics and job satisfaction

Variables	1.	2.
Total servant leadership (OLA)	1.00	
Job satisfaction	0.73***	1.00

Note: \*\*\*.  $P < 0.001$ .

5.1

5.2 Figure 2. - Scatter plot: Total servant leadership (OLA) with job satisfaction



5.3

**5.4 Correlations between job satisfaction and six subscales leadership (OLA)**

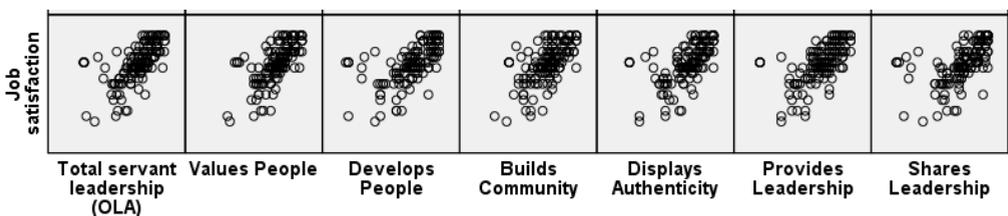
A Spearman's correlation was run to determine the relationship between six servant leadership characteristics and job satisfaction. There was a strong, positive correlation between six servant leadership characteristics and job satisfaction (ranging from  $r_s = 0.63$  to  $r_s = 0.72$ ,  $p < 0.001$ ) (see Table 6 and Figure 3).

Table 6- Correlations (Spearman's rho  $r_s$ ) between six servant leadership characteristics and job satisfaction

Variables	1.	2.	3.	4.	5.	6.	7.
1. Job satisfaction	1.000						
2. Values People	.724***	1.000					
3. Develops People	.716***	.856***	1.000				
4. Builds Community	.625***	.900***	.824***	1.000			
5. Displays Authenticity	.693***	.888***	.928***	.891***	1.000		
6. Provides Leadership	.677***	.858***	.904***	.852***	.895***	1.000	
7. Shares Leadership	.702***	.802***	.939***	.783***	.907***	.865***	1.000

Notes: \*\*\*.  $P < 0.001$ .

Figure 3.- Scatter plot: six servant leadership characteristics (subscales OLA) with job satisfaction



### Regression analysis of total servant leadership (OLA) on job satisfaction

Simple linear regression was used to test if servant leadership (total OLA) significantly predicted teachers' job satisfaction (see Table 7). The results of the regression indicated that servant leadership explained 41% of the variance ( $R^2 = .41$ ,  $F(1, 139) = 96.73$ ,  $p < 0.001$ ). It was found that servant leadership significantly predicted teachers' job satisfaction ( $B = 0.50$ ,  $t = 9.84$ ,  $p < 0.001$ ).

Table 7- Regression analysis of total servant leadership (OLA) on job satisfaction (N=141)

Predictor: (Constant)	B	SE B	Beta
Total servant leadership (OLA)	0.50	0.05	0.64***

Notes: \*\*\* $p < 0.001$ . Dependent variable: Job satisfaction (Method Enter).  $R^2 = 0.41$ ,  $F(1, 139) = 96.73$ ,  $p < 0.001$ .

### Regression analysis of six servant leadership characteristics on job satisfaction

Multiple regression analysis was used to test if the six servant leadership characteristics significantly predicted job satisfaction of teachers (see Table 8). The results of the regression analysis indicated that the six predictors explained 46% of the variance ( $R^2 = .48$ ,  $F(6, 134) = 20.50$ ,  $p < 0.001$ ). It was found that the characteristic "Values People" significantly predicted teachers' job satisfaction ( $B = 0.66$ ,  $t = 3.67$ ,  $p < 0.001$ ).

Table 8- Multiple regression analysis of six servant leadership characteristics (subscales servant leadership OLA) on teachers' job satisfaction (N=141)

Predictor: (Constant)	B	SE B	Beta
Values People	0.66	0.18	0.73***
Develops People	0.35	0.19	0.53
Builds Community	0.03	0.15	0.04
Displays Authenticity	-0.24	0.20	-0.32
Provides Leadership	0.01	0.14	0.01
Shares Leadership	-0.21	0.17	-0.31

Notes: \*\*\* $p < 0.001$ . Dependent variable: Job satisfaction (Method Enter).  $R^2 = 0.48$ ,  $F(6, 134) = 20.50$ ,  $p < 0.001$ .

### Conclusions-Discussion

Scholars argue that, school leaders with their complex role and authority may form a culture of efficiency, change and innovation at school (Chatzipanagiotou, 2008, p. 223). Interestingly, servant leadership consists a leadership model which, when it is implemented by school principals, has a positive impact on teachers' job satisfaction which is advantageously related to the effectiveness and quality of the education provided (Al-Mahdy, Y. F., Hal-Harhi, A. S., & Salah El-Din, N. S. 2016; Mayera, Bardes, & Piccolo, 2008).

According to the findings of this research, the majority of the sample teachers agree that leadership applied in their schools in the prefecture of Trikala has the characteristics of servant leadership. The above findings are in agreement with previous similar research, both in Greece and abroad as well as Laub's ascertainment (2003, pp. 3-4) that the majority of organizations operate with the paternalistic leadership model. However our research differs from the Anderson (2005) survey, which demonstrated a higher average perceived application of the servant leadership principles employed in its sample schools and Gügnor (2016) which showed low perceptions of implementation of the servant leadership, a result that may have to do with the different cultural environment in which the research is conducted.

As for the characteristics, the sample teachers perceive all the six characteristics of servant leadership, of which the highest rate was observed in the following: it gives value to the people, the leadership for the good of those who lead, allotment of the authority, the implementation of the authenticity, and then all the rest come next: it contributes to the improvement and development of the people, the sense of community and shares leadership, a finding that has an accord to previous similar

studies of Anderson, (2005); Bovee, (2012); Cerit, (2009); Chambliss, (2013); Drury, (2004); Inbarasu, (2008); Mpantouna, (2011); Patsis, (2011).

Based on the results of this survey, the sample teachers appear to be experiencing a great deal of satisfaction from their work. In particular, they say they are happy with their contribution to school, they believe the work they offer is important to their success and finally that they have the freedom to be creative in their workplace. The above findings confirm once again that teachers' job satisfaction is linked to the "nature of the work itself", i.e. teaching and its results. The results of this research show the decisive role of the school principal, who may, depending on how he chooses to lead his school, contribute or not to teachers' job satisfaction. Servant leadership, when it is implemented by the school principals, seems to contribute positively to school teachers' job satisfaction.

Interestingly, our research revealed that the majority of the principals operate on the principles of servant leadership, without, however, knowing it. It appears that the principals of the primary schools in the prefecture of Trikala are generally considered to apply a model of leadership that largely incorporates harmoniously the basic characteristics of the servant leadership and, positively contribute to teachers' job satisfaction.

Correlation analysis has statistically demonstrated a strong positive relationship between the perceived teachers' job satisfaction and the perceived application of the principles of servant leadership. It has also statistically demonstrated a strong positive relationship between each of the six perceived characteristics of servant leadership and the perceived job satisfaction of the sample teachers. Finally, the regression analysis demonstrated the implementation of servant leadership as a predictive factor of job satisfaction, as well as the significant contribution of the leadership characteristic serving "attaching value to people" in the prediction of teacher's job satisfaction. The above findings are related to previous researches, both in Greece and abroad (Mpantouna, 2011; Patsis, 2016; Cerit, 2009), however, they contradict with Gügnör's results (2016), whose research has shown that the servant leadership contributes negatively to predicting teachers' job satisfaction. One possible explanation for the above differentiation has to do probably with different cultural research environments, but also with the use of different measuring and pre-measuring tools.

The findings of this research clearly reveal the positive contribution of servant leadership to school's smooth functioning and effectiveness. More specifically, according to the perceptions of the sample teachers, the principals of the elementary schools in the prefecture of Trikala, exercise leadership by relying not on command, control and enforcement, but on respect and confidence they have gained by their school teachers, without self pro-claiming and requiring special recognition of "privileges" of leadership, being aware of their personal limits and mistakes, which they admit, making themselves accountable for their actions. The majority of school principals of the elementary schools in the prefecture of Trikala are perceived to clearly communicate their vision towards a future oriented school, showing an articulate orientation towards the teachers as human beings and encouraging them to participate in both making important decisions and shaping the school's objectives and what is more, urging them on taking leadership initiatives whenever this is required.

In addition, they provide teachers with support in order to fulfill their professional goals and to maximize the professional potential through continuous encouragement and confirmation. It is also noteworthy that sample teachers feel they are encouraged by their principal to risk, even if they are likely to fail. Finally, the school principals are perceived as servant leaders who contribute with their example in shaping a school culture, they are characterized by ethics, integrity, respect and honesty, they foster and encourage open communication, positive organizational behavior, collaboration among teachers, the sense of community and, they reduce competitiveness, contributing to shaping a learning environment that encourages learning.

Concluding, taking into account our findings regarding positive effects and correlations of servant leadership with job satisfaction, organizational effectiveness and innovation, we suggest that servant leadership should receive more attention not only by the scientific community, but also by senior education practitioners and teachers' trainers.

### **Limitations- Future research**

Although a lot of effort has been made to ensure credibility and validity of the present research, we must say that asking teachers to evaluate their principal raises questions about the sincerity/objectivity of our sample's answers.

Moreover, we suggest that it would be interesting to examine the degree of perception of applying the principles of servant leadership in a more extended sample throughout Greece. Lastly, a research in both public and private schools would reveal possible differences in the perceived degree of implementation of the principles of servant leadership and would give us some interesting ideas for school improvement and efficiency.

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## General Principles on the Law "On Electronic Commerce"

Ph.D. Elvina DAJA

### Abstract

The paper on the general principles of e-commerce undertakes to make an analysis of the basic principles of this topic chosen for the study. We all know and have already seen that if we have an internet and an account we can buy every item that we want in different websites, anywhere in the world. Also any physical or legal person can create a web or address on different social networks to trade their goods. In order to be protected and more effective against this global phenomenon, the Albanian government some took steps towards the adoption of the law "On electronic commerce". This law gives the right to create electronic commerce by any physical or legal person who is registered at the National Registration Center. These entities have the right to advertise their merchandise on the site they have created without any barriers. Looking at a lawyer's point of view, I would say that this law is a necessary law for the consumer protection and for traders seeking to use technology because we live in the digital world and in the global phenomenon.

**Keywords:** electronic commerce, principles, contractual freedoms, sales, legislative adjustments.

### 1. Introduction

In this paper I will present a brief approach to the Law "On Electronic Commerce", where I will concentrate more specifically on Article 4 "General Principles", this article mainly refers to the approach of electronic commerce in the Republic of Albania, I do not analyze this task within the field of economy but within the framework of law.

Article 4 states:

1. Commercial transactions conducted electronically are based on the principles of parity of participants, free will, contractual freedom, free development of entrepreneurial activity and the free movement of goods and services in the territory of the Republic of Albania.
2. In the field of electronic commerce, the parties may not impose restrictions on the acquisition and fulfillment of the rights and obligations of natural and legal persons, except in cases provided for by law<sup>1</sup>.

The methodology used in this paper is quantitative & qualitative, in order to collect and process different materials in the most efficient way about the concrete issue. This method is based on the first case study from a legal point of view, but based on reasoning.

### 2. What is Electronic Commerce?

I cannot begin with the analysis of this paper without first clarifying what is electronic commerce. As a concept, electronic commerce will include a wide range of activities and activities that have a variety of goods and services that you can buy online. It also relates to various forms of transaction in which parties interact electronically instead of physical exchange<sup>2</sup>.

Electronic commerce is a trade, which functions on the basis of electronic communication tools and information processing technology in business transactions created. Its purchases and sales function through the internet, conducting transactions involving the creation of sales contracts, thus creating a new right to the buyer, thereby changing ownership to use the purchased goods or services. All this scheme is carried out by a simple computer, which can be called the mediator between the seller and the buyer.

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<sup>1</sup>R. Benjamin, R. Eïgand, 'Electronic markets and virtual value chains on the information superhighway', Sloan Management Review, Vol. 36, 1995, p.62.

<sup>2</sup>T. Ainscough, and M. Luckett, The internet for the rest of us: marketing on the World Wide Web", Internet Marketing adoption: factors affecting Website sophistication AieX Marketing Intelligence and Planning, Vol. 20, 1995, p. 243.

This global phenomenon has affected our country, where all individuals and institutions can buy at these addresses. This issue will not remain solely in terms of who they are able to buy because this is an action that everybody can desire.

These two phenomena today are inseparable, jurisprudence requires its adaptation to new phenomena, because society evolves, develops. Having a social development normally comes up with new issues and, of course, the field of justice is facing new issues that require drafting and monitoring of new laws. The Law "On Electronic Commerce" is a good indication of what I said above.

The Government authorizes the Electronic and Postal Communications Authority to follow up and implement the obligations established by this law. Also for the follow-up of these procedures is the Consumer Protection Commission and the responsible consumer protection body as defined in the law "On Consumer Protection"<sup>1</sup>.

Any sale in this way requires free voluntary participation by both parties. Thus, a sale-purchase contract is created by both parties, with this contract changing the ownership of the goods or services that the customer requires.

Everyone who is free to assume rights and obligations towards electronic commerce, the buyer has the right to buy the goods or service in the quantity he wants and has a duty to pay very much to the investor, while the seller has the duty to send the merchandise at the requested destination and perform customer services, such as: occasional information on various offers via email or message in the phone, all of which is the free-will scheme, which is sequestered in Article 4 (four), first paragraph.

Article 4 (four) in the first paragraph clearly states the whole activity of how it operates and where the whole of electronic commerce is based. So to go on further, I would say that this article sets the conditions only for the territory of the Republic of Albania, for national buyers and national entrepreneurs. Where the goods and everything else offered in this market is an advantage for the domestic economy because it increases more purchases within the Albanian state by increasing the domestic economy. From this point of view, I clearly see a part of Article 4 (four), the free movement of goods. Since the purpose of this article in the first paragraph is exactly the free movement of goods by removing the barriers of distance, distance is no longer a problem for the rock of goods, thanks to digital technologies and postal services.

### 3. Establishing restrictions under the law

As the law, which has limitations, and the law "On Electronic Commerce" has its limitations. In fairness, any restriction is intended to protect an individual or society from a part of the law, which can negatively impact on certain purposes cannot be limited. Therefore, the drafting and implementation of this law has taken this into account, this is clearly stated in Article 4 (4), paragraph two. This restriction is made in order not to harm any of the participating parties in the electronic commerce<sup>2</sup>.

This restriction is intended not only to protect the parties involved but also because of major contracts which in themselves contain acts of vital importance to the fate of the estate or other acts which necessarily require the presence of a state authority. This is for the self-motivated reason to prove not only the acting of the willpower of the participants, but also for reasons of truthfulness and fulfillment of the obligations of the persons participating in the contracts which are not allowed in the electronic commerce. As they do not only require the prior consent and payment of the requested amount, but the presence of physical or legal persons must be verified as a legal fact, which is intended to create, change or dispose of a legal fact. The contract created in the electronic markets does not intend this fact, although it only changes the fact of being the owner. But there are also contracts, which require the participation of more than one person for the same object, commodity or service. Such a thing cannot be done in the aforementioned market, this avoids a conflict between the two parties because two known individuals cannot decide to buy a blouse together and then use that jumper jointly. While for a major facility, for example a building, a warehouse or a company purchased by two or more people, can be used by this group, in a pro-rata and periodic way or in a joint stock.

At the end of this paragraph I would say that the article on electronic commerce constraints represents that set of articles that take into account the management of situations that may create dissatisfaction and various problems in the field of contract law. In order to eliminate the unwanted consequences, the drafting of this article has been important for the long-term development and functioning of this emerging business and in our country.

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<sup>1</sup> Y. Bakos and E. Brynjolfsson, Information technology, incentives, and the optimal number of suppliers, *Journal of Management Information Systems*, Vol. 1, 1995, p 34.

<sup>2</sup> P, Barëise, A. Elberse and K, Hammond, *Marketing and the internet: a research review*, 2002, p 45.

## Conclusions:

From the above I would say that e-commerce is a phenomenon that requires adaptation of domestic legislation to protect the customer and the entrepreneur because they are part of the actions that are being carried out. It is worth pointing out that the law "On Electronic Commerce" is an important step undertaken as a necessity for Albanian society because we live in a world that thanks to the advancement of technology we can buy without being physically present in the market.

To keep up with another point, electronic commerce requires legislative adaptation according to the terms and criteria but also the problematic that this kind of trade, which necessarily puts at the center of law drafting institutions all the instruments to create, draft and monitor the law in question.

In conclusion, I would say that from the legislative point of view, this law, always in my point of view still needs further adjustments, the easiest adaptation, this means that institutions should build trust in people, who want to buy in this market, as the majority of the population is untrustworthy, as such, law enforcement institutions need to be more persistent in convincing citizens that the adopted law is indeed a good law that works. But some articles that add to and make it more compelling as a law have to be added, because there should be some article in the law that ensures that the order will come to the proper destination from the postal service, although there may be one such an article, in the law on postal service, but in the law on electronic commerce, necessarily needs an article that protects the consumer from this Albanian phenomenon. Not just so much in a law there is room for improvement. Therefore, I would like that Albanian justice is always looking to improve every law, because only in this way can we be a quality society, I must emphasize that a very good law requires an extremely effective implementation and monitoring detailed for the very reasons, for the good functioning of the society. This applies to the law on "Electronic Commerce"

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## Circumstances Related to the Reporting of Bad News in the Medical Profession

Margarita Stankova

Polina Mihova

New Bulgarian University

### Abstract

In the medical profession, communicating bad news about a malignant formation is often associated with experience, obstacles, and problems faced by the medical professionals and related to the communication with the patient. Our survey included 232 medical specialists - doctors and nurses with diverse internship in the profession and working in Bulgarian healthcare facilities. It aimed to find: (i) the most common difficulty in communicating the bad news to cancer patients, (ii) the most difficult aspects of that information, and (iii) the specific words the medical professionals prefer to avoid when communicating the bad news. Also, the medical specialists were asked about the factors with the largest interference with the disclosure of the bad news to the patients. The survey results show that only 66% of the medical professionals are ready to respond directly and definitively to the question from the patient if he/she has cancer. Almost all of the surveyed medical specialists believed that the most difficult part of communicating the bad news was related to the prognosis of the disease and the survival expectancy; many of the medical professionals preferred to avoid the word "cancer", and the fatality of the disease was the most common barrier in communicating bad news, followed by the relatives' negative position towards bringing up the bad news to the patient, and the low level of patient's education and the short life expectancy. The study shows the need for support and training of the medical professionals in addressing bad news situations and the importance of the protocols with guidelines and steps to be performed during that communication.

**Keywords:** bad news, health care professionals, cancer patients

### Introduction:

Communicating bad news in medicine is a challenge for all healthcare professionals and they are often poorly prepared for such moments. This process includes not only skills that medical professionals have acquired in their training and experience with patients, but also personal viewpoints, e.g., the professionals' perceptions of life and death in general, specific life experience and identification with the patient and his/her situation, and transfer of emotions related to situations in their own life, associations with relatives and close friends.

The patients with their problems and emotions present an important party in the process of communicating bad news. At the same time the healthcare professionals with their experience, emotions and personal background are also an intrinsic part of this process. Some healthcare professionals will bring up the bad news to many patients, and they must maintain their own mental balance and emotional state in order to be available to help the patients.

Perceiving some news as bad usually relates to considerations about the changes that could occur after bringing up the news. How bad the news is for the patient depends to a great extent on the patients' expectations, the nature of the illness, and whether or not the patient suspects the diagnosis (Buckman, 1984).

There are many factors which interfere with the health professionals' attempts to disclose the bad news in a clear and calm way, e.g. the professionals' own anxieties and fears especially hinder the start of the conversation or who is taking the responsibility for managing disease and the treatment (Buckman, 1984). This probably is related to insufficient followup statement about the true patient's health status as well as attempts to avoid certain words.

Among the most common potential areas of improvement of the perception of the bad news are the knowledge of the patient expectations, the speed and timing of presenting the news to the patient, the incremental presentation of the information, sharing of troublesome information warning, allowing the patients to express their emotions and worries (Ellis

& Tattersall, 1999), following the patient's pace, avoidance of medical jargon and euphemism and answering of the patient's questions (VandeKieft, 2001). The medical professionals should give enough time for the conversation, they must insure high quality of the information and facilitate the patient's understanding, provide emotional support and allowing expression of emotions (Fujimori et al., 2005).

When receiving the bad news, the patients usually expect both empathy and complete information (Munoz Sastre et al., 2011) and this process is an important part of the adaptation of the patient, Phipps, Cuthill, 2002). Patients often state they want their doctors to provide them with realistic information, to include them in the discussion of the prognosis, and to give them clear answers to their questions. Raising the hope of the patient depends on the possibilities to have modern methods of treatment, more clever and well informed doctor, and a promise to keep the pain under control. Most patients worry that doctors feel nervous about reporting the bad news, or give the prognosis to the family first and use euphemisms. As a result, the patients feel less hopeful about the outcome of the treatment (Hagerty et al. 2005). Also, the medical professionals must be careful, because the patients' preferences for inclusion in the process could be unstable and the situational factors may alter the needs for information (Butow et al., 1997).

A review of several studies in the field indicates that the patients' preferences to communicating bad news includes four components: setting, manner of communication, emotional support, type and completeness of information. The review also finds that patients' preferences are associated with their age, gender and educational level. Younger patients, female patients and highly educated patients want to have detailed information and they are expecting more emotional support (Fujimori & Uchitomi, 2009).

Many medical professionals believe that delivering bad news is related to skills that are of great importance, the ability to respond to the patients' verbal and non-verbal signals (Bennett, Alison, 1996), and to manage their own reactions to death and dying (Fields, Johnson, 2012). The medical professionals need to be trained and taught in communicating the bad news in addition to training in diagnostics and therapy in medicine in general. Thus, training courses in communication skills are recommended to enhance the perception of information and the patients' satisfaction (Monden, et al. 2016, Rabow & McPhee, 1999). In addition, the competency in the bad news communication skills should be included in the core curriculum for the health care training and education (Minichiello et al., 2007). Important personality characteristics include reflection skills and the ability to show empathy and to care.

### **Participants and methods:**

The study included 232 health specialists /144 doctors and 88 nurses/ with different professional experience from healthcare facilities in Bulgaria – demographic data table 1. The participants were asked to fill in a survey with questions related to bad news disclosure. It aimed to find: (i) the most common difficulty in communicating the bad news to cancer patients, (ii) the most difficult aspects of that information, and (iii) the specific words the medical professionals prefer to avoid when communicating the bad news.

#### Table 1 Demographic data

The results present the number of answers provided by each participant and the distribution of those answers as a percentage. Every health care professional had the opportunity to give more than one answer to the questions included in tables 3, 4 and 5 and the percentages have been calculated based on the total number of participants.

### **Results:**

The first question of our survey attempts to find the most common answers that the healthcare professionals give to cancer patients in response to the direct question "Do I have cancer?". This question is of a great importance to the communication with the patient, because after hearing it the doctor clearly understands that the patient wants to know the truth about his/her diagnosis. Also, the Bulgarian Health Law states that every patient is entitled to clear and accessible information about his/her health and the methods of treatment and every patient must have an access to the medical records related to his or her diagnosis and treatment (Bulgarian Health Law, 2018). Therefore, the question checks what types of responses the healthcare professionals give to the cancer patients when they are sure that the patients want to know their diagnosis and the situation requires an honest answer.

Table 2 Survey question: How do you usually answer a patient who has cancer when he/she asks you, "Do I have cancer?"

The next survey question is related to the separate parts of the information needed to be disclosed after the definitive answer about the diagnosis. The assumptions include the prognosis and life expectancy, the meaning of the word cancer

itself, the existence of metastasis that is associated with the prognosis and the possibility of complete cure, the need for heavy and/or painful treatment, in this case chemotherapy. These topics often generate communication difficulties and health professionals would like to avoid them. /Every health professional had the opportunity to give more than one answer and the percentages have been calculated based on the total number of participants/.

Table 3 Survey question: If your patient has cancer, what part of the information is most difficult to share?

The next survey question is related to the frequent complaints from patients that the healthcare professionals often use euphemisms and difficult words when communicating the bad news. The question is related to the most difficult words and the attempts of the healthcare professionals to avoid them and try to cope with their own emotions and the transfer of their personal experience to the current situation. /Every health professional had the opportunity to give more than one answer and the percentages have been calculated based on the total number of participants/.

Table 4 Survey question: If the patient has cancer, which words do you prefer to avoid?

The last survey question probes the factors that interfere with the communication of the bad news. The expectation here was related to the common problems with the patient's relatives in Bulgaria who play an important role in such communication. Often, the relatives believe that the bad news disclosure will shorten the patients' life, because he will not be able to overcome the illness if he knows his life expectancy. /Every health professional had the opportunity to give more than one answer and the percentages have been calculated based on the total number of participants/.

Table 5 Survey question: What is most interfering with communicating bad news?

## Discussion

Only 66% of the health professionals tend to respond directly to the question of the cancer patients "Do I have cancer?" and definitely say „Yes“ when answering it . About ¼ of them give vague answers that they are not able to say the definite "Yes". It is important to notice that answering the patient's question it is not a matter of examining of the patient's wishes, his/her emotional state, and the willingness to hear the answer. Here, the health professionals are asked only about their answer to the the patient's question "Do I have cancer?" However, only 66% of healthcare professionals in this group are able to give a definite answer to this clear question.

The most difficult part of the information is related the prognosis and life expectancy. Traditionally, it is difficult for Bulgarians to talk about death. Many of them also believe that talking about death makes a prophecy for a short life and the only way to overcome a serious illness is to think and talk positively. Probably, many healthcare professionals also experience identification with the patient and have difficulties in communicating the facts about the short life expectancy due to projections to their own experience and the idea that every human life is limited.

The most commonly avoided word is "cancer", followed by "formation" and "tumor". This is probably related to the healthcare professionals' attempts to avoid direct communication related to the diagnosis and the idea that the word "cancer" brings extreme anxiety and tension in the patient and his/her relatives.

The most difficult part of the communication is the fact related to the fatality of the disease, and the conversation about imminent terminal prognosis followed by the problem that is often generated by the relatives, the request to the healthcare professionals not to report the diagnosis to the patient. This obviously is related to the fatality of the potential outcome and the other difficulties that the healthcare professionals enlist to be associated with the short life expectancy. Other difficulties identified by the healthcare professionals are related to the low level of education of the patients and their poor cognitive abilities.

## Conclusions:

Many healthcare professionals in our study report problems in communicating directly the diagnosis and naming the illness with the proper words. The most important part of this process relates to the prognosis, life expectancy, and terminal outcome. The information concerning the diagnosis and its sharing in response to direct questions is an interesting aspect of this study especially in the context of the regulations and laws in the country. According to the law, the patient has the right to know and be completely informed about his/her medical problems. The situation is exactly the same, even if the relatives want the patient not to be informed about the diagnosis, the life expectancy and the upcoming therapy.

The survey makes clear that the healthcare professionals need adequate knowledge and skills to talk clearly and openly with the patients, complying with their emotions and desires, while keeping their own capabilities to reflect without accumulating additional negative feelings about themselves from any conversation related to the bad news.

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**Tables**

Table 1 Demographic data	nurses	doctors	total
<b>Gender</b>			
men	4	74	78
women	84	70	154
<b>Age</b>			
20-30	9	16	25
31-40	18	25	43
41-50	31	24	55
51-60	20	61	81
over 65	10	18	28
<b>Working experience</b>			
1-5 years	30	37	67

6-10 years	14	28	42
11-15 years	4	16	20
16-20 years	16	25	41
over 20 years	24	38	62

Table 2 Survey question: How do you usually answer a patient who has cancer when he/she asks you, "Do I have cancer?"

Answers	N	%
Probably you don't have	24	10,3%
You probably have	42	18%
I am afraid - Yes	154	66,4%
At present the results suggest that diagnosis	2	0,9%
You should ask your doctor	4	1,7%
There is a high probability	2	0,9%
You have a formation that needs to be treated	2	0,9%
I don't have the right to give you an answer	2	0,9%
Total number of answers	232	

Table 3 Survey question: If your patient has cancer, what part of the information is most difficult to share?

Answers	N	%
I don't have difficulties	2	0,9%
Prognosis and life expectancy	196	84%
The existence of malignant neoplasm	78	34%
Metastases	75	32%
The need of Chemotherapy	24	10%
Total number of answers	376	

Table 4 Survey question: If the patient has cancer, which words do you prefer to avoid?

Answers	N	%
Atypical cells	41	18%
Inflammation	20	9%
Lesion	30	13%
Tumor	45	19%
Formation	112	48%
Cancer	169	73%
Neoplasm	40	17%
Lump	29	12,5%
Shadow	20	9%
	640	

**Table 5** Survey question: What is most interfering with communicating bad news?

Answers	N	%
Relatives who have negative position towards braking the bad news to the patient	108	46,5%
The short life expectancy	92	40%
Fatality of the disease	134	58%
The age of the patient	75	32%
Small treatment effect	80	34%
Poor social status	67	29%
Poor family status	57	24,5%
Poor physiological status	68	29%
Low education	94	40,5%
Poor cognitive abilities	91	39%
Poor professional status	34	15%
	900	

## Scoring Higher Grades at 'O' Level Exam Through N-Theory Strategy

**Assoc. Prof. Dr. Samikkanu Jabamoney s/o Ishak Samuel**

Associate Professor in Tamil Language Programme,  
Sultan Idris Education University, Malaysia.

### Abstract

The pursuit of Education is important to the overall development of an individual. It is attained in different stages. The stages differ according to the learners' age and goal. Usually, students undergo different learning stages. It begins at the kindergarten (pre-school), and continues into the primary school (elementary), secondary school (high), college and finally the university. Teaching and learning is the main aspect in education. Usually, a classroom consists of five levels of students according to their competence. They are excellent, potential excellent, medium, potential medium and critical level students. All these students have to face the 'O' level examination which is essential in Malaysia. It determines the students' bright future. It is conducted by the Malaysian Examination Syndicate. Students find it difficult to score higher grades in this examination. This study proposes the 'N' theory strategy. This strategy explains that the role of teacher, which is dominant at the kindergarten and primary level of education diminishes correspondingly and is taken over by the role of the student, which increasingly gets dominated at the secondary and university levels. Since the 'O' level examination comes at the secondary level, the 'N' theory strategy is applicable to these students to score higher grades. It also helps the students to internalize their study materials easily. This research article aims to discuss the importance of 'N' theory in 'O' level examination and it also focuses on the pre-test activities using 'N' theory strategy and post-test based upon a research conducted among a selected secondary school students.

**Keywords:** 'O' level exam, 'N' theory, pre-test, post-test.

### Introduction

Education is a process of teaching and learning. The learning includes acquisition of knowledge, language skills, cultural values and beliefs. Different methods like, training, discussion, narration, research, etc. are being used. Education starts from kindergarten and goes on to higher education institutions. The methodology used for teaching purpose is called 'Pedagogy'.

Education shapes students in different ways. Through education, a student not only gains knowledge but also learns discipline. Education can be attained in different stages. The stages differ according to the students' age and goal. Usually, students undergo different learning stages such as, kindergarten (pre-school), primary school (elementary), secondary school (high), college and finally university for their education. Students continue their education till they achieve their goals. It's not an easy task to achieve one's goal. During the learning process examination is the main testing area. Studying and memorizing is included in the testing area. Oxford Dictionary (1948) defines examination as, 'a detailed inspection or study'. It can be also said as a test of one's personal knowledge in a subject. Students have to come across examination during their education. There are different types of examinations and one such examination is 'Ordinary level (O level) exam'. It is a subject based academic qualification and is conducted universally. In Malaysia, 4 examinations are important namely: Standard 6 public exam, Form 3 public exam, 'O' level exam and 'A' level exam. Of these, the 'O' level exam is conducted by the Malaysian Examinations Syndicate. This exam is very important for the students as its results will decide the future of the students (Samikkanu Jabamoney, 2018).

This research article explains the importance of 'N' theory in scoring higher grades in 'O' level examination. Moreover, it focuses on the pre-test, activities using 'N' theory and post-test based upon a research conducted among the students in Malaysian context.

## Research Background

Malaysia is a Southeast Asian country. Malaysia consists of 13 states and 3 federal territories. Each and every state has its own government to be governed and the ultimate governance is with the federal government. All the departments like, education, electricity, finance, transport, etc. have its own ministry. Education in Malaysia is governed by the Ministry of Education. It oversees the education departments established in all the states and federal territories in Malaysia. Moreover, it is governed by the Education Act 1996 (Samikkanu Jabamoney, 2018).

Like other countries in the world, the education system is divided into preschool education, primary education, secondary education, pre-university education and higher education. According to the Malaysia law, primary education is compulsory. As in many other ASEAN countries, Malaysia has standardized examinations (Bakri Musa, M. 2003).

Examinations are conducted according to the division of education system in Malaysia. The General Certificate of Education conducts academic qualification examinations. This examination is subject specific examination. The General Certificate of Education is composed of three levels which are based on the levels of difficulty. They are Ordinary Level ('O' Level), Advanced Subsidiary Level ('A1' Level or 'AS' Level) and Advanced Level ('A' Level). Of these levels, 'O' Level is for the school leaving 17 to 18 years old students. It is taken by all Form 5 secondary school students in Malaysia (Samikkanu Jabamoney, 2018).

Scoring in 'O' Level examinations is not an easy task. Students work hard to achieve grade 'A' in this examination.

## Statement of Problem

Teaching and learning is a process in the education. Usually teaching and learning takes place in a classroom situation. In a classroom learning context students from different knowledge backgrounds can be seen. Knowledge varies according to the students' competence. Considering the learning competence of the students, five levels of students can be distinguished in a classroom. They are excellent, potential excellent, medium, potential medium and critical level students. All the students need to work hard to score good grades (Samikkanu Jabamoney, 2018).

O level examination is essential in the Malaysian context in particular. It is not easy for the students to score distinction grades in 'O' level examination. Both the teachers and students dedicate and work hard to prepare for this examination. Most of the time, the students fail to score higher grades. Teachers themselves come out with various techniques and ideas to guide the students. But still they find it difficult to score good grades.

## Research Objective

The major objective of the study is:

To make the students to score higher grades in the 'O' Level examination using 'N' theory strategy.

## Limitation

The study is limited to Form 5 students from one of the secondary schools in Malaysia. Only 28 students, who fell within the medium and potential medium levels in the classrooms, were selected from the chosen secondary school for this study. Furthermore, only the past 15 years of actual 'O' level Biology question papers were used for this study.

## Literature Review

Literature review provides idea as how to go further with the present research work. It also allows the researcher to view the concept of the theory.

Robert R. Newton (1980) has done a research on M and F theories and he proposes what he believes is a more practical alternative.

There is a theory called as SYM theory. 'It is Supersymmetric Yang–Mills (SYM) theory and is a mathematical and physical model created to study particles through a simple system, similar to string theory.' But this doesn't relate with the 'N' theory mentioned by Shulman (2018). It is a notion theory which provides completeness to a frame work.

Moreover, 'N' theory is used in the field of Mathematics, Physics and Philosophy by other scholars. But it is never used as an education theory. Hence, the researcher has implemented the concept of 'N' theory in all the subjects to identify the progress of the students in their 'O' Level examination.

## Research Methods

The research is based upon the Experimental method.

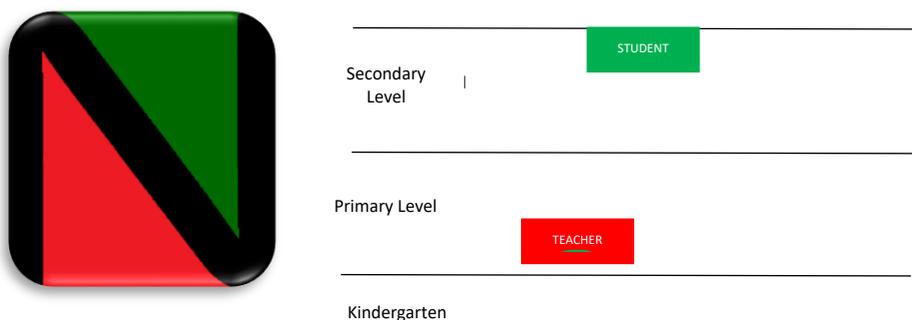
'The experimental method is a systematic and scientific approach to research in which the researcher manipulates one or more variables, and controls and measures any change in other variables.' (explorable.com)

Gay, L. R (1992) defines experimental method as, 'The experimental method is the only method of research that can truly test hypotheses concerning cause-and-effect relationships. It represents the most valid approach to the solution of educational problems, both practical and theoretical, and to the advancement of education as a science'.

This research is based on an experiment carried out with the students. 'N' theory strategy is implemented on two groups of students such as experimental group and control group. Through this experimental method past (old) real questions of 'O' level examinations are revised.

### Concept of 'N' theory

N theory is a part of string theory in the field of physics. Even 'N' is used as integer or any number in mathematics. The concept of 'N' theory is to form n category and to form structure of space and time. For this study the concept of 'N' theory is based upon the string 'N' and is given in Figure 1.



**Figure 1: 'N' Theory**

In the above given 'N' diagram, there are two colors namely red and green. The red indicates the teacher's role and green indicates the student's role. Moreover, there are 3 lines drawn which shows 4 levels of education system such as kindergarten, primary level, and secondary level and university level. As seen in the diagram, the role of the teacher will be more and students have fewer roles in the kindergarten and primary level. Whereas, at the secondary and university levels the role of the students will be more and teacher has fewer roles in the learning processes.

### RESEARCH TOOLS

Examinations were conducted before and after implementing the concept of 'N' theory, namely Pre-test and Post-test and these were used as research tools.

### Teaching Materials

The study area was confined only to the subject of Biology. Past 15 years of actual 'O' level Biology examination question papers were used as teaching materials. Teachers had to revise these past 15 years of 'O' level biology examination questions chapter wise, and prepare model question papers with answers. Such a preparation required the teacher to divide the question papers according to the nine chapters found in the Form 4 and six chapters in the Form 5 textbooks. In total there are 15 papers to be prepared by the teacher. All these papers are designed with sample questions with answers. The 'N' theory strategy was used as teaching method in this study, whereby the teacher's dominance was minimal.

The details of the chapter from Form 4 and 5 are given in the Table 1 (Gan Wan Yeat, 2005):

**Table 1****Form 4 and 5 Topics of Biology Subject**

CHAPTER	FORM 4	FORM 5
1	Introduction to Biology	<b>Transport Locomotion and Support Coordination and Response Reproduction and Growth Inheritance Variation</b>
2	Cell Structure and Cell organization	
3	Movement of substances Across The plasma Membrane	
4	Chemical Composition of the Cell	
5	Cell Division	
6	Nutrition	
7	Respiration	
8	Dynamic Ecosystem	
9	Endangered Ecosystem	

O level exam is based on 2 years of study i.e. Form 4 and 5. There are 3 parts of questions namely Part A, Part B and Part C. Table 2 shows the type of questions in the 'O' level examination (Gan Wan Yeat, 2005).

**Table 2****Structure of Biology 'O' Level Exam Paper**

Sl.No.	Part	Type of question	Total number of questions
1.	Part A	Objective	50
2.	Part B	Structure	5
3.	Part B	Essay	2

**Research Sample**

In total, 28 students from a secondary school were selected as sample for this study. Out of 28 students, 14 students each were selected as samples for the experimental and control groups. All the sample students belong to medium and potential medium from the secondary school classroom. Of these students only experimental group students were subjected to the 'N' theory strategy.

**Implementation**

The study was implemented on two groups of students such as experimental and control groups. Both the groups underwent mid-year examination in the secondary school and the results were taken as Pre-test results. After this, only the experimental group students were involved in the 15 week activities. These activities were based on the chapters in the biology textbook from Form 4 and 5. The students had to attempt all the questions based on the 15 chapters at the rate of one chapter per week for 15 weeks continuously. After attempting the questions, the students have to check their answers with the given sample answers. Based on the 'N' theory strategy, teacher's intrusion is avoided. The students on their own will look up for possible correct answers and explanations. Only when they are unable to understand, they seek the guidance of the teacher. Finally both the groups of students sat for the real 'O' level examinations. The results were published in the month of March 2018. The grades scored during the real 'O' level examinations were recorded as Post-test results. The details of the pre-test and post-test results are presented in detail.

**Results and Discussion**

The results of the study, pre-test and post-test results, are tabulated below for further discussion.

### Pre-test

Pre-test results that are gotten from the grades of the mid year examination for both the experimental group and the control group are given in Table 3 and Table 4.

#### Experimental Group

**Table 3**

#### Experimental Group's Pre-test Result

Grade	A+	A	A-	B+	B	C+	C	D	E	F	Total
Total No of students	0	0	1	0	0	0	1	2	3	7	14

A+, A, A- Distinction  
 B+, B, B- Strong credit  
 C+, C, C- Credit  
 D, E No credit  
 F Fail

A total of 14 students were involved in the experimental group. Out of 14 students only one student scored A- grade and no one scored B. Further, 1 student scored C, 2 students D, 3 students E and 7 students scored F grade respectively.

#### Control Group

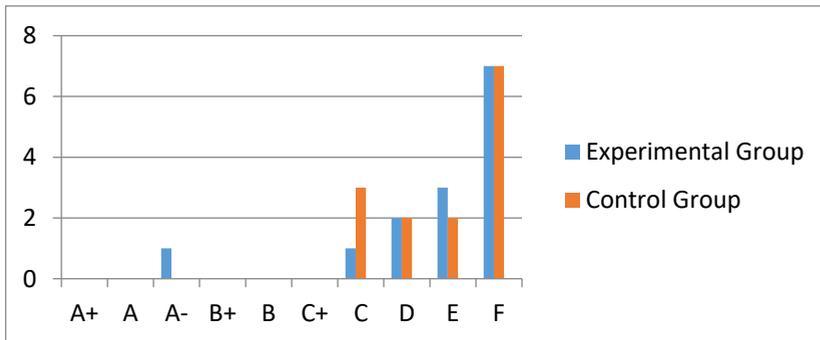
**Table 4**

#### Control Group's Pre-test Result

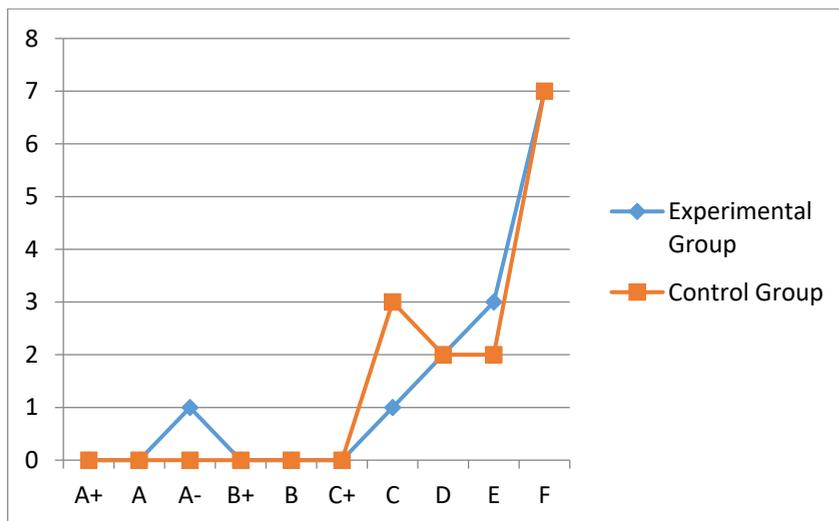
Grade	A+	A	A-	B+	B	C+	C	D	E	F	Total
Total No of students	0	0	0	0	0	0	3	2	2	7	14

A total of 14 students were involved in the control group. Out of 14 students 2 students scored C, 2 students D, 2 students E and 7 students scored F grade respectively.

The study identifies that 7 students have scored F grade in both the groups and remaining 7 students have scored lower grades except one in experimental group. This can be seen clearly in the following chart and graph. It is evident from the pre-test results that both the experimental and control groups received similar results.



**Chart 1: Pre-test Result of Experimental and Control Group**



**Graf 1: Pre-test Result of Experimental and Control Group**

**Activity for Experimental Group**

In the pre-test only one student scored 'A' grade and no one scored 'B' grade. In this context 'N' theory strategy was implemented. All the 14 students involved were to discuss and revise the previous 15 years 'O' level real question papers. All the 15 years questions were divided according to the chapters found in the Form 4 and 5 textbooks.

In total, there are 15 chapters in the Form 4 and 5 textbooks. Questions related to these 15 chapters are divided and revised in 15 weeks, i.e. the students revised one chapter questions in a week. This activity went on for 15 weeks to complete all the chapter questions.

**Post-test**

After the completion of the 15 weeks activities, both the group of students sat for the year-end 'O' level Biology paper. Their results were collected as post-test results when the results were announced in March of the following year. The results are tabulated in Table 5 and Table 6.

**Experimental Group**

**Table 5**

**Experimental Group's Post-test Result**

Grade	A+	A	A-	B+	B	C+	C	D	E	F	Total
Total No of students	1	0	0	3	3	3	4	0	0	0	14

In post-test, 14 students were involved in the experimental group. Out of 14 students one student scored A+ grade, 3 scored B+ and 3 scored B grade. Further, 4 students scored D and no students scored F grade.

**Control Group**

**Table 6**

**Control Group's Post-test Result**

Grade	A+	A	A-	B+	B	C+	C	D	E	F	Total
Total No of students	0	0	0	0	0	0	4	6	1	3	14

14 students were involved in the control group of post-test. Out of 14 students, 4 students scored C+ grade, 6 scored D, 1 scored E grade and 3 students scored F grade.

The study identifies that all the students of experimental group have scored distinction, strong credit and credit respectively whereas the students from control group have scored only C, D, E and F grades. This shows that the experimental group who underwent the revision of past 'O' level questions through 'N' theory strategy has improved their grades compared to the control group. This can be seen clearly in the following chart and graph.

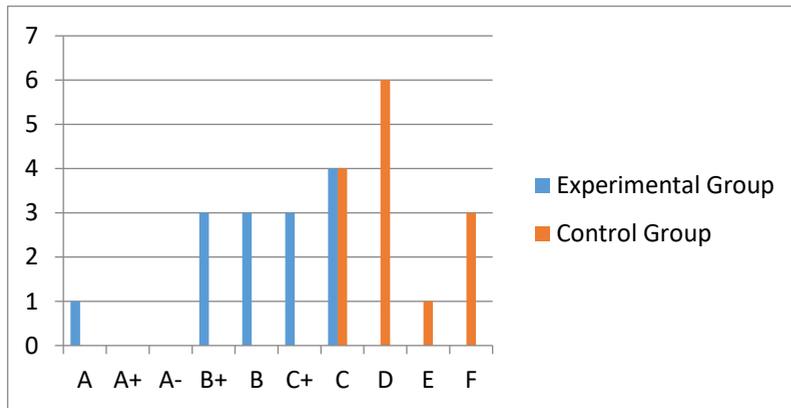
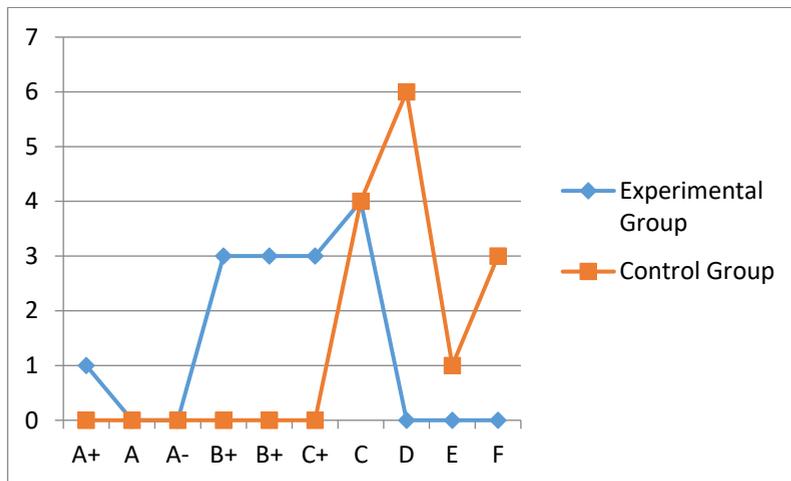


Chart 2: Post-test Result of Experimental and Control Group



Graf 2: Post-test Result of Experimental and Control Group

## Discussion

The researcher used the 'N' theory strategy in between the Pre-test and Post-test for 15 weeks to provide activities for the students of the experimental group. The results of pre-test and post-test of the experimental group have differed according to the grades scored by the individual student. It can also be noticed that post-test results are better when compared with the pre-test results. This is because of the implementation of the strategy of revising the 'O' level questions of past 15 years using 'N' theory among the students for 15 weeks. It could also be argued that if such a result could be produced, using

the 'N' theory strategy on students belonging to medium and potential medium category, excellent results can be gotten for the top-notch students by applying the same.

### Conclusion

This study was aimed at the students scoring higher grades in the in the 'O' Level examination using the concept of 'N' theory. The results of the pre-test and post-test clearly pictures the improvement of scoring grades from fail (F) to distinction (A+). The researcher has identified that the 'N' theory strategy really worked well within the students of experimental group in this research. No doubt, the students who use 'N' theory can score higher grades in the 'O' Level examinations. Hence, the researcher recommends to implement the 'N' theory strategy among the Form 5 students to score higher grades in their 'O' level examination.

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## Influence of Foreign Direct Investment Inflows on Albanian Exports Through An Econometric Analysis.

**Lorena Çakëri**

Phd candidate

Department of Finance

University "Ismail Qemali" Vlorë, Albania

### Abstract

Over the years, Albania has seen foreign direct investment as vital to the economic development of the country due to the many expected positive effects. One of the most important effects of foreign direct investment in the host country is the positive impact on the development of international trade, particularly on exports, in their quantitative and qualitative growth. This effect is in fact very important because export is one of the most important pillars of economic growth in different countries. Albanian governments have liberalized trade and investment policies over the years. This fact is reflected in the growth of foreign direct investment flows and exports over the years. The purpose of this paper is to investigate through an econometric analysis the impact of foreign direct investment on the level of export of goods and services. The data used are secondary data published by serious and specialized institutions in the collection and processing of data such as World Bank, Unctad.

**Keywords:** *foreign direct investment, international trade, exports, OLS method*

### Introduction

Over the years, foreign direct investment in Albania has been increasing. This is due to the fact that the Albanian state has always increased its efforts to attract as much foreign direct investment as possible. In recent years, Albania has been one of the main Western Balkan economies for foreign direct investment inflows. In the period 2008-2016, the average value of inflows of foreign investments was nearly \$ 1 million. In fact, foreign direct investment has played an important role in Albania's economic growth, especially over the last few years. Foreign direct investment has also helped boost Albania's international trade, as one of the key sectors where investments are focused foreign trade is trade. In Albania, after the 1990s, foreign trade has experienced significant changes. These changes have aimed at liberalizing trade. Foreign trade is vital for small countries like Albania. For this reason, Albanian governments over the years have been focusing on facilitating international trade to provide export development. In fact, export is one of the pillars of economic development for many countries. And Albania in order to build a sustainable growth pattern should increase export's contribution to economic growth. Theoretically, foreign direct investment can help escalate economic development. That is why policy-making is needed to focus on investment growth and trade liberalization.

#### 1. The link between foreign direct investment and international trade, especially with exports.

Foreign direct investment and international trade thanks to the phenomenon of globalization have become very close to each other. If, by the 1980's, international trade was the one that generated foreign direct investment, then the situation is different. Foreign direct investment has already had a significant impact on the development of international trade. The trade realized by the multinationals themselves within them has grown steadily<sup>1</sup>(Fontagne 1999). The link between foreign direct investment and international trade is complex. Both of these variables are of particular relevance to the economic development of different countries. However, broad literature presents two different causal links between variables. The first link looks at foreign direct investment and international trade as complementary to one another. While another point of

<sup>1</sup> Fontagné, L. (1999),

view shows a substitution relationship between two variables (Simionescu 2014). There is no unified view of whether the business sees foreign direct investment and trade as two different ways to penetrate into new markets or whether one foreign exchange entry eliminates the other. The vast majority of recent theoretical and empirical literature speaks of a complementary relationship (Martinez, Bengoa, Sánchez-Robles, 2012). Their empirical findings shows that foreign direct investment and international trade helps develop each other. What has been noted is that foreign direct investments and international trade have shown similar performance, both in their growth periods and in the case of sensitive falls, especially after the global financial crisis of 2008.

The link between foreign direct investment and international trade as a substitute between them is in fact earlier. First that theoretically formulated this link between these two variables was Mundell .Al justified this substitution relationship between them influencing trading costs(Mundell 1957).

Even the indicators of this international production already realized through foreign direct investment have recognized growth over the years

Table 1. Indicators of foreign direct investment and international production ,

Item	Value at current prices (Billions of dollars)				
	1990	2005-2007 (pre-crisis average)	2014	2015	2016
FDI inflows	205	1 426	1 324	1 774	1 746
FDI outflows	244	1 459	1 253	1 594	1 452
FDI inward stock	2 197	14 496	25 108	25 191	26 728
FDI outward stock	2 254	15 184	24 686	24 925	26 160
Income on inward FDI <sup>a</sup>	82	1 025	1 632	1 480	1 511
Rate of return on inward FDI <sup>a</sup>	4.4	7.3	6.9	6.2	6.0
Income on outward FDI <sup>a</sup>	128	1 101	1 533	1 382	1 376
Rate of return on outward FDI <sup>a</sup>	5.9	7.5	6.4	5.7	5.5
Cross-border M&As	98	729	428	735	869
Sales of foreign affiliates	5 097	19 973	33 476	36 069 <sup>b</sup>	37 570 <sup>b</sup>
Value added (product) of foreign affiliates	1 073	4 636	7 355	8 068 <sup>b</sup>	8 355 <sup>b</sup>
Total assets of foreign affiliates	4 595	41 140	104 931	108 621 <sup>c</sup>	112 833 <sup>c</sup>
Exports of foreign affiliates	1 444	4 976	7 854 <sup>d</sup>	6 974 <sup>d</sup>	6 812 <sup>d</sup>

Source :Unctad, World investment report 2017.

Foreign direct investment has many positive effects on the economies of the host countries. One of the effects sought by the governments of these countries is the positive impact on the growth of exports. Exports are very important for countries' economic growth. Exports have the ability to influence economic growth as exports are one of the components of aggregate demand. Their growth would bring aggregate demand growth, thus driving in economic growth (Awokuse 2003;Ucan, Akyildiz, and Maimaitimansuer 2016). Numerous studies support the idea that foreign direct investments help increase exports and thus, by stimulating exports to the host country, they play a decisive role in the economic growth of these countries. Foreign direct investment has the ability to increase exports to the host country, even more than domestic capital(Prasanna 2010)

Foreign direct investment affects the exporting capacity of the host countries in two ways. Firstly, the host country experiences an increase in exports as multinational companies themselves are integrated in the global trade networks and especially in the case of vertical fdi , they export most of the produced product. But also foreign direct investment has the ability to influence decisions to export of domestic firms, thus increasing their exports. Foreign investors can increase the exporting capacity of the host country as they affect the improvement of export products of domestic companies. (Bajgar and Javorcik 2017).

## 2. Importance of international trade in Albanian economy

In Albania, after the 1990s, foreign trade has experienced significant changes. These changes have aimed at liberalizing trade. Foreign trade is vital for small countries like Albania. For this reason, Albanian governments have been focusing on international trade facilitation over the years. International trade has an important role in the economic growth of different countries. Over the last few years, exports have increased their contribution to the creation of gross domestic product.

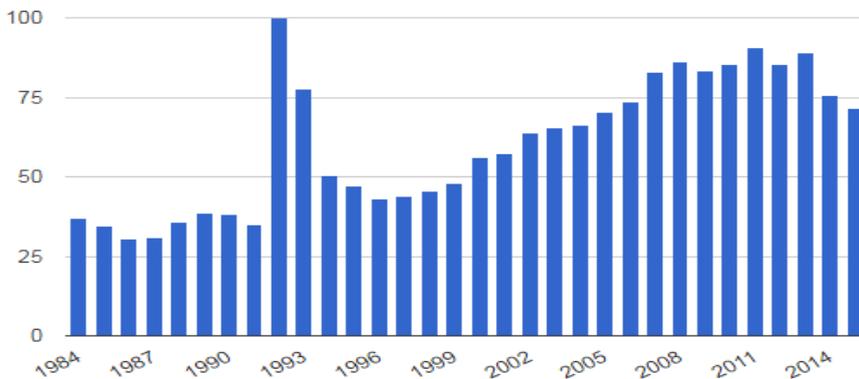
Table 1. Data on Albanian economy <sup>1</sup>

	2012	2013	2014	2015	2016	2017
Economic Growth (GDP, annual change in%)	1.4	1	1.8	2.8	3.4	3.8
Composition						
Consumption	0.1	1.4	2.5	-1	0.9	1.1
Investment	-2.8	-0.6	-1.2	2.9	2.8	2.5
Exports Net	4.7	-1.6	-2.1	0.8	-0.5	-0.1
Exports	-0.4	-7.2	0.9	-0.1	1.6	3.2
Exports (% of GDP)	15.4	17.6	9	8.3	7	6.9

Source: INSTAT, Bank of Albania, World Bank.

For Albania, the importance of trade openness has become vital since the beginning of the journey towards a free market economy. Since 1990, foreign trade has been liberalized. This liberalization process required the regulatory framework to comply with European Union standards. Albania has always been striving to achieve this goal. In June 2017, the new Customs Code improved, in line with the requirements of the European Union. This is an important step in improving the business climate, reflecting on reaching the 65th place in the report of doing business 2018. Years ago Albania was ranked as far as 20 countries. Albania generally has no prohibitive procedures for exports and imports, except in the case of special goods such as military products, radioactive materials, etc.<sup>2</sup>

Chart 1. The performance of the trade opening indicator for Albania



Source :[https://www.theglobaleconomy.com/Albania/trade\\_openness/](https://www.theglobaleconomy.com/Albania/trade_openness/)

Albania ranks 96th in its world-wide level of openness for 2015, according to estimates made by the world bank. Macedonia ranks many times better in 32nd place, Montenegro in 47th place.

For the easing of international trade, Albania has signed many signed trade agreements. These agreements aim at increasing the trade volume of products and services and increasing investment<sup>3</sup>

Central European Free Trade Agreement (CEFTA)

<sup>1</sup><http://pubdocs.worldbank.org/en/521981474898709744/SEE-RER-Report-Fall-2016.pdf>

<sup>2</sup> [aida.gov.al/faqe/marveshjet-tregtare](http://aida.gov.al/faqe/marveshjet-tregtare)

<sup>3</sup> [aida.gov.al/faqe/marveshjet-tregtare](http://aida.gov.al/faqe/marveshjet-tregtare)

This is a multilateral agreement between Albania, Macedonia, Montenegro, Kosovo, Moldova, Croatia, Serbia and Bosnia and Herzegovina. AC entered into force on 19 December 2006.

#### Agreement with the European Free Trade Association (EFTA)

This agreement signed in the year aims at creating a free zone between Albania and the member states of EFF, Iceland, Switzerland, Norway and Liechtenstein.

#### Free Trade Agreement with Turkey

This agreement entered into force in 2008. This agreement affects the growth of the industrial sector in Albania as it does not apply the aurora for industrial products exported to Turkey from Albania.

#### GSP programs

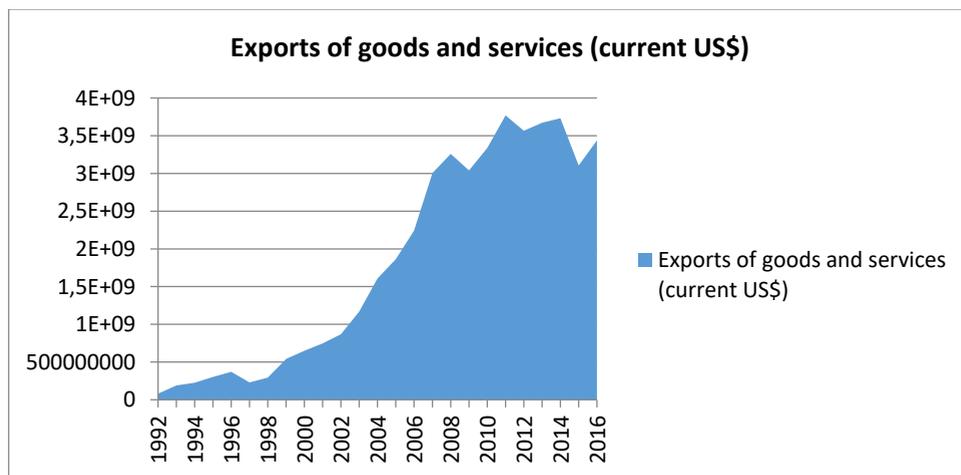
This program has a potent impact on the development of export-oriented products, as it does not apply tax incentives for a number of Albanian exported products to the United States.

### 3. Export performance

Importance of exports to the economic development of different countries is in fact indisputable. Exports help boost growth, boost employment, develop the competitive advantages of different countries. Also exports themselves make it possible to develop the structure of the economy by developing sectors that require skilled jobs and capital. The development of investments and exports is now indispensable for Albania. The current development model is mainly based on consumption, and this model exhibited its weaknesses during the financial crisis. In this way, exports also help reduce production costs through their positive impact on the flow of new and innovative technologies that are now indispensable for firms to become part of a global trading network, making products more qualitative <sup>1</sup>

If we look at the export performance over the years, what we notice is that exports in total value have been growing. This fact is very important as it implies that Albania has taken a road to long-term and sustainable development. This overall positive performance is a consequence of all policies undertaken to improve and facilitate trade.

Graph.2 Exports of goods and services (current US\$)



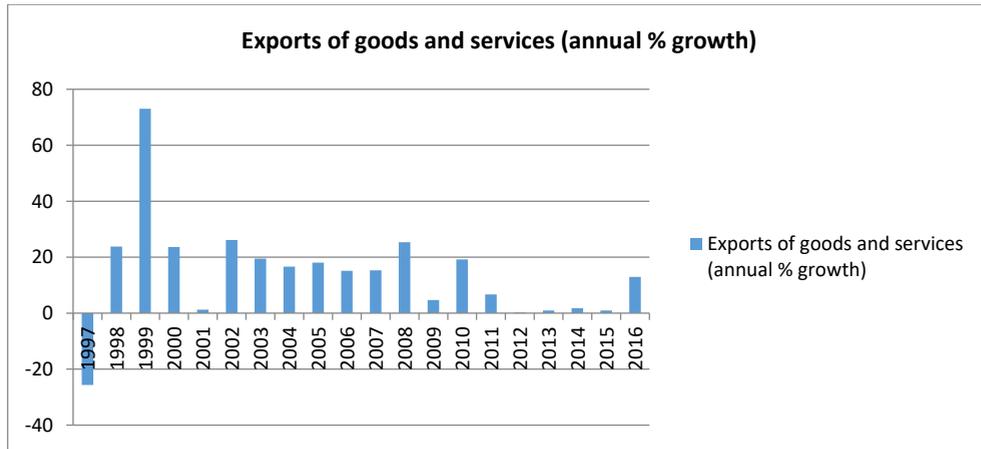
Source: World Bank <https://data.worldbank.org/indicator/NE.EXP.GNFS.CD?locations=AL>

Another important indicator of export performance is the rate of change over the years. This indicator is in fact of particular importance as it enables us to understand how the competitiveness of Albanian exports has changed over the years. In fact, up until 2001 this indicator has shown great variability, as a consequence of the turbulent political situation which has

<sup>1</sup> <http://www.doktoratura.unitir.edu.al/wp-content/uploads/2015/10/Doktoratura-Holta-Kora-Fakulteti-Ekonomise-Departamenti-i-Ekonomiksit.pdf>

experienced Albania and the western Balkan region over these years. Between 2001 and 2008, changes in the rate of growth of the expeditions have been narrower. Exports in 2010 to 2015 have shown a performance of their often negative growth. This fact is also dedicated to the financial crisis of the European Union countries, which are also the main trading partners for Albania. Exports in 2017 increased by 13.7% compared to 2016, mainly due to increased export services. Also, exports increased. . Compared to January-April 2017, exports increased by 16.8% in 2018. The main items were "Construction Materials and Metals", "Textiles and Shoes", "Minerals, Fuels, Electricity"<sup>1</sup>

Graph 3. Exports of goods and services (annual % growth)



Source: World Bank <https://data.worldbank.org/indicator/NE.EXP.GNFS.KD.ZG?locations=AL>

#### 4. Methodology

The data used in this paper are secondary data. These data have been published by serious institutions in the processing and publication of this type of data. The econometric models used in this paper aims to investigate whether the inflows of foreign direct investment inflows in Albania affect the level of exports.

The hypothesis tested in this paper is as follows:

#### H1: Foreign direct investment and exports are positively correlated

The relation between the export and the inflows of foreign direct investments is presented in a functional form as follows:

$$EXP = f(FDI)$$

EXP – Export of goods and services

FDI - inward flow of foreign direct Investment

The valuation technique used to measure the impact of foreign direct investment on the level of exports is the least-least-squares (OLS). The regression equation to be applied to the OLS technician is as follows:

$$EXP = a + b_1 FDI + e_i$$

Where :

EXP – Export of goods and services (in Current US\$)

a - Constant

B1 - Regression parameters

<sup>1</sup> <http://www.instat.gov.al/media/4040/tregtia-e-jashtme-prill-2018.pdf>

FDI –Foreign direct investment inward flow (Millions of dollars)

e- is the random error term

**Table 2: Data on inflows of foreign direct investments and exports in the period 1992-2016.**

Years	FDI inward stock,(Millions of dollars)	FDI inflows(Millions of dollars)	Exports of goods and services (current US\$)
1992	20	20.0	81519209.68
1993	88	68.0	189399541.5
1994	141	53.0	225407481
1995	211	70.1	302465325.4
1996	301.1	90.1	371128296.1
1997	348.7	47.5	229987998.6
1998	393.7	45.0	293568702
1999	434.9	41.2	540103549.6
2000	246.8	144.3	648940336.6
2001	327	206.4	748461645.6
2002	360.2	133.1	869225487.8
2003	482.9	177.1	1169843190
2004	836.6	345.7	1608022160
2005	1020.4	264.3	1862113161
2006	1392	324.4	2242225040
2007	2693.3	658.5	3005295932
2008	2868.5	974.3	3259292016
2009	3257.8	995.9	3040048180
2010	3254.9	1 050.7	3337098456
2011	4399.1	876.3	3769483126
2012	4303.3	855.4	3565036059
2013	3930.7	1 265.5	3671617045
2014	4295.4	1 110.0	3732081775
2015	4336.5	945.3	3104918356
2016	4985.2	1 099.9	3437166961

Source:Unctad , <http://unctad.org/en/Pages/DIAE/World%20Investment%20Report/Annex-Tables.aspx>

World Bank. <https://data.worldbank.org/indicator/NE.EXP.GNFS.CD?locations=AL>

### Results and discussion

The outcomes of the model which presents the impact of foreign direct investment inflows on the level of exports are presented below.

Variable	Parameter	Standard Error	t-Statistic	Probability >  t	Upper Tail	Lower Tail
FDI	0.9148	0.0000	328.67	0.0000	0.0000	0.0000
Exports	0.0000	0.0000	0.0000	1.0000	0.0000	0.0000

The model itself is reliable because Prob > F = 0.0000 is less than 0.05. We see that Adj R-squared = 0.9148. This indicates that 91.48% of the Export variation is explained by Fdi. And FDI is an important factor because  $P > |t| = 0.000$ , it is therefore less than the level of importance 0.05. According to the econometric analysis in Albania, FDIs positively affects the export level.

### 5. Conclusions

Foreign direct investments are important for host countries as they help the economic development of host countries. One of the most positive effects of direct investment especially for small countries such as Albania is the positive impact

on international trade and especially on the growth in exports of goods and services. Numerous studies support the idea that foreign direct investments help increase exports and thus, by stimulating exports to the host country, they play a decisive role in the economic growth of these countries.

Albania has paid attention to the liberalization of trade and investment policies. This liberal attitude is reflected in the growth of inflows of foreign direct investment and export levels. After analyzing the data collected from the publications of the World Bank and Unctad Bank, the empirical assessment of the paper shows that the inflows of foreign direct investment have a positive impact on the level of goods and services in Albania. In conclusion of this analysis we can conclude that the Albanian state should pay attention to improving the investment climate in the country in order to benefit from the positive effects of foreign investors in Albania.

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## An Evaluation of Urban Open Spaces in Larisa, Greece

**Charalampos Kyriakidis**

Ph.D. Candidate, Urban & Regional Planner, Transportation Engineer, Sustainable Mobility Unit- Department of Geography & Regional Planning, National Technical University of Athens

**Efthimios Bakogiannis**

Transportation Engineer & Urban Planner, Ph.D., Sustainable Mobility Unit- Department of Geography & Regional Planning, National Technical University of Athens

### Abstract

A great deal of researchers elaborated on the importance of the urban spaces and human life. Urban spaces are necessary types of spaces for a city and they have a timeless value. This research is focused on people's perception about urban spaces in Larisa, Greece, a medium-sized city selected as case study. An electronic questionnaire survey was conducted and conclusions are drawn on how adequate are the urban spaces in Larisa. Moreover, people are asked to propose ideas on how other spaces, function more as urban gaps, can be integrated on the urban grid. In that way, it is easy to study what people believe about the city's life and how the existing urban spaces function. Some conclusions derived from this research can be also useful in succeeding a combined traffic and urban planning in other Greek, in the context of the implementation of a Sustainable Urban Mobility Plan (SUMP).

**Keywords:** urban spaces, urban gaps, evaluation, questionnaire survey, Larisa.

### Introduction

Urban spaces, from ancient times (Rubenstein, 1992) up to the present day, are a key element of cities. Their role has always been important since it was multidimensional as it served a sequence of functions. These functions, according to some researchers (Stefanou and Stefanou, 1999; Ghel, 2006; Kyriakidis and Siolas, 2014) are the result of the morphology of urban spaces while according to others are the parameters that organize and configure these spaces (Moughtin, 2003; Merleau-Ponty, 1962).

Regardless of the point of view, the study of the function of urban spaces is necessary due to the fact that the public spaces of cities, which are the majority of urban areas, have been described as decadent (Loukaitou-Sideris and Banerjee, 1998; Sarigiannis, 1999). The meaning of the function of urban spaces can arise through research at various scales, such as: (a) microscopically: recording static activities that occur in public spaces and recording the number of pedestrians passing through them in order to identify the activities that are being developed in public spaces, recording the frequency of their repetition and investigating the relationship between physical characteristics of the site and the actualization of the respective activities, (b) macroscopically: recording the frequency of use of specific urban areas and identifying the time frame for visiting these sites, studying -at a city level- the satisfaction of residents from urban areas of the city and exploring urban gaps and the desirable way of deploying them, based on citizens' opinion.

The issues that are listed above, make it possible to understand the fact that for a proper study of social life in urban spaces and to comprehend the degree of satisfaction of the public by these spaces and their degree of success, it is necessary to use a series of methodological tools, such as observation and interviews (Lynch, 1960; Whyte, 1980; Mehta, 2009; Kyriakidis, 2016), flaneuring, photography (Kyriakidis, 2016) or short videos (Whyte, 1980) and questionnaire survey.

The combination of the above methods is partly based on the idea of methodological triangulation, which is a practice that is being implemented in the sciences that are related to the study of human behavior (Teddie and Tashakkori, 2011). However, in case of studying the issue that is being described above, due to the range of the subject, the use of various methods approaches to greater degree the view of Yeasmin and Rahman (2012) which defines that it takes place in order to understand the different dimensions of a phenomenon, since the subject of research is interdisciplinary.

Based on the above mentioned, this research paper focuses on recording the degree of satisfaction of residents from the existing urban areas in Larisa, a greek medium-sized city, used as a case study.

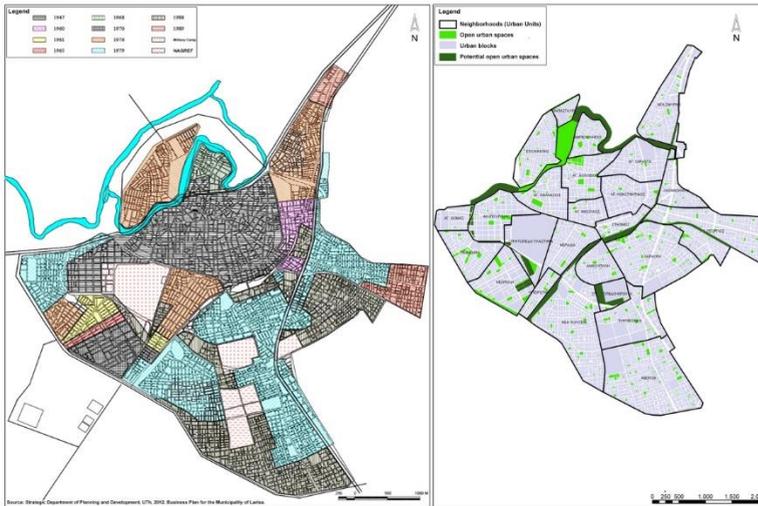


Figure 1. a. Larisa expansion over the years. B. Existing and potential urban open spaces in Larisa. Source: a. Strategic Business Plan for the Municipality of Larisa. (2012). b. Barberis, A. (2007).

### Methodology

This research paper is related to Larisa, a medium-sized Greek city (143,848 residents / 2011), which is a typical example of a city with intense urban life, for most of the 24 hours a day (Kyriakides, 2016). The survey was based on a questionnaire survey, conducted electronically from May 2018 to June 2018. The questionnaire contained 15 closed-ended questions or rating scale questions. Social media have been also used in order to inform the public. Overall, 83 residents of Larisa participated in the survey, men (54.2%) and women, 26 to 35 years of age in the majority (50.6%). Most of them are graduates either from Technological Educational Institutes or from Higher Education Institutions with an area of study in engineering (25.6%) and human sciences (23.2%).

It is worth mentioning that the questionnaire design was based on the results from recording of urban areas of the city and their quality, through a field research that was preceded. In addition, data that generated by press clipping concerning the problems of different urban areas and the intentions of local authorities relating to them have also been used.

The findings of the survey about the degree of satisfaction that urban areas offer are specifically related to Larisa and cannot be generalized in other cities. However, through the survey, suggestions are made for the use of potential urban areas, a fact that can be generalized in similar cases, as with this way it: (a) identifies the reasons that make some areas potentially urban, (b) formulates ideas for the uses that these areas could have and (c) expresses the importance of space management and by whom. These issues are important and relevant to the planning that is being implemented in all Greek cities.





Figure 2. Potential (In terms of design) open urban spaces in Larisa. Figure 2o is the only exiting one. Source: Google Street View.

### Discussion with citizens

Larisa is a medium-sized town located approximately in the geographical center of Greece. Since prehistoric times, its center is the Fortress Hill, and a large part of the central area consists of urban spaces. There is also a large number of urban spaces in the other central areas and neighborhoods of the city, since Larisa had been expanded considerably in the twentieth century (Figure 1a). Squares, green spaces, parks and roads, large or small in width, are among the urban areas of the city.

How adequate are the urban spaces in Larisa?

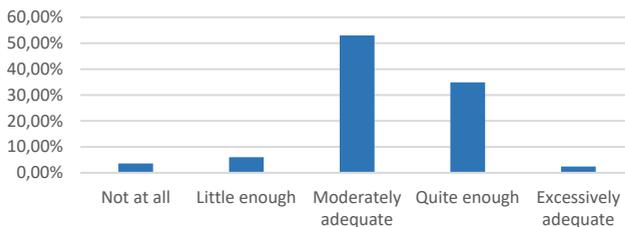


Figure 1b illustrates the urban open spaces and green spaces in Larisa, which are emphasized in the context of this survey. Emphasis is also placed on some other areas that have been criticized as dysfunctional or urban gaps (Figure 1b). As can be clearly seen from Figure 1b, urban areas of Larisa are almost evenly distributed in the city, with most of the urban open spaces being situated in the northern and western parts of it. This means that the residents of Larisa are expected to be satisfied due to the adequacy of the existing urban areas of the city. However, in the questionnaire survey, 53% of respondents hold a neutral stance, with only 37.3% of the respondents considering the existing sites as satisfactory in terms of their configuration and adequate in number (Diagram 1). Although in Larissa, there are four large green areas (riparian area in the city center, Alcázar Park, Hatzichalaar Park and the Aesthetic Park); however, the majority of respondents believe that green is the missing element of urban areas of the city (72.1%). Actually, the absence of green, may be a cause that 36.1% does not use as much as they would like the urban areas of the city (Diagram 2). This interpretation may also be related to the fact that most of the residents choose the urban areas of the city center (60.2%) and not the ones of neighborhoods (39.8%), although the neighborhood squares are the main public spaces of neighborhoods.

How often do you visit open spaces in Larisa?

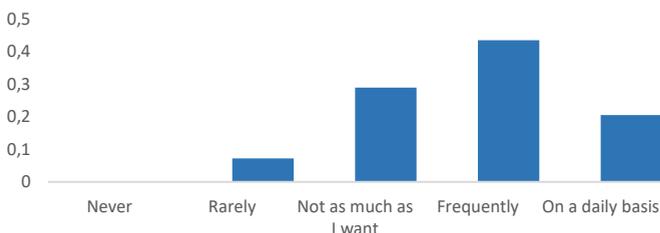


Diagram 1. How adequate are the urban spaces in Larisa? 53% of respondents hold a neutral stance, with only 37.3% of the respondents considering the existing sites as satisfactory in terms of their configuration and adequate in number. Source: Own elaboration.

Diagram 1. People in Larisa prefer to visit open spaces, quite often. However, the absence of green, may be a cause that 36.1% does not use as much as they would like the urban areas of the city. Source: Own elaboration.

In the framework of the same survey, respondents were asked to give their opinion on a number of sites, such as (Figure 2):

- the riparian zone outside the city center, which is not part of the urban fabric. This certain area is unformulated but lies within the urban area, in the northern and eastern parts of the city and today it acts as a boundary between two districts (Agiol Saranda and Nea Smyrni). It is worth mentioning that the General Development Plan for the Municipality of Larissa (2009) predicts the configuration of this area as green spaces and sports facilities.
- the railway line in the south-eastern part of the city, according to Kevin Lynch's (1960) theoretical approach, acts as a functional boundary between the northern and southern parts of the city, as well as the western and the central with the eastern. Actually, the area that covers in the southern part of the city is important, given the presence of a depot and several rail lines. Along the urban section of the railway lines many fatal incidents have occurred. A typical case was the incident with victim a child 10 years old in November 2017 that triggered social reactions (Iefimerida, 2017), and was the reason for discussions in the Hellenic Parliament about the undergrounding of the railway line (Mavroyiannis, 2017) a suggestion that had been proposed by Larisa Strategic Business Plan (2012).
- the military camps, which have occasionally been attempted by the municipality of Larissa for the concession of army land for the purpose of creating urban spaces and the construction of public land. In this context, spaces of the 1st Army were granted for the opening of a road and the construction of a primary school. In September 2017, there was also the question of granting important land within the city for exploitation by the municipality (Kakaras, 2017). Like the issue of underground railway lines, the removal of the camps was also proposed by Larisa Strategic Business Plan (2012). According to the General Development Plan for the Municipality of Larissa (2009), planning for the relocation of a camp from the area within the project is required to meet the green needs.
- the Hatz-chalaar Moat –located close to the Bazaar area that is used only a few days within the year-, for which integration into the city was declared an architectural competition in 2008. Although a part of the planned regeneration was implemented resulting in the construction of a park, a large part of the area was left untapped and today it is a vacant area most of the time, is an informal parking area.

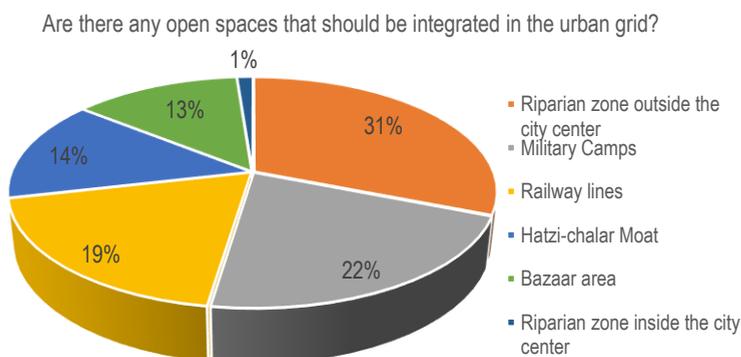


Diagram 3. The most important open space that should be integrated in the urban grid is the riparian zone, outside the city center. Source: Own elaboration.

Of the above sites, the riparian zone outside the center was assessed as the most important untapped area (31%) (Diagram 3), because they consider it to be an area of natural beauty, but due to the fact that it has not been shaped (41%), it also cannot be exploited. However, there were many respondents who evaluated as significant the use of some military areas (21.4%) and the surface of the railways in the city (19%) (Diagram 3). The above answers were motivated by the fact that

the aforementioned sites create problems in the neighborhood communication (25.3%). In order to make better use of the above areas, in the majority of cases (50%), respondents asked for green spaces to be created. The paradox is that although the number of cafes in Larisa is big (1,674 cafes, 2014) (Iefimerida, 2014), 19% of respondents suggested the development of new recreation areas (Diagram 4). The proposal for the creation of urban vegetable gardens was proposed by only 8.3% of respondents, obviously, for the integration of the undeveloped riparian zone (Diagram 4).

What do you think better in order for the open space to be integrated in the urban grid?

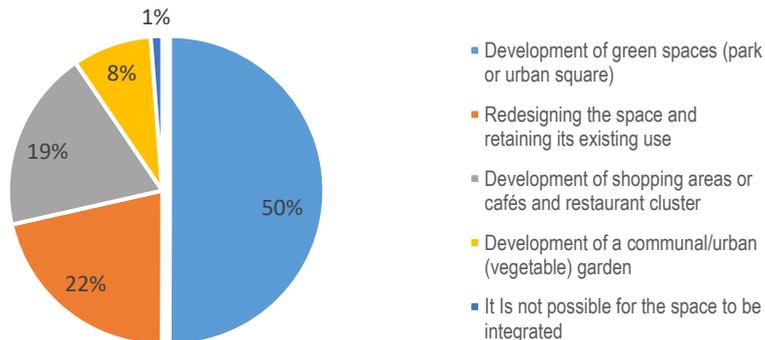


Diagram 3. The most important open space that should be integrated in the urban grid is the riparian zone, outside the city center. Source: Own elaboration.

80.9% of respondents believe that the development of a new urban park would greatly encourage the use of the aforementioned sites, with a primary positive impact on citizens being the improvement of the quality of life (63.4%). 24.4% of respondents believe that through such an intervention, the urban landscape of the city will improve, which will help to attract investment, a fact that is theoretically supported (Gospodini, 2002; Gospodini, 2006; Kyriakidis and Siolas, 2013; Athanasopoulou and Giannakopoulos, 2018).

Finally, it was considered appropriate to identify the attitude of the inhabitants to the management of a new urban park. This issue has been studied in the international bibliography (Martin, 2013; Kyriakidis and Siolas, 2014; Han, Hawken and Williams, 2015; Khairi, et.al., 2017) and has become relevant in the context of an effort to upgrade such several sites, such as Pedion Areos and Tritsi Park in Athens. The questionnaire survey revealed that 63.1% of respondents are positive in setting up a management body to ensure the high quality maintenance of the site. In fact, 54.5% of them agree with the management of the space by a private individual, although the sites in question are expected to be common. In this way, it is noted that the public character of the urban space does not need to be based on property or management issues, but it should be more closely related to how it operates and the people who can use it.

Summarizing the above, we can conclude that although the existing urban areas in Larisa partially satisfy their inhabitants, there is room for further exploitation of areas where urban green can play a dominant role. The general change in the lifestyle of the past few years, to outdoor recreation and sports, degrading entertainment in cafes and restaurants, is also obvious in the case of Larisa, as shown by this questionnaire survey. In this context, the development of open public urban spaces tends to be one-way street for the best satisfaction of the modern needs of its inhabitants.

### Conclusions

Although the use of open public urban spaces has been the focus of criticism for several times, since these spaces have been considered as decadent, for different reasons in different areas, their role is nevertheless considered to be indisputable, especially in European cities, which have been historically developed around such areas and until nowadays are their hearts. In this context, this paper explores the extent to which the residents of Larisa are satisfied with the existing urban spaces. As it emerged, although the existing urban areas in Larisa partly satisfy its inhabitants, there is room for: (a) aesthetic improvement of existing sites; and (b) creation of new urban spaces. The implementation of the Sustainable Urban Mobility Plan (SUMP) of Larisa as well as the urban regeneration projects funded by the NSRF in the framework of the Integrated Spatial Investment of ISI-SUD, at this time, is expected to contribute significantly to the improvement of the image of urban areas and mostly of the existing urban areas. However, these circumstances can be used to extend the city's recreation networks, while creating green paths.

In this sense, the above questionnaire survey revealed that in Larissa, nowadays, there are spaces that by being unformulated or by restricting the access of the public to them, they act as limits for the communication between neighborhoods of Larisa and prevent their further exploitation and viewing of the city. Such linear spaces are the riparian zone outside the city center, which can act as a backbone for the development of green path networks. The combination of a corresponding green route along the railway lines can achieve the development of a green ring around the center, thus giving all residents equal access to high-quality green areas for mild recreation and sports. Such interventions can be examples of planning in other Greek cities as well. Actually, the integration of such interventions in the context of the SUMP projects implemented in Greek cities can contribute to the achievement of unified planning in the context of policies for a solid and sustainable city.

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## Monetary Policy, Exchange Rate and Capital Flows

Ilira Pulaj (Phd. Student)

Department of Economics / University "Ismail Qemali" of Vlora / Vlorë, Albania

### Abstract

Over the last few years, however, it has been increasingly questioned whether exchange rate flexibility alone is a sufficient condition for monetary policy independence. Mundell-Fleming's trilemma says policymakers have to face the opposite link where they should choose two out of three policy choices; independence of monetary policy, exchange rate stability and financial openness. The trilemma shows us the reasons why countries are moving out of the middle exchange rate regimes and are heading to extreme regimes. The trilemma will appear after the end of the global crisis. Greater flexibility of the exchange rate may be useful in crisis situations. Developing countries are very likely to reduce the degree of monetary policy independence and financial openness but will increase the level of exchange rate stability. The recent financial crisis has highlighted the risk to the global financial cycle. This risk also falls on the various fluctuations of human capital, which in many cases have been the previous reviews. Their significance is great in the effect they have on the economies and well-being of a country, especially in the small countries where their weight has been rising and so their position on the impossible trilogy has been revised. The positioning of countries as peripheral countries or centers has emphasized that the policies followed by small countries are in the impact of macroeconomic policies followed by countries where the same is true for the exchange rate.

**Keywords:** Capital flow, exchange rate, monetary policy autonomy, financial crises

### Introduction

Mundell-Fleming's trilemma says that policymakers have to face the opposite link where they should choose two out of three policy choices; independence of monetary policy, exchange rate stability and financial openness. The trilemma shows us the reasons why countries are moving out of the middle exchange rate regimes and are heading to extreme regimes. Countries cannot be fully integrated in the financial markets and enforce intermediate exchange rate rules that are between the two extremes, a flexible exchange rate regime and monetary union without giving up central bank independence or exchange rate stability. The perfect combination of monetary independence and exchange rate stability can only be achieved under conditions of full capital control. Applicant countries for joining the European Union are liberalizing their capital account and removing all barriers, so this policy is not an option. The country needs to give up exchange rate stability or monetary policy independence. The bi-polar view recommends the application of strong fixed exchange rates or inflation targeting countries that are open to international capital flows and for countries that are not open to international capital flows applying all types of exchange rate exchange (Frankel 1999). Empirical studies like (Mishkin 1998) and (Fisher 2001) have proved that the bipolar exchange rate regime is correct and intermediate exchange rate regimes are not likely to be successful over the long term for countries that are integrated into the financial markets. During the 1990s, these countries experienced foreign and banking crises, and many economists blame the existence of soft fixed exchange rates, and support increased exchange rate flexibility in these countries. In these countries, there is also the fear of fluctuations, which explains their attitude towards the actual exchange rate choices. The fear of loss is analyzed in detail by (Calvo and Reinhart 2000). In 2007, Fisher analyzed the polar bias view and came to the conclusion that developed and integrated countries in capital markets have continued over time shifting from soft fixed courses to fixed fixed rates or flexible exchange rates. In developing countries, a shift from flexible courses to interim regimes has been noted. (Aizenman, Chinn and Ito 2010) have analyzed the trilemma will take place after the end of the global crisis. They found data that the greatest exchange rate flexibility could be useful in crisis situations. According to them, after the global financial crisis, developing countries are very much able to reduce the degree of monetary policy independence and financial opening but will increase the level of exchange rate stability. (Combes, Minea and Sow 2012) have found empirical support for the non-functioning of the polar viewpoint. Using a panel with a large number of developed and emerging countries for the period 1980 - 2009, they have analyzed the performance of various exchange rate regimes against banking, foreign exchange and debt crises. Their estimates showed that inter-governmental regimes are no longer affected by banking and currency crises rather than rigid and flexible fixed regimes. With regard to debt crises, they did not find significant differences between extreme and

intermediate exchange rate regimes. Before the global financial crisis, monetary policy focused on stabilizing long-run inflation and product deviations in the short run. The crisis made it clear that price and product stability does not bring about financial stability (Mishkin 2011) and (Svensson 2009). The financial crisis has been accompanied by major reductions in the key interest rate, and in some major countries like the United States and the euro area, we have reached the lowest interest rate (zero limit) coupled with a reduction in the effectiveness of the mechanism monetary policy transmission. The question that arose after the crisis was whether the inflation targeting strategy was appropriate for monetary policy during and after the global financial crisis. Some authors like (Reichlin and Baldwin 2013) consider this policy very useful to anchor inflationary expectations, hence the monetary policy strategy that needs to be maintained and after the crisis.

H. Rey (2013) perpetuates the strong relationship between the global financial cycle and gross and net capital flows, credit creation and asset price, closely related to volatility in uncertainty and risk aversion. Its conclusion undermines the trilemma and empowers a dilemma stating that monetary autonomy is achieved only if we have a direct or indirect direct management of macroprudential policy. E. Farhi, I. Werning (2013) founded that both capital controls and flexible exchange rates are important tools to respond to sudden stops, modeled as risk premium shocks. According to them, flexible exchange rates are probably the most important of the two. With the fixed exchange rates, capital controls have a significant macroeconomic stabilization role to play to regain some monetary autonomy and mitigate the impact of the recession. But the capital controls also have a significant yet different role to play when the exchange rate is flexible. They allow to better navigate the dual objective of macroeconomics and the terms of trade management. They help mitigate the depreciation of the exchange rate and of the terms of trade, the drop in consumption, the outflow of capital and the associated trade surplus. In future work, we intend to study capital controls in hybrid models that incorporate pecuniary externalities and nominal rigidities. Such models incorporate more details on the finance side of the model and offer a different rationale for terms of trade management, namely financial stability. Models with financial frictions such as Caballero and Krishnamurthy (2004) emphasize domestic and international collateral constraints that create inefficiencies and a potential role for intervention in international borrowing, even without nominal rigidities. A related strand of work emphasizes pecuniary externalities that work through prices in borrowing constraints, for example Bianchi and Mendoza (2010), Bianchi (2011), Jeanne and Korinek (2010), Korinek (2011). All these papers provide a rationale for "prudential" policies that attempt to prevent excessive borrowing. An important difference with our analysis of capital controls and more generally with the Mundellian logic, is that the models in these papers are real, and as a result, optimal capital controls are independent of the exchange rate regime. Regarding potential drivers of the global financial cycle, most studies focus on U.S. monetary policy. In a domestic U.S. context, Bekaert et al. (2013) find a link between monetary policy and the VIX. Bruno and Shin (2015a,b) and Rey (2013, 2016) show that federal funds rate shocks have significant effects on the VIX, the US dollar real effective exchange rate, US broker-dealer leverage, and international banking flows. Miranda-Agrippino and Rey (2015) find a significant impact of US monetary policy shocks on a number of additional variables related to the global financial cycle like credit provision at a global level, cross-border credit to banks and non-banks, leverage of US and European banks, and, importantly, their identified global asset price factor.

## Conclusions

Over the last few years, however, it has been increasingly questioned whether exchange rate flexibility alone is a sufficient condition for monetary policy independence. The choice of the exchange rate regime still matters for monetary policy autonomy and the absorption of cross-country spillovers, indicating that the trilemma should not yet be disregarded. On the other hand, however, a floating exchange rate alone does not appear to be sufficient to insulate countries from the global financial cycle. If the global cycle and US monetary policy as a driving force are a mayor determinant of a country's financial conditions, the dilemma view might be a more relevant description of policy trade-offs. more research along different dimensions is necessary. First, several of the above-mentioned studies rely on cross-country panel frameworks. While these models are helpful to detect correlations in the data, they do not take into account dynamic relations over time and between countries. Moreover, they do not yield results for individual countries that might face differing policy trade-offs. One interesting addition could be to study the relation between policy choices and international shocks in global VAR or panel VAR models, aiming at quantifying the impact of different shocks on individual economies. Focus on international spillovers from US monetary policy and its role in driving the global financial cycle, this is not the only driving force. Future research should try to assess how policy choices interact with other potential driving forces, like the risk appetite of global banks and investors or the global business cycle. Also exchange rate regimes do not help to insulate countries from shocks, policy makers might turn to capital controls for policy autonomy. However, evidence on how efficient capital controls are and on their associated costs and benefits is limite.

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- [19] Volume 71, Pages 119-132

## **Factors of Financial Behavior and Relationship among them - Relationship of Personality, Attitude towards Risk, Demographic Factors and Psychological Biases as Factors of Financial Behavior**

**MSc.Blerina Dervishaj**

University of Vlora "Ismail Qemali, Department of Finance

### **Abstract**

Literature acknowledges through different theoretical and empirical findings that investor personality traits, risk attitudes, psychological biases, and socio-demographic factors affect investor financial decisions. Being aware of personality traits can enable a person to overcome emotional and psychological tendencies in dealing with different financial choices. Risk is a factor that forms the financial decisions of individual investors, as it involves decisions about an uncertain future. Researchers have studied many socio-demographic features to help explain the differences in investor behavior. In order to understand and explain individual decision making and investment behavior, it is necessary not to study behavioral factors as unconnected, but to also explore their relationships with each other. The paper aims to present the correlation between personality traits, socio-demographic factors, psychological biases and perception of financial risk on investment decisions as important factors of financial behavior.

**Keywords:** personality trait, risk attitude, psychological bias, socio-demographic factor, relation

### **Introduction**

Literature recognizes through theoretical and empirical findings that investor personality traits, risk attitude, psychological biases, and socio-demographic factors affect investor financial decisions (Durand, Newby and Sanghani 2006, Murgea 2010, Thomas and Rajendran 2012, Venter, Michayluk and Davey 2007). In order to understand and explain individual decision making and investment behavior, it is not only necessary to study behavioral factors which impact it, but to also explore their relations to each-other. Knowing personality traits which they possess and attitude to risk they hold, helps investors manage better their irrationality when faced with their own psychological biases. The subject of the study is the theoretical presentation of the link between personality traits, socio-demographic factors, psychological biases and perception of financial risk on investment decisions as factors of financial behavior. The tendency to "fall prey" to psychological behavioral biases, the willingness to carry risk, investor personality traits, and preference for investing time horizon, play an important role in developing investment strategies. Based on these features, investment experts who are financial specialists, provide consulence on portfolio creation and assets' allocation (McGuckian, 2013). The paper is organized as follows: at first we present the Big Five Personality Model, where we learn about different types of personality. Then we show the relationship between Personality types and Psychological biases, based on other researchers' empirical evidence, whereas the other section discusses about the relationship between Personality Types and Risk Tolerance. The last two sections discuss respectively about the Socio-Demographic Factors - Psychological Biases correlation and Socio-Demographic Factors and Risk Tolerance correlation, according to Financial Behavior point of view.

### **The 5-Factor Model of Personality**

An important factor in financial decision-making is the entirety of personality traits that characterize the investor. Personality is the entirety of innate and acquired traits that distinguish individuals from each other. All the features such as emotions, abilities, motives, physical-psycomotor and cognitive features, values, beliefs, attitudes and opinions shape the personality (Kleinman, 2014). Personality helps to identify who a person is and what motivates him (Dollinger and Orf 1991, Soane and Chmiel 2005). Being aware of personality traits enables a person to overcome emotions and psychological bias when dealing with different financial choices. Self-aware can also help an individual to use information in a more effective way to improve decision-making. Profiling investors based on personality traits helps them reduce their sensitivity to behavioral bias through programs adapted to investors (Pompian and Longo, 2004). For each personality type, investors will be able to recognize their respective psychological biases which play crucial role in financial decision-making (Bashir et al., 2013).

Recognizing investor's personality can also help financial advisors to create better portfolios (Pan and Statman, 2012). If you can identify what kind of basic investor you are and then diagnose your specific unreasonable behaviors, you will be in a better position to overcome these behaviors and closer to your financial goals (Pompian, 2012). Studies have highlighted links between psychological biases and personality traits.

The disposition effect (long-time holding of 'losing assets' and selling them in advance) and the availability bias (relying on the information that first comes to your mind as a solution for something), depend on personality traits. Overconfidence and overreaction to unexpected events are linked to personality traits (Durand, Newby, Tant, and Treepongkaruna, 2013). The individuals' personality can be assessed using different models such as: Personality Model Proposed by Rotter (1966); The BB & K model, proposed by Bailard et al. (1986), Myers-Briggs Type Index by Myers and McCaulley (1985), The Big Five Personality Features by Costa and McCrae (1992) etc. Studies in this field show that personality can be divided into five main features (Peterson, 2012).

The Five-factor Model of Personality Features ("Big Five") is the dominant personality search paradigm (McCrae 2009) thus becoming one of the most common and most effective models in trait studies (McCrae 2009). Its adaptability in all cultures was tested by McCrae and Costa Jr (1997). Using the five-factor model of personality traits as well as other personality-determining gauges, personality traits are linked to a wide range of decisions and investment outcomes (Durand, Newby and Sanghani, 2008). Five Big Factors have been defined: *openness to experience*, *conscientiousness*, *extraversion*, *agreeableness*, and *neuroticism* (Borghans et al., 2008). The model reflects the individual interaction of the investor with the world according to his personality traits during his coping with psychological behavioral bias.

#### *Openness to new experiences*

This kind of individuals fit easily and tend to have new ideas and unique values. They tend to accept new social, political and ethnic beliefs; prefer simplicity to uncertainty, (Sadi et al., 2011), they are curious and original; they tend to understand things quickly, have a vivid imagination and interesting ideas (Pan and Statman, 2013).

#### *2. Responsibility and conscientiousness*

The main features of this type of personality are self-discipline, competence, order and task fulfillment. Conscious people are responsible, trustworthy, stable, and organized (Sadi et al., 2011), and tend to follow a set schedule, are always prepared and pay attention to details (Pan and Statman, 2013). Investors of this type of personality tend to believe that their investments are better than those of other investors (Jamshidinaid et al., 2012).

#### *Extroversion*

This type of individual is easily influenced by external elements and has low self-control, characterized by low will, negligence, flexibility, sensitivity, good humor, being sociable and lack of principles (Sadi et al., 2011); they like to go out, are enthusiastic and chatty.

#### *Agreeableness*

Individuals of this kind of personality tend to respect others and be honest in their relationships. Their main features include modesty, being direct and loyal. They tend to be very flexible towards others' desires (Sadi et al., 2011). They make people feel good, understand their feelings and spend their time on others, tend to be generous and grateful (Pan and Statman, 2013).

#### *Neuroticism*

The main features of the investor with this kind of personality include impulsiveness, depression, anxiety and anger. These individuals are unstable and tend to be worried and irritated for anything very easily (Pan and Statman, 2013). Investors with this personality type, tend to be nervous, concerned, and emotionally unstable, (Jamshidinaid et al., 2012).

## **1.2 The Connection between Personality Traits and Psychological Bias according to the Financial Behavioral Point of View**

In different studies there is a strong link between personality and psychological bias in financial decision-making (Lin, HW, 2011); Kowert Hermann, 2013).

*Neuroticism* - Neurotic people are more likely to exhibit herding biases than people who have other personality traits (Bashir et al., 2013). According to Lin (2011), neuroticism has an important positive link with the herding and disposition bias, implying that investors with this trait would prefer to win by selling stock in advance because they worry about the investment loss caused by the further fall of stock price. They also act on other investors recommendations due to lack of confidence. Neurotic individuals have a tendency to avoid short-term investments (Mayfield et al., 2008). Low neuroticism avoids anxiety towards negative outcome decisions (Nicholson et al., 2005).

*Extraversion* - The link between overconfidence and extraversion is obviously positive (Bashir et al., 2013). Extraverted investors tend to risk and continue to hold "losing" shares hoping that their price will rise again, (Jamshidinaid et al., 2012). In the study of the connection between the Big Five Model personality traits and overconfidence, extraversion is

linked positively to overconfidence, but not necessarily to accuracy (Schaefer et al., 2004). There is a positive correlation between extraversion and retrospective tendency (Sadi et al. (2011). Investors with this type of personality generally tend to follow colleagues' recommendations that may result in herding trend (Jamscwn et al., 2012).

*Agreeableness* - Investors with this trait have a positive relationship with overconfidence (Zaidi and Tauni, 2012) and herding bias in stock market (Jamshidinaid et al., 2012). Self-attribution tendency is higher in individuals with high level of agreeableness.

*Conscientiousness*- Investors with this personality trait have a positive relation with overconfidence (Bashir et al., 2013) and with disposition bias implying that this kind of investors sell the 'winners' in advance. Individuals with high level of conscientiousness exhibit self-attribution bias and the tendency of regret aversion.

*Openness to Experience* - The trait of openness to experience has a significant positive link with overconfidence and herding bias (Lin, 2011). This kind of investors tend to buy and sell shares very often due to their high level self-confidence (Jamshidinaid et al., 2012). There is a positive correlation between openness to experience and retrospective bias as well as an opposite link with availability bias (Sadi et al., 2011). Openness to experience is closely related to accuracy (Schaefer et al., 2004), which implies that this type of personality gains knowledge from different fields.

### 1.3 The Link between Personality Traits and Risk Tolerance According to the Financial Behavioral Point of View

There is a strong relation between personality traits and risk tolerance (Kowert dhe Hermann, 2013). Ali and Waheed (2013) have studied the impact of personality traits, psychological behavioral bias and cultural factors of the attitude of the individual investor on risk tolerance.

Personality impact in risk behavior can be understood more clearly by the differences between different individuals (Soane and Chmiel, 2005). Risk Tolerance is positively linked to Extraversion and Openness to Experience and negatively related to Neuroticism, Agreeableness and Conscientiousness (Nicholson, Soane, Fenton-0'Creevy and Willman, 2005). Pan and Statman (2013) surveyed about 2,500 investors to study the relation between personality traits, psychological behavioral bias and risk tolerance. The study found that high risk tolerance is connected to high levels of extraversion. The same authors have found high risk tolerance also is connected to high level of openness to experience (Nicholson et al., 2005), (Kowert and Hermann, 1997). c

Grinblatt and Keloharju (2009) find a positive relationship between trade activity and searching of emotions. Emotional search is likely to be associated with extraversion due to their need for emotions and the openness to experience due to active research of individuals open to experience. Horvath and Zuckerman (1993), suggest that emotional seekers value risk as smaller and experience less anxiety in risky activities. In different experiments, emotional seekers risk in tasks where they have to decide among alternatives with varying degrees of probability and expected return (Wong and Carducci 1991). There are contradictory findings on the relation of *openness to experience* with the investment time horizon. Thus, individuals with this personality trait tend to engage in long-term investments (Mayfield et al., 2008), but according to Akhtar and Batool (2012) these investors tend to make short-term investments. Lakshmi et al. (2013) claim that psychological behavior bias such as: herding, overconfidence, risk aversion, and representativeness alter between investors who make short-term and long-term investments.

### 2.1 The link between Socio-Demographic Factors and Psychological Biases according to the Financial Behavioral Point of View

Literature on gender differences in investor behavior highlights differences on how men and women invest, where women are more conservative in their investment decisions than men. A rational investor should invest and trade stocks when the profits expectations seems to surpass costs expectations. Male investors with higher self-confidence have higher profit expectations than those actually are, making them invest more even in those cases where realistic profit expectations are negative. Models of overconfidence predict that men are more self-confident than women, so they will trade more and perform worse than them, causing their profits to decrease more than those of women. Barber and Odean (2001) study the overconfidence bias to explain this phenomenon. Based on their study, high confidence makes investors trade more in the stock market. This study claims that based on gender we can measure high self-esteem and impact on the high number of trades. Overconfidence in men when evaluating securities may result in the choice of more risky strategies or investments. Also, these differences are more visible among married and unmarried men. This shows that marriage is important in concluding because when men are in a relationship, they tend to make less hasty decisions influenced by the presence of the female partner. Age also influences the level of self-esteem (Brad M. Barber and Terrance Odean (2001). Gender affects the psychological bias of herding and overconfidence.

Women report a harsher reaction to negative outcomes, leading to a greater risk aversion than men (Croson and Gneezy, 2009) note that. On the contrary, men are more likely to feel anger, while women are afraid, reducing thus the chances of women accepting a risky situation.

In a survey of 300 Scandinavian financial market specialists as well as 213 students, there was a huge impact on the anchoring bias over student expectations in stock returns compared to the tendency displayed by specialists, which means that age and experience affect this psychological bias (Kaustia, Alho, Puttonen, 2008). Herding bias, risk taking, and overconfidence diminish when investors are more experienced (Brozynski, Menkhoff and Schmidt, 2004). Thus experience improves quality of decisions by "protecting" decision makers from biases vulnerability.

## **2.2 The Link between Socio-Demographic Factors and Risk Tolerance according to the Financial Behavioral Point of View**

Literature contains many findings on the impacts on financial decision-making as a result of the connection between risk tolerance and a number of socio-demographic factors. Researchers have studied many socio-demographic characteristics such as race, gender, marital status, age, education, financial knowledge level and wealth to help explaining the differences in the investor's behavior. Roszkowski (2001) and Grable (2008) discuss verified findings on socio-demographic factors included in the literature on risk tolerance. Women are less risk tolerant than men, parenting seems to reduce the risk acceptance scale, older people show a lower risk-taking tendency (Wang, Kruger &Wilke, 2009). Based on a 1997 study, Grable and Lytton (1999) consider whether demographic factors are good predictors of financial risk tolerance. Based on the study's responses, after separating the participants as over and below the average risk takers, they notice that the highest risk tolerance is related to the increase of the education level, personal knowledge, income and professional status. Gender, age, and marital status explain less variation. Grable and Lytton emphasize the role of financial education in determining risk taking, where financially educated participants are more likely to undertake risk and also highlight some other important factors contributing to risk preference, such as age and wealth.

*Gender* - The level of women's risk tolerance drives them to choose less risky portfolios (Croson and Gneezy, 2009). Women are more conservative in investment than men and a larger number of women invest in a minimal-risk portfolio (Hinz, McCarthy and Turner (1997). Women are more risk averse than men when making financial decisions (Weber et al., 2002). Barber and Odean (2001) present behavior analysis and gender differences using a large base of individual investors data and find out that men take greater risks, trade more and have lower returns compared to women. Except of Barber and Odean, other studies of financial decision-making reveal the gender differences (Stinerock, Stern and Solomon 1991, Powell and Ansic 1997, Dwyer, Gilkeson, and 2002).

*Marriage and Parenthood* - Single men are much more likely to trade a higher volume of shares compared to single and married women (Sunden and Surette, 1998). Marriage motivates male investors to be more conservative in their financial decisions and their risk tolerance (Sunden and Surette, 1998). Women tend to invest in less risky assets than single men or married couples and reduce their risky assets as the number of children born increases (Jianakoplos and Bernasek, 1998).

*Race* - Literature focusing on racial differences in investment preferences is limited. Hurst, Luoh and Stafford (1998) study asset ownership and attitudes toward risk of the investor according to race and emphasize some significant differences between Afro-Americans and White individuals. The authors show that Afro-Americans have 19.3 percent less chances to own shares, taking into consideration variables like: marriage, family size, income, age, sex, and education. Hurst's analysis and other researchers support the argument that Afro-Americans tend to undertake less financial risk. White investors have a higher risk preference than African-American and Hispanic investors. In general, white men invest in the bottom edge of the risk spectrum, white women and African-American men occupy the average, and African-American women invest in the conservative edge.

*Income* - Some researches study the impact of incomes on investor behavior. For example, Agnew (2006) finds that higher incomes lead to less psychological behavioral bias. Incomes can explain gender differences in investment allocations, where higher-income investors are more likely to take risks (Hinz et al., 1997). According to life-cycle theory, investors should also make decisions based on the expected income return. This theory suggests that the working years, income and wealth play an important role in determining investment risk. Jagannathan and Kocherlakota (1996) suggest that while the number of remaining years of work decreases, the expected value of future incomes also decreases and rational investors would lower their investment risk.

*Age* - Older people tend to take less financial risks than young people (Jianakoplos & Bernasek, 2006).

*Financial Knowledge Level* - An important social factor is the level of financial knowledge (Antonides, De Groot, & Van Raij, 2008). The level of financial knowledge may refer to specific knowledge and skills, perceived knowledge, financial behavior, financial experience, financial incomes and financial education. The data shows a correlation between the highest levels of

financial knowledge and education in general and the highest preference for financial risk. Individuals with high levels of financial skills, will not necessarily use these skills in decision-making processes. As a result, those who present bad financial behavior or display optimal financial welfare are not necessarily financially uneducated. Also, all people who are not financially qualified, do not necessarily have poor financial income because they may have access to someone else's human capital or they just may be lucky. People with poor knowledge of financial products are more likely to buy financial products that don't match their financial needs and budgets. Choosing complex and inconvenient mortgage loans by uninformed customers probably contributed to the 2008-2009 financial crisis. Duke and Kumar (2011) found a link between poor financial skills and increasing home capital borrowing before the financial crisis. The mortgage crisis may be a result of consumer's financial ignorance.

*Financial knowledge level, gender and marriage* - On average, women have lower levels of financial knowledge than men (Fonseca et al., 2010; van Rooij et al., 2011). Women who have never been married are more well-informed than men. Women who have had a long-term relationship have lower levels of financial knowledge than men who have been in a long-term relationship. Apparently, when men and women marry, wife often hands over the financial decision-making to their husband in order to share more efficiently household activities. This incentive to shift decision-making responsibility within a couple can explain lower levels of financial knowledge among women (Hsu, 2011). Widows increase their financial knowledge in order to make effective decisions by themselves.

*Financial knowledge level and age* - Adults lose the ability to process new information and make complex accurate decisions in elderly age because financial decisions require information processing skills. Agarwal, Driscoll, Gabaix and Laibson (2009) investigated whether the quality of financial decision-making decreases when people get older. They found a U-shaped reverse relationship between age and quality of decision within some financial fields. In a survey of over 60 respondents, a clear negative linear relationship was found between financial knowledge and age (Finke, Howe and Huston, 2011). The authors also found that confidence in financial decision-making skills does not decrease when getting older, leading to an increased inequality between real and perceived financial skills that implies considerable vulnerability to old-age financial mistakes.

### Summary and conclusions

Among the socio-demographic factors influencing investment decision-making addressed in the literature, we mention: age, gender, marital status, level of financial knowledge, income, experience etc. It is also due to the above factors that different individuals or even the same individual at different stages of his/her life can make different financial choices. These factors are correlated with the investor's risk attitude, as well as with psychological biases. For example, women are less tolerant than men, which is reflected in decisions they take. A very important behavioral factor, which has gained focus, especially after last financial crisis is level of financial knowledge. People with less knowledge are prone to choose investing in improper financial products, to diversify less, to have more debts and to consult with friend and family about financial issues, but not with expertise consultants. As such, they are more vulnerable to psychological biases.

The type of personality, on the other hand, affects individual decision-making and is correlated with various psychological biases. Depending on the personality features one has, individual investor can face and tolerate different levels of risk when taking decisions in uncertain conditions. Thus, from the empirical findings of different scholars, individuals with personality trait "openness to new experiences" exhibit the tendency of "overconfidence" and "retrospective", they are negatively related to "availability" and show higher risk tolerance.

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## Law and Society - Euthanasia and Criminal Law

**Dr. Brunela Kullolli**

*“Aleksander Moisiu” University of Durrës, Faculty of Political Sciences and Law*

**Av. Ilrjan Hysa**

*Studio Ligjore “I.S.K Law Firm”, Durrës Albania*

### Abstract

Euthanasia or "sweet death" is a topic that has sparked numerous debates throughout history. In Albania, the right to life is protected by Article 21 of the Constitution of the Republic of Albania. Regarding the individual's right to die in Albania, both forms of euthanasia, the passive and the active one, are considered criminal offenses and are punishable by law. The problem lies in the fact that such a definition is not found in the Albanian legislation, but such actions are considered as criminal by the interpretation of the law. In this topic we will study the perception of Albanians regarding euthanasia and whether the Albanian legislation should include this form of soft death or not. The protection of life in the country should take the dimensions of a sustainable protection. For this reason, in addition to the positive effects of improving life protection that derive from the application of the entirety of the various criminal justice programs and policies, also including the recent amendments to the Criminal Code of the Republic of Albania, a concrete and continuous protection should be provided in support of the right to life. I have always drawn a debate on this issue, which deals with the fundamental human right, with the most sacred right, that of life.

**Keywords:** *euthanasia, pasive euthanasia, active euthanasia, human rights, life protection, legal basis, suffering, etc.*

### Introduction

The word euthanasia comes from two Greek words, which has a positive meaning and the sense of death: In the first view, euthanasia has always created the idea of an action which caused harm to a person, while this action leads to the end of the life of the being human. By browsing and searching a great number of substantial materials, I see euthanasia as an individual's right to self-determination, to die in the time and manner chosen by him while suffering from incurable diseases, rather than continue to suffer and have an even more bitter end.

On the other hand, euthanasia can also be viewed from the perspective that it is not a matter of self-determination and personal conviction because it is an act that requires two people to make it happen. Euthanasia is considered the same as murder, which is against law everywhere in civilized societies.

Albania's opening up to the global world, besides a number of positive outcomes for the country, is accompanied by the emergence of a number of phenomena, some of which are not foreseen or regulated to provide efficient protection of life or to allow the practice of what is known as light death. Some of these phenomena include our criminal legislation in terms of life protection in our country.

### 1. Study Background

Euthanasia is a human right to end life without suffering. It is often called "sweet murder". There are two types of euthanasia called active voluntary euthanasia and passive voluntary euthanasia. The first is a series of actions that tend to end a person's life, while the second is a treatment, care or assistance to end a person's life. Both passive and active euthanasia can also be non-voluntary. Action in both the active and passive euthanasia can be done without the patient's request.

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Historian Suetonius (AD 63-14) describes how Emperor August, dying quickly and painlessly in the hands of his wife Livia, used the term Euthanasia to show what she wanted at that moment. While the philosopher and married man Francis Bacon (1561-1626) was the first to use the term euthanasia in the medical context, saying that the doctor's role was not only to improve the patient's health but to ease the pain and suffering, and not only when this relief could help improve health but also when it could serve to make a straightforward and upright transition to death. Patients who were almost dead could not be abandoned, but every possible care needed to help them leave this world in a lighter and more gentle way. This was the prevailing thought until the twentieth century. XIX, which accurately depicted what we mean today with sedatives, or medications that allow us to easily die<sup>1</sup>.

## 2. Euthanasia in various countries of the world

At the beginning of our century in all civilized countries there was an all-inclusive defense of life. In no country abortion was allowed or tolerated, wherever it was strictly punishable. In no country euthanasia was allowed. Suicide itself was not punishable, but, assisting the victim to commit this act was punishable.

However, euthanasia, the so-called easy death, which has been allowed or discussed in many countries, mainly in the Netherlands, basically only makes a difference if the murder occurs with or without the consent of the victim. In the criminal law and in the rules of ethics is accepted as a negative action or is not positively assessed the consent of the person against whom this action is directed.

A healthy person does not want to live in a serious illness and may prefer death when he is ill. In addition, relatives may be tired of being cared for or those who have a duty to pay an annual pension for his life may exert pressure to lead to the killing of this person by claiming mercy for him.

**The German Constitution**, in Article 2, second paragraph, states that "Everyone has the right to life and physical integrity", but in the third paragraph of this article, it is said that a statutory law may violate these rights. Euthanasia has also been the subject of long discussions, but without any legislative result. The German Federal Court, in a decision of 4 July 1984, against a physician accused of neglecting a person who had just committed suicidal attempts to release his release.

The doctor had found the person still alive after a suicide attempt and had not shown proper care, which could have saved the patient's life. The doctor stayed all the time with the patient until he died. The main argument used by the court in its decision to release a doctor was that from the legal point of view the unclear attitude of the physician could not be considered because he stayed with the patient until his final death, in the sign of respect for the personality of the deceased. In Germany, much has been discussed about the person's right to self-determination for his death. But in Germany alone, we must not forget that Hitler has issued a voluntary death order since the day he started World War II.

In Switzerland, the right to life as a constitutional right is based on an unwritten constitutional law. The Federal Court recognizes the protection of the right to life, in particular in the decision of 28 June 1972, where inter alia the Court. Federal says: The Constitution primarily protects human life. The constitutional right of life in comparison to other fundamental rights of the individual to give personal liberty is characterized by the fact that interference in a person's life means an absolute violation of his rights and constitutes a violation of the Constitution itself. The constitutional right to the protection of life in this way can not tolerate any violation.

In Austria, euthanasia is still punishable, it is considered as a murder at the request, provided for in Article 77 of the Criminal Code. Giving suicide to suicide is punishable, from six months to five years in prison.

The permit for active euthanasia under Article 115 of the Dutch Criminal Code was requested by a member of the National Council, V. Ruffy, through a motion in 1994, which corresponds to the new arrangement in the Netherlands. How successful it is still uncertain.

In Hungary the problem of euthanasia is being discussed long. But apart from the prohibition of suicide aid provided for in Article 168 of the Criminal Code, there is no other legal provision to address this issue.

While recently, in our country this debate has not yet been opened. Our Penal Code provides for a criminal offense, any form, way or aid that is intended to take the life of the individual.

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<sup>1</sup> Council of Europe (2003). Euthanasia, ethical and human aspects. Germany: Council of Europe

### **3. Euthanasia related to criminal law.**

Before we get into discussing legal problems with regard to euthanasia (light death), we must first undertake a review of what are the basic principles of protecting human life and its limits. Indeed, all the positions and choices that are presented to man in the analyzes made to bring in two different types of important principles of necessity and self-interest, which should be seen as a strong reference point, as to the consistency of approved, with an integral vision of things, as for the clear awareness that individual human concepts stand at the base of his personal choices.

For the concept of necessity, man is conceived of a man object, man of things, and for this is used for extrapersonal-individual or egoistic purposes. This conclusion of this conception is the principle of human opportunity, and where the logical limit lies in the collective or social usefulness of the instrumental use of one, which means, on the one hand, the widespread possession of society and the obligation to be cured to fulfill the duties of in the community. This utilitarian perspective is called for "a free space by law" because legal science is not legitimized to take care of euthanasia because it is an exclusive issue of philosophy and religion alone to decide that human life can be without value.

But we can say that creating a free space from the law for the sick in this state means lifting this category out of legislation and denying that right to everyone in a modern state of law to have a physician to decide if a life is worth living and to be preferred to a person who has an immediate death or a life filled with suffering .

There is a very clear distinction between what is called manus proprietar possession that is legally legitimate and possession manu alius that is legally illegal.

The principle of non-possession of your own life or manu propia is based on the following principles: protection of life, physical integrity and human health, protection of the dignity of the person, of human dignity, equality, consent etc. The concept of the "personal", which is embraced by the constitution, focuses on the person as a priority in his essence, in harmony with his dignity and his development in the protection of his life, of obtaining consent and of human dignity, solving here the problem of legitimacy of euthanasia.

The problem that arises is not that of pure euthanasia, for the sole reason that it has always been regarded as legal to have medical treatment against suffering, used in a subject at the highest level of his pain and suffering, but not to cause death nor to anticipate it is because the purpose of medicine is not only the salvation from death and healing, but also the reduction of the pain of the patient by assisting in the death process not by causing death.

On the other hand, active euthanasia helps to cause death and is therefore considered illegal, and especially euthanasia without consensus, both in the form of individual mercy and in the common consent form, because it contradicts the principle of the protection of human life, and the principle of protecting human dignity that implies the right to death when it is not foreseen. But it is also illegal to practise active euthanasia with consensus because it contradicts the principle of protecting human life and exceeds the limit on the possession of your body, in accordance with your will and choice.

When considering passive euthanasia, the legal problem is resolved on the basis of the principle of inaction and therefore we have the responsibility of the doctor as his obligation to continue curing the patient. Therefore, it is important to make a distinction between passive euthanasia with consensus and passive euthanasia without consensus. With regard to the first, we are dealing with interruption of the treatment by the patient and as such will be considered legitimate on the basis of a patient's right to decide for himself if he or she will die or live , and not on the basis of a doctor's right to decide to put him to death, his personal subjective right to choose.

In the basic concept of consensus explicitly provided in the law, any intervention that will be imposed on a person must be based on his consensus. Thus the criminal responsibility of the doctor who does not cure the patient while respecting his will is not considered anymore. It should be emphasized here that we face very special and rare cases, and the decision to terminate the cure and to be left to die must be characterized by a voluntary quality act and such a decision made by a seriously ill person is difficult and not reliable. Considering passive euthanasia without consensus in the light of the principle of "the personal", it is considered unlawful because at the moment the patient has expressed a desire to be treated and has not asked for the termination of the cure, the criminal responsibility of the doctor who decides to stop medical treatment, even if the disease is incurable and death. So this means that non-prohibition of death is otherwise translated as permitting it to happen. Here the doctor will be charged of murder even if he only anticipated the effect or death. From all this, as we can see above, we can say that there is a major deficiency in the Italian legal system to take into account this phenomenon, circumstances, and forms of euthanasia, as well as the legal illegality of euthanasia both passive and active (this is not the case when the patient has given consensus).

In the criminal code the case is broader and more complex and euthanasia without consensus have been foreseen as intentional murder, and when it is consensus-based it is called a criminal offense, assassination with the consensus of the subject, because giving consent does not mean that he is excluded from the legal responsibility. Since there is no norm that foresees the right to die from the hands of others, the doctor will be held responsible. The code does not foresee any cases when it comes to the view that the right of kill is exercised by the person himself, ie there is no criminal punishment for suicide.

### 3.1 The criminal code regarding euthanasia

Let us now examine the criminal legislation and the description of punishments given to euthanasia, meaning an act or practice used to end a life of great suffering. Such convictions are:

Helping a person in suicide.

Killing a person who expresses his consent to die.

Assassination of a subject regardless of whether or not he or she does not give his consent.

We need to highlight the fact that all such actions are illegal and punishable. Here it is necessary to verify the conformity of the norms of positive law that protect the human life with different forms presented by the practice of euthanasia.

In most cases, euthanasia practices are not practiced within individualistic subjective goals but with the support, and help of other persons.

Euthanasia as a practice that always implies a material or moral implication of another person, and not only in the capacity of the executor, but in the sense that he participates emotionally in a matter of existence of a man with a feeling of solidarity.<sup>1</sup> The rebuilding of the normative system is finalized by the research on the reasons for distinguishing between two legal configurations, namely between *manu propria* acts (suicide and taking part in suicide) and the *manu alius* act (murdering/killing someone on their own request, with consensus).

The key to making the interpretation of this framework of actions, where we can discern elements of incompatibility and of a changeable nature, is presented with a negative fact, the silence of the legislature regarding suicide both attempted and performed. This is of utmost importance because it helps in the actual determination of this legal norm and the reasoning on such a matter would remain unclear<sup>2</sup>.

### 3.2 The offense of incitement or assistance to suicide

The first model by which the euthanasia practice is manifested provides for assisted suicide, which calls for the criminal offense of incitement or suicide assistance. The criminal offense of consensus in murder is seen as a willing act of the subject to end the patient's life with the free will and intention of the latter, but we need to highlight that the realization of this will depends on the third person (*manu alius* command). While in the suicide assistance process the subject himself is passive, the main author of the execution (*manu propria* command) and the third person in this case just assists in such a process<sup>3</sup>.

The hypotheses of passive and active euthanasia, respectively related to the criminal offense of incitement or assistance of suicide, and the killing of a subject with his consent, are similar due to the incitement to the subject, but are objectively and voluntarily differentiated. In the first case, the will of the subject to end life is not only expressed but well weighted to the extent that he takes the initiative himself to do it. In the criminal offense of Incitement or suicide assistance we distinguish two different types of participation depending on the fact that the third party action is related to the finalization in the influence on the patient's will at the stage when he is thinking of taking part in his plan or being willing to provide material support in the implementation phase.

In the case of the murder of a subject with his own will the punishment is given in mitigating circumstances and it is the fact that distinguishes and sets the boundary between taking part in someone's suicide and killing a person with the consensus of the victim.

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<sup>1</sup> Euthanasia is an action always requiring the material and moral intervention of a third person, and not only as an active subject in carrying out this action but also emotionally, with a sense of solidarity with this action.

<sup>2</sup> M. B. MAGRO *Eutanasia e diritto penale*, Torino, 2001 fq. 176

<sup>3</sup> In both cases it is punished with the same principle, that of causing the death of the victim.

A person who encourages the sick subject to kill himself is sentenced, or even the one who reinforces the other's thought to kill himself. Anyone who incites a person to kill himself or reinforces a person's opinion to commit suicide in any manner is sentenced to five to ten years of imprisonment, and when suicide does not occur but he or she has only personal injuries he is sentenced from one to five years for attempted murder, and in such cases aggravating circumstances are considered such as when he is a minor or mentally incapacitated to understand his actions.

The need to punish assistance to suicide and suicide incitement comes as a result of the lack of a criminal law article to punish suicide (as a punishable act from the entire society). There are three types of suicide actions, the first being moral suicide incitement, the second is the incitement to material suicide by giving medicines, etc. which help to commit suicide and, lastly, an incitement or a reinforcement of thought to commit suicide, but there must be a lot of conditions to be accountable: firstly suicide must be carried out and secondly when it is not done it needs to have been attempted with serious consequences for the health of the person.

Based on what we have just analyzed, we can say that the law punishes the one who persuades someone to end his life full of suffering or reinforces his idea of killing himself or materially contributing to the commission of a criminal offense but it is important to prove intention in this criminal offense, namely the will to help suicide<sup>1</sup>. We also have criminal responsibility even when the person does not act, ie in the case of failure to act before a suicidal situation (failure to stop the suicide means to let it happen consciously) by violating a legal norm for action. So it is the responsibility of the doctor who does not act in the case of a patient's suicide by saying that he respects his right not to be cured by not providing the emergency assistance.

### 3.3 Murdering someone with his own consent (consensual homicide)

The death that brings the salvation sought by the suffering person or anyone who gives consent under the Italian penal code (anyone who causes the death of a man, with his consent is sentenced to six to fifteen years of imprisonment) is punishable for the criminal offense of killing with consensus. This norm has been foreseen recently as a separate article and different from intentional murder. In the case of consensual homicide it is a third person who commits a criminal offense which is different from assisted suicide, where the person helps with preparatory actions and it is the subject himself the one who ends his life. A line should be drawn in order to make an objective difference.

Therefore, we are considering all the elements, the subject is different, one is the victim and the other is the third person, the object is the same, the ending of life to escape from unmanageable pain and suffering, the objective act is carried out with omission in one case (failure to act) and in the other case by action, from the subjective perspective it was done deliberately and in order to put an end to suffering and life.

Various opinions have been given by many authors regarding the consensual homicide of the subject, and many think that the author should not be punished because he is not dangerous to the society, but others feel the opposite<sup>2</sup>.

From this debate with so many different ideas, the legislator was forced to introduce a specific norm based on the principle that life is sacred and protected by law, and any violation of this right is punishable as a criminal offense. Many think that killing with consensus is a criminal offense on the person rather than a criminal offense against a person, and as such this offense can not undermine and does not undermine the public interest, the society<sup>3</sup>.

By analyzing this act, we see that the legislator has taken into account a number of important types of circumstances, the consensus of the victim himself, and a lesser danger by providing for a lower sentence in contrast to the crime of murder. According to many opinions, the legislator, while prescribing the offense of consensual murder/homicide, considered the killing of someone for mercy, or, in other words, the typical characteristic act of euthanasia.

Although the term *euthanasia* does not appear or is not found in the criminal code, we can not say that this as a matter is not included. It is not necessary to distinguish and present *euthanasia*, since in any case the judge himself is the one who, by considering the matter with all its elements, decides on the basis of his full conviction, if we are dealing with a consensus murder or a simple murder.

The law clearly makes the distinction between a deliberate murder and a murder with the consensus of the victim on the basis that the victim has initially given the consent as a mentally capable person who understands his actions and is aware

<sup>1</sup> E. PALO MBI, *Istigazione o aiuto a1 suicidio*, Milano, 1972 fq. 1020

<sup>2</sup> VISCO, *L'omicidio e la lesione personale del consenziente*, Milano 1929, dhe FERRI, *L'omicidio suicidio*, Torino, 1985

<sup>3</sup> G.I ADECOLA *Eutanasia: problematiche giuridiche e medico legali dell'eutanasia* fq 373

of the result as a responsible adult and on the basis of a spontaneous decision and without either interference or influence. We do not have to do with the free will of a person when he is threatened and is forced to make that decision.

Generally, paralyzed persons and those with serious physical injuries, characterized by great suffering, require death as a form of salvation by the doctor or by those close to him. But there are also cases when the person has been forced, deceived, or threatened to seek death, and these are the cases that need to be carefully studied and taken into consideration. So in order to have a murder with the consent of the subject, the consensus (consent) should exist from the beginning until the last moment when the crime is committed, and when the consent changes at the last moment of the offense, the guilty person will be responsible for the crime of intentional murder and not consensual homicide.

As we can see, we can say that there are very few cases when euthanasia could be classified as a consensual homicide, since for the application of this provision, as we have mentioned above, a true and complete conse

nsus of an adult person over the age of eighteen (mentally sane to understand his actions) which is difficult to be found in the incurable sick people who are about to die. The vast majority of euthanasia cases belong to the category of deliberate murder.

We may conclude that in the case of euthanasia for mercy without the consensus of the victim who is suffering, the guilty person will be responsible for the criminal offense of murder, and will be punished for not less than twenty-one years, and possibly with any reduction in the years when the mitigating circumstances appear, that the act was committed in the best interest of society and the moral values.

In most cases, euthanasia due to mercy is characterized not only by the actions previously required by the victim to the doctors but also by the family members, and this makes the situation even worse for the culprit who not only will be responsible for the criminal offense of murder but also murder under aggravating circumstances, and the punishment in these cases goes to life imprisonment<sup>1</sup>.

It should be noted here that in the cases of euthanasia presented in Italy very few severe cases have been recorded, or none such cases at all, for the sole reason that in the conscience of the judge it is not considered the same murder that which is made for mercy by the family members of a person who is in extreme suffering, with the intention of putting an end to the suffering, with another intentional murder committed against a person.<sup>2</sup>

#### 4. Legal Issues of Euthanasia

From the perspective of the law, the question of the legitimacy for the termination of the medical treatment for patients before death is not clear in the discipline of the legal system. According to the criminal doctrine, the case would be resolved by an agreement or on the basis of consent between the doctor and the patient, implying that the former can not force a patient to be cured if he refuses to continue a therapy, respecting in this way the will of the patient even if this would mean loss of the patient's life. On the other hand, if the patient requires continuous treatment until the end, the doctor will not be exempt from the obligation to make any efforts, even if they are hopeless<sup>3</sup>. (Here stands the innocence of this act performed by the doctor [passive consensual euthanasia] since he is not responsible when he does not cure a patient who does not want to continue to be treated. From this point of view, numerous discussions have been opened, and many consider the passive euthanasia as legitimate, with consent, as an undisputed will of the patient. While, the passive euthanasia without consent is considered a punishable act, as a practice that either inactivity or through the interruption of medical devices ends the life of the person, so, not stopping death means allowing it to happen.

In the case of passive euthanasia without a consensus on the part of the patient who is in a non-recoverable state and the continuation of medical examinations has no value in improving his health, the doctor has no legal obligation to continue with the cure when it has no benefits for the health of the person. When the patient is sick and hopeless for life he needs to be assisted and cared for, but the doctor may, on the other hand, reject the disastrous medical treatment and without any result.

<sup>1</sup> G. IADECOLA Eutanasia : problematiche giuridiche e medico legali dell eutanasia fq 42

<sup>2</sup> B. PANNAIN, F. SCALFANI, M. PANNAIN, Lomicidio dell onsenziente e la questione eutanasia, Napoli 1988 fq 20

<sup>3</sup> F. MANTOVANI, p. 80 where he writes about passive euthanasia with consensus actually we are dealing with a refusal to continue with the patient's treatment, and it will be called legitimate on the basis of a doctor's power to let him die, but based on an entity's right to decide whether or not to live.

But in the meantime, it is still not clear how to proceed if a seriously ill patient with no hopes for life in an irreversible state of coma (passive euthanasia without consensus). The problem of consensus should not be seen as a fundamental and fair basis for the legal resolution of the doctor's responsibility, with the consensus and willingness to discontinue the cure by the patient, many conditions must be met and it is rare to find such conditions if the ill person is in the death bed. A real and true consensus, he must come from the patient himself, and must be manifested in a very clear form before the doctor has previously been well informed. The patient also needs to be mentally sane to understand his actions and a responsible adult. The will must be real and not overwhelmed, and without the interference and manipulation of the doctor or a third party, and most importantly it needs to be true at the moment it was committed, and not a will previously expressed in the past.

In the legal system this finds a great support recognizing the right to life protection, and in the constitution the protection of human health is viewed not only as a right of the individual but also as a right of the whole society. This protection does not apply only to the cure of a contagious disease that would cause damage to the whole society if spread to the public, but also when it is done to fulfill a task which leads to a political, economic and social solidarity. But what really gives the solution and excludes the responsibility of the doctor is precisely: the doctors' duty is that of offering relief and cure but it has its human logical limits in the case when there are no hopes and no benefits for the health of the person and there are no facts to prove that it is effective and thus, the continuation would only cause further suffering and the discontinuation of the medical assistance would not hold the doctor responsible (the main purpose of the medicine is to serve the patient and heal him, and the second goal is to reduce suffering and to make death easier at the last moments of life). Therefore, the doctor who fails to act to cure a person in the last moments of his life, when this treatment would be worthless, is not considered responsible. But we need to highlight the fact that the notorious concept of the worthless cure (ineffective) is very subjective because there may be different interpretations from different doctors, and it is necessary to foresee those cases when a cure may be considered worthless (ineffective) from a medical point of view, in which case the doctor does not have criminal responsibility in the case of omission.

In the case of cerebral death<sup>1</sup> or known as the death of the brain, in those cases when the patient is in coma and the brain does not function but the heart continues to beat due to a machinery, the doctor is not held responsible for his actions since the continual cure would not bring any results. On the contrary, if it is not managed to ascertain brain death in compliance with the law, and the patient can not be called dead by law, it is the physician's obligation to continue with medical treatment to keep him/her in life in that physical condition. The doctor in this case is responsible for keeping the patient alive and assisting him because he can improve since cerebral death has not yet occurred, and if discontinuing treatment for mercy on the patient as a form of passive euthanasia, the doctor will hold the responsibility of the criminal offense of murder.

## 5. CONCLUSIONS

The topic of euthanasia is very interesting ethically, religiously, psychologically, and existentially. But in the meantime it has now taken a wider political and legal form because of the intensification of the discussion in recent years of many countries and because of the attitude of some countries that do not punish this act.

Speaking of euthanasia as a legal problem, we refer to legitimacy in principle of the legislation, which in some way legalizes it, given that if this practice is examined through the instrument of law, namely the legal code itself, thus permitting it through the law, we may come to a wrong answer to the problem. The real problem that arises when reflecting on euthanasia is whether a law can exist in the legal system of a state with all the characteristics of a law, that is, the general part, the formalism, the unavoidable bureaucratic character that helps to administer the extreme and dubious situation such as that of euthanasia. It is very difficult to speak and give a definite opinion about the passive euthanasia.

Creating a legal package that will allow to solve many questions about the attitudes and actions of the doctor to the patients, such as in which cases the doctor should decide to stop the therapy, who will be the person legitimized to oppose to this action, where euthanasia can be practiced, etc. In fact such a situation would require a detailed regulation to be practiced. The criminal code punishes either the criminal offense of killing a patient with his own will and consent or the assistance given to him in suicide. So there are many laws that punish this act, and the health legislation contains criminal and civil law, and protects the right to health and life. Physicians are obliged to respect the criminal code as well as the applicable criminal law.

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<sup>1</sup> BASILE. Lamorte celebrale aspetti medico legali fq.ii

Based on the principles underlying the constitution on the value of protecting the health of the individual and the whole society in general, it is natural that the exercise of euthanasia does not turn out to be positive from a general point of view but that does not exclude other elements of the economic nature, time costs and the useless and hopeless efforts that lie on the other side of the scale.

It is not the same thing to discuss this problem or analogous situations from a narrow legal perspective or considering moral values and the criminal and civil responsibility, but on the other hand though it may look the same situation it is essentially different to evaluate this concrete moment when a patient is at the terminal stage of life and who is about to be provided with the type of medical cure.

And when we are faced with the voluntary termination of medical cure by the patient to accelerate the arrival of death, the boundary between passive and active euthanasia becomes unclear and controversial, and certainly unlawful from the point of view of Italian legislation.

The legislator is increasingly behind with the laws regarding the numerous rapid developments of the medicine (is always a step back) leaving a lot of legal vacuum. And medicine, on the other hand, has raised a wide debate about euthanasia, bringing many unclear points to discussion, and it always shows that the difficulties between the doctor and the patient in such cases are great. It is the doctor the one who is left without a strong legal base to rely on when making a decision on the human life.

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# Hashgraph the Future of Decentralized Technology and the End of Blockchain

Ledina Hoxha

European University of Tirana

## Abstract

Hashgraph is data structure and consensus algorithm that is fast, with a very high throughput and low consensus latency, secure because of the asynchronous byzantine fault tolerant and fair due to the fairness of access, ordering, and timestamps. These properties enable new decentralized applications such as a stock market, improved collaborative applications, games, and auctions. Hashgraph is a new consensus protocol that has garnered attention lately by being projected as a technology that will make blockchains obsolete. Hashgraph currently scales only in the number of transactions processed but does not scale with the number of nodes in the network. Hashgraph will face the same issues that other public blockchains are facing today and may not be able to maintain its security and performance. In fact, scalability is still an open problem for public blockchains.

**Keywords:** Byzantine fault tolerance, latency, fair, fairness, hashgraph, blockchain, Swirls

## 1. Introduction

The hashgraph is a distributed data structure that maintains a growing list of data among a large amount of network peers. It was first proposed in a white paper by Leemon Baird titled "The Swirls Hashgraph Consensus Algorithm: Fair, Fast, Byzantine Fault Tolerance". Hashgraph is a new consensus alternative to the blockchain. It uses a gossip protocol that works in the following manner: Every node in Hashgraph can spread signed information (called events) on newly-created transactions and transactions received from others, to its randomly chosen neighbors. These neighbors will aggregate received events with information received from other nodes into a new event, and then send it on to other randomly chosen neighbors. This process continues until all the nodes are aware of the information created or received at the beginning. Due to the rapid convergence property of the gossip protocol, every piece of new information can reach each node in the network in a fast manner. The history of the gossip protocol can be illustrated by a directed graph, i.e., each node maintains a graph representing sequences of forwarders/witnesses for each transaction. In the ideal case, all the nodes have the same view of all transactions and their witnesses. Further, by performing virtual voting, each node can determine if a transaction is valid based on whether it has over two-thirds of nodes in the network as witnesses. Note that Hashgraph runs in the Byzantine setting, where the assumption is that less than a third of nodes are Byzantine (nodes that can behave badly by forging, delaying, replaying and dropping incoming/outgoing messages). Hashgraph is a new approach that greatly differs to other interpretations of the distributed consensus and looks to provide an upgrade to the current systems of distributed ledger technology (DLT). Hashgraph can resolve today's scaling and security issues, while also pushing the use of distributed consensus applications into new areas. Essentially, Hashgraph is a data structure and consensus algorithm that is faster, fairer, and more secure than blockchain. It uses two special techniques in order to outperform the blockchain. These include: Gossip about Gossip and Virtual Voting.

Gossip about Gossip involves attaching a small additional amount of information to a pair of hashes (Gossip) that contain the last two people talked to. By doing this, a Hashgraph can be built and updated whenever additional information is gossiped, on each node. When the Hashgraph is ready, we are also aware of the information that each node has and exactly when they knew it. As a result, it becomes straightforward to know how a node would vote and this data can be used as an input to the voting algorithm and to find whichever transactions have reached consensus quickly

## 2. Hashgraph Consensus

Hashgraph consensus is an algorithm that operates on a list of events contained within a hashgraph data structure and maintains consensus over the correct chronological order of the events among an arbitrary number of participating nodes. Use cases can be found in any distributed system that benefits from maintaining a consensus among the participants over the global state of the system and the order of state changes applied to it. Good examples are log replication, distributed

ledgers, shared state machines, etc. The algorithm is based on the following core concepts that together provide the properties listed further below:

- Famous Witnesses
- Strongly Seeing
- Gossip about gossip
- Virtual voting

### 3. Has Blockchain been surpassed by Hashgraph?

Blockchain technology operates as reliable digital ledger that can be used to record financial transactions, ownership, and almost everything of value. Any information held on a blockchain is shared across its existing network and is consistently updated and also incorruptible. This system ensures that data is not stored in any individual location, and that the blockchain cannot be controlled by any single entity. Hashgraph is a consensus algorithm which has many benefits over Blockchain. It is a new distributed ledger technology which is around fifty thousand times faster than Blockchain, more efficient, more cost-effective, safer and mathematically fairer. Importantly, it does not require significant computation and energy consumption, so it is efficient and sustainable. Blockchain was born out of the 2008 financial collapse and ever since it has been at the forefront of distributed, peer-to-peer transactions. But currently it is limited to 7 transactions per second and a miner can choose the order for which transactions occur in a block, which can delay orders by placing them in future blocks, or even prevent them from entering the system. However, the Hashgraph consensus time stamping prevents an individual from affecting the consensus order of transactions. Hashgraph consensus uses a gossip protocol. This means that a member such as Alice will choose another member at random, such as Bob, and then Alice will tell Bob all of the information she knows so far. Alice then repeats with a different random member. Bob repeatedly does the same, and all other members do the same. In this way, if a single member becomes aware of new information, it will spread exponentially fast through the community until every member is aware of it.

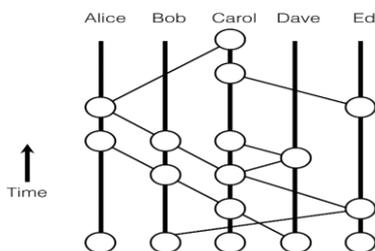


Figure.

Security is also a key issue. With Blockchain there is only an increased possibility of consensus, and when a consensus is not reached forks occurs such as the recent Bitcoin Gold and upcoming Segwit2x forks. With Hashgraph's Byzantine security, a consensus will be reached every time. Also, in hashgraph, every container is used and none are discarded, so this eliminates the problem of stale blocks forming. The end result, Hashgraph is like Blockchain on steroids. It will allow faster, cheaper, safe and more efficient trading of cryptocurrency. If Blockchain had the traditional heavyweights of the financial world quaking in their boots, then Hashgraph will make them a gibbering mess on the floor!

### 4. Comparison with Blockchain

Similar to systems based on blockchain technology, hashgraph provides desired properties that makes common issues like double spending impossible.

Table 1.

	Bitcoin Blockchain	Hashgraph
<b>Fair</b>	No	Yes
<b>Low Computation</b>	No	Yes
<b>Byzantine fault tolerant</b>	No	Yes
<b>Distributed Trust</b>	Yes	Yes

<b>Solves double spending</b>	Yes	Yes
<b>Mining required</b>	Yes	No

Let's analyze the three claims put forward by Hashgraph.

1) Fast. Hashgraph is fast, as it uses the gossip protocol to spread messages to the network and also performs some optimization of the gossiped messages to reduce the communication overhead. The gossip-about-gossip also yields a consensus protocol. However, there is another reason why Hashgraph is fast: it currently works in a permissioned setting. "At this time, Hashgraph is only deployed in private, permissioned-based networks" — Hashgraph Team on Telegram. Below, we discuss the difference between permissioned and non-permissioned networks. The difference is crucial as it has a direct impact on the throughput of the consensus solution. In a non-permissioned setting (aka public blockchain) like in Bitcoin/Ethereum, the nodes participating in the consensus protocol are not known beforehand and untrusted since any node is allowed to join or leave the network at will. Moreover, the consensus mechanisms for such a setup have to account for maliciousness, particularly Sybil attacks where a single user generates multiple entities to influence the consensus process and for instance, mounts double spend attacks. Solving these issues in a non-permissioned setting affects the overall throughput.

On the other hand, in private (permissioned) distributed ledgers, identities of all nodes are known beforehand and the network is not open to an arbitrary participant. The prior knowledge of the identities of the participating nodes provides a natural protection against Sybil attacks and makes it easier to reach consensus. This means that no Sybil resistance mechanism needs to be put in place and hence the throughput can be increased dramatically (when compared to public blockchains). As Hashgraph is currently a private distributed ledger, its throughput should be compared with the likes of other private blockchains, e.g., IBM HyperLedger Fabric (700 transactions per second) or Red Belly (400,000 transactions per second). Its throughput should not be compared with public blockchains like Bitcoin or Ethereum (10 transactions per second) as it is equivalent to comparing apples with oranges. Currently, Hashgraph has yet to release concrete technical details for its deployment as a public ledger.

2) Fair. Hashgraph also provides fairness via consensus time stamping. This means that if one transaction reaches two-thirds of the network ahead of other transactions, it is considered to be the first. It is a relatively fair system, as two-thirds of the network are witnesses and it is difficult for a majority of them to make unfair decisions. However, Hashgraph is based on the gossip protocol and this means that when a node chooses its successors uniformly at random, there is some probability (e.g., one-third, if the node's neighbors are chosen globally and uniformly at random) that all the chosen nodes may be Byzantine or malicious. These malicious successors can stop passing the transaction to the next group of nodes, thereby preventing the transaction from reaching two-thirds of the network which would result in an unfair outcome for the honest creator. In addition, trying to ensure that every honest node is connected to some honest nodes, and that every message can be transmitted to other honest nodes without being stopped by intermediate Byzantine nodes, is an open problem in itself. While this is currently not an issue given the private nature of Hashgraph, this will be a hurdle to overcome when releasing a public distributed ledger.

3) Secure. Hashgraph is an asynchronous BFT, but it is not deterministic. In Fischer et al. (1985) it was shown that in asynchronous systems, deterministic consensus protocols are impossible even in the simple case of only one faulty node. A consensus protocol can be either non-deterministic asynchronous or deterministic non-completely asynchronous in the Byzantine setting. For deterministic protocols, all honest nodes reach consensus by round  $r$  for some a priori known constant  $r$ . For non-deterministic or probabilistic protocols, the probability that an honest node is undecided after  $r$  rounds approaches zero as  $r$  approaches infinity. For synchronous protocols, roughly speaking, messages are guaranteed to be delivered after a certain bound  $\Delta$ , but the asynchronous protocols don't have such a bound.

Hashgraph is a non-deterministic asynchronous protocol by adding randomness. The compromise is that the consensus protocol will terminate eventually but there is uncertainty as to when termination will occur. In its current design, Hashgraph employs coin toss (i.e., middle bit of a signature) for nodes to make decisions when there is no progress in the consensus protocol. Therefore, there is non-zero probability of all honest nodes having the same value after numerous rounds of coin toss. Eventually all the honest nodes will become unanimous. However, if all the Byzantine nodes try to disrupt the protocol by manipulating the gossip protocol as detailed in point 2 above, the effectiveness and efficiency of this coin toss approach becomes questionable, as it may take numerous rounds to reach consensus.

## 5. Conclusions

Hashgraph is an interesting consensus protocol that has been shown to yield high throughput in a private and static setting. Hashgraph is fast, fair, and secure within the permissioned setting it currently operates in. However, if and when used in a

public setting, Hashgraph will face the same issues that other public blockchains are facing today and may not be able to maintain its security and performance. In fact, scalability is still an open problem for public blockchains. It is interesting to see new solutions being proposed by the community. For instance, Ethereum uses PoS for their Casper protocol, NEO employs dBFT, EOS has a dPoS-based solution, and Zilliqa implements sharding. All these solutions have their own benefits and weaknesses as there is no silver bullet to solve the scalability problem and there has never been one for many scientific problems. Another important question is what does a scalable solution actually mean? Does this mean that the solution is scalable in the number of users or in the number of transactions, or in the size of the network? If a P2P network is capable of processing thousands of transactions, can we call the solution scalable? If so, what happens when the network doubles its size— can the throughput be maintained? In fact, a solution that is scalable in a single dimension may not be well-suited for a use case that requires scaling in a different dimension. Hashgraph currently scales only in the number of transactions processed but does not scale with the number of nodes in the network. Zilliqa for instance scales with the number of nodes in the network. So, let us all appreciate the underlying technology in Hashgraph but not with closed or blinded eyes. And while we appreciate Hashgraph, we should also appreciate blockchains which have paved way to the likes of Hashgraph in just the same way, they have paved the way for Ethereum, EoS, NEO, Zilliqa and many others. Hashgraph is proven to be fully asynchronous Byzantine. This means it makes no assumptions about how fast messages are passed over the internet and this makes it resilient against DDoS attacks, botnets, and firewalls.

The Hashgraph algorithm works without needing to use the Proof of Work or Leader systems, and can also deliver low-costs and high performance levels without a single point of failure. Hashgraph does away with the need for extensive computation and energy consumption and improves on the performance statistics of the Bitcoin network. Bitcoin operates at a maximum of 7 transactions per second. While Hashgraph is only limited in relation to bandwidth and allows for over 250,000 transactions per second.

In addition to this, Hashgraph also allows more a fairer system of operations as currently, miners can choose the order for which transactions occur in a block, and can even delay orders by moving them into future blocks, or even stop them from entering the system if necessary. Hashgraph utilizes consensus time stamping and prevents any individual from changing the consensus order of transactions by denying the ability to manipulate the order of transactions.

Despite its obvious benefits, Hashgraph has some way to go before it can boast of the network effects enjoyed by both Bitcoin and Ethereum. However, in the ever evolving world of blockchain technology it seems we are on the cusp of the next stage of evolution.

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## National Financial Inclusion Strategy for Fighting Against Poverty and Enhancing Sustainable Economic Development in Albania

Fitim Mexhuani

Artur Ribaj

### Abstract

This paper presents the issues that Albania is facing related to financial inclusion and the recommendations to be taken in consideration based on results of my qualitative and quantitative research over public reports, surveys and interviews. Based on the analyses of interviews for this paper with undergraduate students of economic faculties all around Albania, the results show that: a) about 62% of interviewees do not have knowledge for financial products such as mortgages, overdrafts, online banking, money transfer; b) about 94% of interviewees do not have knowledge for voluntary insurance products, investment pensions funds, investment funds, corporate bonds and equity investments; c) about 61% of interviewees do not know the role of BoA and AFSA as regulatory and supervisory authorities of financial markets in Albania; etc. Albania needs a national financial inclusion strategy for fighting against poverty and enhancing sustainable economic development of the country. This will contribute to achieve the enabling of the easy access and reasonable cost to a whole range of financial services - not just credit but also savings and payments - for individuals (regardless: the low level of income, gender, age, very young or very old, location, rural or urban, etc.) and businesses (regardless if they are: natural or legal person, small or large, with activities in agriculture or commerce, in the village or town, etc.). The financial education is key to understand what you sign when you invest. In Albania the level of financial education is very low which affects the financial decisions of adults, their life and sustainability of Albanian financial markets. Implementing obligatory financial education programs for each target group reduce social effects and intermediaries' financial risks, increase healthy consumption and develop stable financial markets. Recommendations of this paper demand the involvement of the Albanian Government, regulatory authorities and other stakeholders for setting up a dedicated public structure as responsible for implementing asap measures for each targeted segment. According to World Bank, access to financial services made possible thanks to reforms. Albanian authorities (MoFE, MoESY, BoA, AFSA, ACA) must amend the legal and regulatory framework approaching EU Directives, OECD principles and best practices to enable competition not concentration, transparency, access to finance for vulnerable segments and quality financial services. By the other side, these authorities should supervise and take care without allowing "shadow banking" and other financial intermediaries not subject to any regulatory oversight, which is becoming a growing concern for supervisory authorities worldwide and mainly for developing countries.

**Keywords:** financial inclusion, financial education, consumers, businesses, regulatory authorities, financial intermediaries

**JEL classification:** E2; E44; E58; G21; G22; G23; G28; H52; H54; H77; H81; I2; K23

### Introduction

Albania is a middle-income country and has generally been able to maintain growth rates and financial stability, despite the ongoing economic crisis. However, growth is expected to stay below the country's potential over the medium term. The financial sector has remained stable throughout the turbulence of recent years.

During these transition years, emigration and urbanization brought a structural shift away from agriculture and toward industry and service, allowing the economy to begin producing a variety of services - ranging from banking to telecommunications and tourism. Nevertheless, agriculture sector is a main source of employment and income in Albania and represents around 22% of GDP while accounting for about half of total employment. Albania's agricultural sector continues to face several challenges, and one of them is limited access to finance and grants.

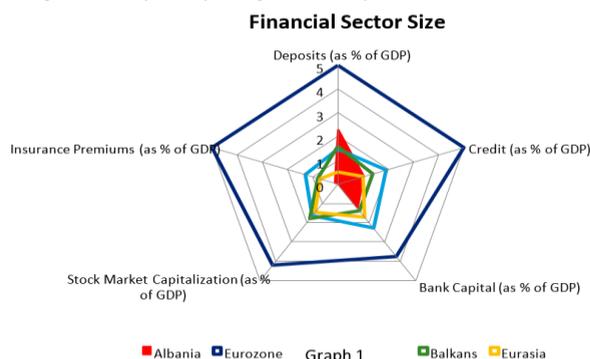
According to the World Bank Development Group's Global Findex<sup>1</sup> for Albania generated on October 29, 2015. The survey estimated key indicators in Albania, as per table below:

Account (% age 15+)	38%
Made or received digital payments (% age 15+)	22%
Received wages or government transfers into an account (% age 15+)	14%
Disclosure index (Global Survey on Consumer Protection & Financial Literacy 2013)	3%
SMEs with an account at a formal financial institution (%) (Enterprise Surveys, 2013)	72%
SMEs with an outstanding loan or line of credit (%) (Enterprise Surveys, 2013)	27%

Financial inclusion is a new issue which dates from the 2008 financial crisis and since then all relevant global institutions including the World Bank and the International Monetary Fund (IMF) have placed on their agendas. This implies the involvement of all citizens, especially those from rural areas and those with special needs in financial services but also deepen financial inclusion of those who have a bank account.

#### Access to financial products for Albanians and their businesses

Albania's banking sector is similar in size to its Balkan neighbors in terms of loans and bank capital, but nonbank financial services lag far behind the region. The other non bank financial markets are under developed. The country will continue to struggle to diversify its bank-centric financial sector in the current economic environment. The government remains almost the only issuer of bonds except a few corporate fixed income securities offered privately. Insurance products are still not widely held except compulsory insurance products. **Financial Sector Size graph**, as per following:



Financial inclusion ensures sustainable access to appropriate financial products for all people and businesses at affordable cost. Financial accessibility is vital for achieving development and economic goals for a country. Having people in Albania with no access to financial products such as current accounts and other financial products, it means they cannot fully participate in economic life of the country. Most of these people live in less-developed cities or villages in Albania.

Even for the Albanians who have a current account and living in urban area; does not mean there is fully the access to finance for them. Even though financial education is integrated as a subject into the last year of the secondary education curriculum, it does not fulfill the needs of Albanian citizens for getting education on financial literacy. Albania does not have a formal strategy for financial education/literacy of its citizens for either adults or children and youth. There is the risk, they make wrong decisions and assume obligations they cannot meet in the future. The financial services consumers' lack of knowledge can undermine their financial resilience.

Based on the analyses of interviews for this paper with students of economic faculties all around Albania, the results show that:

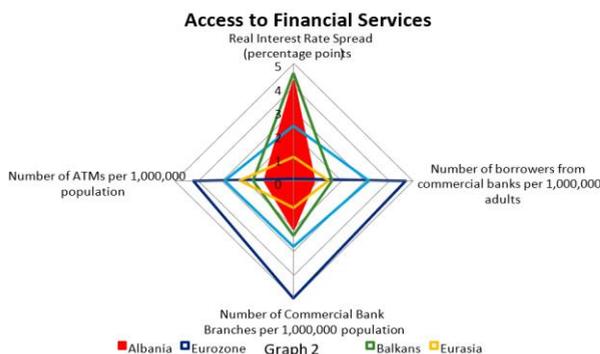
a) about 62% of interviewees do not have knowledge for financial products such as mortgages, overdrafts, online banking, money transfer;

<sup>1</sup> The 2014 Global Findex features more than 100 indicators. The database includes indicators on ownership of financial institution accounts and mobile money accounts; use of mobile money accounts for savings and payments; purposes of account use, such as receiving government transfers, wage payments, and agricultural payments; how adults send and receive domestic remittances; savings behavior; use of savings methods, such as banks, and informal savings clubs or people outside the family; sources of borrowing, such as banks, friends, family members; and purposes of borrowing, such as home purchases, school fees, and emergencies. The target population is the entire civilian, noninstitutionalized population age 15 and above. The set of indicators will be collected again in 2017.

- b) about 94% of interviewees do not have knowledge for voluntary insurance products, investment pensions funds, investment funds, corporate bonds and equity investments;
- c) about 61% of interviewees do not know the role of BoA and AFSA as regulatory and supervisory authorities of financial markets in Albania; answering for Government as the body which regulate and supervise the financial markets in Albania;
- e) about 51% of interviewees have a banking account using only to get their part-time job salaries or scholarships; they raised as issues the increased costs of maintaining a bank account, money transfer, commissions/fees for online banking and commissions/fees for paying with bank cards in POS-es, etc; and about 87% of them raised the issue of lack of transparency by the financial intermediaries (banks, lending NBFIs and insurance companies for compulsory insurance products, where mentioned because they had at least a product with them during their life); They referred to agreements having small size letters, unclear language; changing the products terms and conditions without informing, etc;
- h) about 93% of them or their families had only MTPL (compulsory insurance) no other insurance products, because they could not identify the benefits of these products. They consider insurance agents as salespeople not trusted people for serving financial products.

### Access to finance/credit

Banking sector assets account for 93 per cent of total financial system with 16 banks operating in the market (in total 500 branches/agencies). The total banking assets in Albanian banking activity is concentrated, four biggest banks in Albania have almost 68% of total banking assets and the level of non-performing loans still remains high at 15.9% as per BoA data of May 2017. According to BoA expert, cleaned from the write-off effects, the annual growth of the total loan portfolio in April remained modest, at 3 percent. However, the BoA expects lending activity to improve gradually in the quarters ahead, reflecting the expected expansion of demand and improvement of supply (Source: Xinhua| 2017-07-07). Access to banking financial services graph, as per following:



Access to banking services remains very limited in Albania, although modest improvement is seen in most of the indicators. There are no positive trends regarding numbers of bank branches, ATMs, POS, etc. Based on a report of IMF, Financial Access Survey: "The value for Commercial bank branches<sup>1</sup> (per 100,000 adults) in Albania was 21.91 as of 2013. Over the past 9 years this indicator reached a maximum value of 22.42 in 2009 and a minimum value of 9.11 in 2004; the value for Borrowers<sup>2</sup> from commercial banks (per 1,000 adults) in Albania was 136.05 as of 2013. This indicator reached a maximum value of 140.14 in 2012 and a minimum value of 13.42 in 2004." Today, with the new acquisitions in the banking sector during the end 2017 (American Bank of Investment bought National Bank of Greece, Albania) and beginning of 2018 (Tirana Bank, member of Piraeus Bank is in the process of selling its shares and another existing bank in the market might be the buyer), we might assume that these indicators will decrease in the future.

In the absence of a state-owned bank in Albania, the government cannot influence directly the banks to be present in every location for increasing the access to finance of the Albanians, despite their location being in west or east, in city or village, in Tirana or Tropoja or Ksamil. It should not be concluded that government ownership is either the best or the cheapest way in which to maintain rural access to the banking system, knowing the costs and bad administration of state owned banks and poor lending practices, however, the government must find solutions for increasing the financial inclusion of Albanians.

<sup>1</sup> Are retail locations of resident banks that provide financial services to customers

<sup>2</sup> Are the reported number of resident customers that are nonfinancial corporations (public and private) and households who obtained loans

A more effective – and cheaper – approach to foster outreach may be to provide grants to private banks to increase their rural presence using lower cost mechanisms (such as mobile offices and new technologies such as mobile payments) and reinforce this by promoting the development and regulation of non-banking institutions such as the stated owned Albanian Post (500 branches/agencies). Albanian Post during 2015-2016-2017 has undertaken projects on digitization of postal and financial services, the development of a new comprehensive platform to support e-payments (e-commerce), project payments via telephone (mobile payments platform & e-wallet) as an important instrument in the financial inclusion of all citizens, etc. However, Albanian Post must be more accurate and demanded on its objectives for offering financial services to unbanked people in Albania.

### **Compared to EU businesses, the Albanian businesses often face obstacles in securing access to credit sources.**

Some obstacles originate from the lack of investment or credit readiness of the Albanian businesses, such as inadequate or non-existent business planning, accounting practices and book keeping, lack of awareness and knowledge about financing options and instruments, and economic informality. According to OECD Report (Access to Finance & Innovation in The Western Balkans Findings from the Small Business Act Assessment,<sup>1</sup> March 2017), Banks remain the most important source of credit for SMEs which have been disproportionately affected by credit constraints; Domestic credit to the private sector as a share in GDP has decreased between 2009-2014; Albania has the lowest ranking in the region<sup>1</sup> for Government financial support services for innovative SMEs.

Bank finance in Albania is a major and almost the only source of external finance for businesses. However, obtaining credit is one of the top five challenges of **doing business** in Albanian economy according to the latest EBRD survey of 2014. The banks should effectively fulfil their role as intermediaries between owners and users of funds for ensuring a more efficient allocation of financial resources. According to the latest report of World Bank related to domestic credit to the private sector<sup>2</sup> over GDP, the report for 2016 is 40.55 comparing to 40.61 for 2015 and based on the report of WB Doing Business<sup>3</sup> (Getting Credit) for Albania, as per Credit Register database the number of borrowers is 648,828 individuals and 19,002 businesses.

The competition in the banking sector measured by the degree of concentration in the banking sector, which is captured by the share of total assets controlled by the largest banks and the additional information on the degree of state and foreign ownership in the banking system. Even knowing that around 90 per cent of the banking system capital share in Albania is owned by foreign capital, Albania considered having issues in concentrated banking sector which might result in a lack of competitive pressure to attract savings and channel them efficiently to investors.

Albanian Competition Authority (ACA) in January 2011 after a monitoring process issued a decision regarding the banking sector and its transparency in the banking services (Decision no 174, dated 25.01.2011). During 2015-2016 the authority has conducted a general investigation to assess if there are distortions or restrictions of competition in relevant banking market. The investigation procedure has been concluded but the decision-making is still in process. Albania might lose the benefits of competition in the financial sector which are the enhanced efficiency, the provision of better products, increased innovation and credit interest rates.

### **2.2 Access to other financial products**

Non-bank financial institutions (licensed and supervised by AFSA) are still at early stages of development. The indicator of total assets of all three financial markets, *insurance* market, voluntary pension funds and investment funds were 6.7% of GDP at the end of 2016. While, during 2016 the Albanian *insurance* industry continued a pace of expansion with total assets to GDP of 2.2% in 2016. According to BoA (Financial Stability Report 2017 H1, page 44, July 25, 2017), Total share of banking sector assets decreased at 91.9% of GDP, against 94.9% at the end of 2016. The contribution of these markets to GDP is increasing slowly during years, further limiting private sector's access to financial products as well. As per following the table "Share of financial system segments<sup>4</sup> in GDP, over years" (Financial Stability Report 2017 H1, page 44, July 25, 2017)

Licensing and supervising authority	Financial system	2011	2012	2013	2014	2015	2016	2017 H1
Bank of Albania	Banking sector	84.7	89.6	90.5	91.7	91.3	94.9	91.9
	NBFIs	2.5	2.7	2.5	2.7	2.7	2.9	2.8
	SLAs and Unions	0.7	0.8	0.8	0.8	0.7	0.6	0.5
Financial Supervision Authority	Insurance companies	1.5	1.6	1.6	1.7	1.9	2.1	1.9
	Pension funds	0.01	0.02	0.03	0.04	0.1	0.1	0.1

<sup>1</sup> Albania, Kosovo, Macedonia, Montenegro, Serbia, Bosnia & Hercegovina

<sup>2</sup> <http://data.worldbank.org/>, as per data of November 2016

<sup>3</sup> <http://www.doingbusiness.org/>

<sup>4</sup> The financial system consists of banks, non-bank financial institutions, savings and loan associations (SLAs), insurance companies, private supplementary pension funds and investment funds.

Investment funds		1.21	3.7	4.5	4.7	4.4	4.7
Financial intermediation	89.41	95.93	99.13	101.44	101.3	105.1	101.9

Figure 1 shows the premium per capita and gross written premiums according to each prefecture. The insurance penetration rate has increased in 1.04% in 2016 compared with 0.98% in 2015, but still remains scope to increase this indicator at least to the level of the region (Kosovo 1.39 %, Montenegro 2.15%, Macedonia 1.51% and Serbia 2.15%). Regarding the extent of the use of insurance products by the population, in 2016, premium per capita averaged 5.370 Lek (39.09 euros), an increase of 490 Lek compared with a year ago. The premium per capita in the non-life insurance for 2016 averaged 5,000 Lek. Also, over 90% of the banks' branches are in urban area. Figure 2 shows the number of bank branches by location/prefecture, about 40% of them in the capital city (Tirana). The definition of branch is expanded to include all types of access points - agencies, pay-points, mobile units, satellite branches, and sub-branches. The distribution also reflects a difference in geographical importance between west and east part of Albania.



The growth of the insurance market is mainly driven by the growth dynamics of compulsory motor insurance during 2016, or 61.56% of total gross written premiums of non-life insurance. The average premium for compulsory motor insurance in Albania is approximately 115 euros from 109 euros that was the premium level in 2015. By comparison with countries in the region note that Albania has a premium level higher than Macedonia (88 euros) and Croatia (102 Euro) but lower than Kosovo (137 Euro) and Bosnia and Herzegovina (145 Euro). The report of claims paid over insurance market premiums for non-life results 38.75% in 2015 from 35.75% in 2014. During 2016 claims paid were about 31.16 million euros, or about 17.53% more than in 2015. Most claims paid belong to motor insurance with about 18.93 million euros or 61.65% of the total.

**The establishment of other external finance (bonds, stock exchange, etc.) enables Albanian businesses** to meet working capital requirements, fill temporary gaps in the cash-flow cycle and support expansion plans, leveraging the internal resources (the investors' equity contribution and/or retained profits). Compared to EU businesses, the Albanian businesses often face obstacles in securing access to such external financing sources.

The Tirana Stock Exchange, TSE, opened in 1996, shortly before the fraudulent pyramid investment scams. Some of those investors lost houses and herds of cattle when they sold their possessions to get a 300 percent return on their investment in 90 days (Thomson Reuters, OCTOBER 19, 2017). TSE never gained the trust of local businesses, remaining a ghost financial institution up to 2014, when the Ministry of Finance frozen it. AFSA licensed Albanian Securities Exchange on 3 July 2017, with a registered capital of 50 000 000 Lek (approx. EURO 370 000). The ALSE has three shareholders, Credins Bank with 42.5% of the capital, American Investment Bank with 42.5% of capital and AK Invest company with 15% of the capital. The Albanian Securities Exchange, which will trade Albanian government securities up to July 03, 2018 and will trade corporate bonds and equities after July 03, 2018. ALSE began trading securities on February 22, 2018. According to the statistics published by ALSE: "ALSE in its early days has reported a satisfactory volume of EURO 5 million, although the number of transactions is still limited. In seven transactions registered on the ALSE, five of them involved treasury bills and the two other government bonds". According to Thomson Reuters, (Big Story, OCTOBER 19, 2017), people (albanians) like this tend to see securities trading as fraud, making it an uphill struggle for ALSE's team to persuade them otherwise. ALSE must operate effectively with transparency and accountability for supporting access to finance but caring for investors as well.

The survey over access to finance for Albanian businesses, shows; access to bank finance is constrained by uncertain prospects of success, long time-horizons, account book keeping, fair competition, a lack of tangible assets that can be used

as collateral and a limited operating history. Therefore, access to a sufficiently broad range of business financing instruments is desirable to obtain the form and volume of financing to specific needs and the stage of the business life-cycle. Also, some other obstacles originate from the relationship between the providers and users of such external finance, in particular, information asymmetries, moral hazard (which can be amplified by the limited capitalisation of small enterprises) and relatively high transaction costs. However, equity finance, is needed to strengthen business' capital structure and boost investment in innovative start-ups and high-growth. Also critical for more mature firms which can raise capital in stock markets, access to equity finance is an important feature of a competitive environment that supports business creation and expansion.

Stock markets allow investors to trade their stakes, realise capital gains and eventually redirect their capital into new investments (UNECE, 2009). For Albanian businesses access to stock markets is difficult, however public listings of business equity can help to provide funding, particularly for innovative, start-ups and high-growth businesses. Specialized listing platforms<sup>1</sup> for "new markets", can offer more flexible listing criteria, eased disclosure requirements and comparatively low admission cost, which enable businesses better access compared to generic stock exchanges (OECD, 2015).

Alternative financing instruments could be relevant in Albania. This could include other instruments of asset-based lending, alternative (besides leasing and factoring) debt instruments (e.g. corporate bonds, securitized debt, covered bonds, private placements, crowd funding), and/or equity instruments.

### **2.3. Other findings related to financial inclusion of Albanians and their businesses**

**Credit information services.** The use of credit information is recommended to improve risk management for lenders and access for borrowers. The quantity of information includes the type of information collected (positive, negative or both) and the existence of historical data. Efforts to increase the number and types of information providers (financial institutions as insurance companies, brokers, etc.; utility companies, etc.) are also considered. Well-functioning public and private credit information systems and bureaus provide information on borrowers, including firms and individuals, reducing information asymmetries between lenders and borrowers, increasing market transparency, encouraging greater investor participation and reducing financing costs for the Albanian businesses. They enhance lenders' ability to verify the indebtedness and repayment history of borrowers and increase borrowers' cost of default.

**The search on financial education** conducted, approaching the OECD guidelines. Albania has a financial system relatively new and therefore knowledge, experience and customer relations are still in the early stages of development. About the relationship between financial inclusion and demographic features, noted that the more educated (moreover, recognition of basic financial concepts) people recognize and use financial products. The financial products are known and used more by men than women, and individuals belonging to the age group 30-59. Also, 50% of interviewees admitted that when they are caught in a situation of insufficient income have chosen to borrow from friends or relatives to get out of the difficulty, without demanding the credit institutions.

Albanian Financial Supervisory Authority (AFSA) since December 2016 started signing Memorandums of Understanding for joint activities and initiatives for financial education with Economic Faculties in Albania and during 2017 progressed all around Albania. BoA as every year at March 2018 organized the "Money Week" with some activities related to financial education. Are those enough? Even though, BoA and AFSA are key players for sustainable economic development of Albania, but there should be a national coordinated strategy with other stakeholders as well to set up joint initiatives for improving financial education and encouraging financial inclusion.

**Consumer protection** will be effective only if the customer actively protects its rights. It is important that citizens are increasingly requiring information to compare terms and conditions of financial products and most importantly is that they raise their voice if they encounter problems. Mistakes happen, so financial institutions should be aware of the mistakes and be given the chance to correct them. Also, financial education increases the ability, freedom and confidence of families and companies to better manage their finances, considering the economic and social side. But, to be implemented the program for consumer protection requires intervention in the regulatory and legal framework for consumer protection in the financial sector, strengthen market supervision, dispute resolution where customers will be provided with mechanisms to protect pro-actively their rights. Without adequate consumer protection, the advantages of financial inclusion may fade.

**Technological innovations** (exp. FinTech) and growing competition for financial services worldwide have expanded the range of financial services offered to consumers, including people with low incomes and poor, but on the other hand, they also carry new risk. Appropriateness of the recent world financial markets underlined the necessity of adequate consumer protection and financial education to ensure long-term stability of the financial markets. Therefore, financial education and protection of financial markets consumers are fundamental pillars of financial inclusion, which guarantees long-term stability of financial markets for a developing country like Albania.

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<sup>1</sup> Equity-based crowd funding is another instrument listed by the G20/OECD High-level Principles on SME Financing.

## Recommendations

Albanian Government in cooperation with international institutions (as exp. WB, OECD, etc.) must develop a national strategy for its financial inclusion, settling a dedicated public structure under the authority of the Ministry of Finance and Economy with measurable objectives in short and long term, strategies and budget for increasing financial inclusion through coordination and cooperation between all institutions (MoESY, BoA, AFSA, ACA, etc.) in Albania.

Under the coordination of this dedicated public structure, some measures need to be taken as soon as possible for enabling financial inclusion, as per following:

Implement obligatory financial education programs for each target group providing knowledge over financial products; therefore, reduce social effects and financial risks, increase healthy consumption and develop stable financial markets; Authorities to amend the legal and regulatory framework for consumer protection approaching EU Directives, OECD principles and best practices by developing countries to enable competition not concentration, transparency, access to finance for vulnerable segments and quality financial services.

Create credit information system for generating credit scoring as an important factor for access to finance (credit, and healthy lending to Albanian consumers), reduction of costs and facilitate financial inclusion for other financial products as insurance, investment funds, pension funds, etc.;

Increase capacities of Albanian Post (as a financial institution), for supporting especially those business activities which concentrate on small and medium-sized enterprises, entrepreneurs, innovators, youth-owned businesses, women-owned businesses and farmers in less-developed regions of Albania and in projects that contribute to greater economic diversification and regional integration of Albania, to catalyze business growth and job creation by financing underserved individuals and businesses.

Reducing to zero online banking fees, commissions for payments with bank cards in POS-es, commissions for getting information and maintaining a bank account, which are increase sing significantly by commercial banks in Albania during these last years. Asking transparency over terms and conditions of financial products, informing their customers in an understanding and sustainable way of communication, reduce the risks and boost financial inclusion;

High costs and delays for foreign currency money transfers between customers of Albanian banks (EURO currency is common used in business transactions in Albania, but clearing settlements for this currency is performing outside Albania, exp. through Deutsche Bank) and late payments for public procurement payment transactions are forcing Albanian businesses and families to seek external financing to cover cash flow gap and/or to cut back investment, hiring plans, or consumption in case of households;

Developing corporate bonds and stock exchange services for generating other sources for raising capital to business, requires urgent measures for insuring transparency and confidence to investors through effective supervision over financial intermediators and financial statements of listed companies;

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## Jaw Cancer, Halitosis and Drying of the Lips

**PhD. Cand. Enis Uruci**

Faculty of Professional Studies, Department of Medical Tech Science.  
Lecturer at "Aleksander Moisiu" University Durrës, Albania.

**Dr. Med. Emirjeta Kuniqi**

Faculty of Professional Studies, Department of Medical Tech Science.  
Lecturer at "Aleksander Moisiu" University Durrës, Albania.

**Fatos Bala**

Student at "Aleksander Moisiu" University Durrës, Albania.  
Faculty of Professional Studies, Department of Medical Tech Science.

### Abstract

Jaw Cancer is a malignant tumor that usually affects the white race, especially men in 80% of cases. In 50% of cases, this malignant tumor gives metastases in the neck to other body organs. Lip drying is a problem that affects all people at all ages. A problem, which can be painful and embarrassing to look as well. The general symptoms of this problem are drying, rinsing, burning or stiffening. The bad mouth of the mouth, which is called halitosis in medicine, may be caused by poor oral hygiene, but it may also be a sign of a range of other health problems.

**Keywords:** Jaw Cancer, health, Halitosis, Tumor, Drying of the lips.

### Introduction

#### Bladder cancer, bad taste of the mouth and drying of the lips.

Bone cancer is a malignant tumor that accounts for 25-30% of all malignant facial tumors. Men mainly affect and risk factors are different.

If you are a regular smoker, bite your lips often, do not use protective creams, without excluding the genetic factor, you are jeopardized.

#### What Is Jaw Cancer And How Does It Classify It?

The laryngeal cancer (tummy tuck) is a malignant tumor that accounts for 25-30% of the malignant tumor of the facial area. In 95% of cases it touches the lower lip, because the lower lip is more mobile and more exposed to solar radiation and microtraumas. It usually affects white race, especially men at 80% and is in the form of epidermoid carcinoma in 90% of cases. In 50% of cases, this malignant tumor gives metastases in the neck to other body organs.



### Distribution

The classification of the lip cancer is known as the TNM classification where T means tumor, N-nodus, M-metastasis.

#### Tumor

Tumor is classified into tumors T1, T2, T3 and T4.

- T1: when the size of the tumor is less than 1 cm and is superficial.
- T 2: a 1-3 cm tumor, even this is superficial, so it does not penetrate into the depth.
- T3: when the size is larger than 3 cm and penetrates into the depth.
- T4: It is the most aggressive form, over 4 cm in size, deep and spreads to the cheeks, chin, lower jaw (mandible) and the upper lip.

#### Nodus

Nodus is related to lymph glands and has this classification: N0, N1, N2, N3.

- N0: implies that we do not have tangible lymph nodes.

- N1: there may be the presence of a lymph membrane on one side of the neck, portable,
- N2: we have at least one lymph membrane at the other end of the neck or on both sides, portable.
- N3: we have at least one lymph membrane in one side or both of the neck over 6cm fixed in package form.

#### **Metastasis:**

- M0 - When there is no metastasis in the distance
- M1- We have metastases in the distance, such as: lungs, bones, brain, liver, etc.

#### **How is treatment done?**

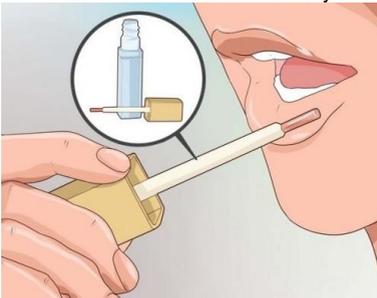
The treatment of edge cancer is done depending on the classification. For its treatment it is used surgical treatment, radiotherapy, chemotherapy, and the combination of them. Referring to the TNM system, oral cancer treatment is recommended as follows:

- In T1-T2: either surgery or Ro-Therapy is used.
- In T2-T3: Surgery plus Ro-therapy is used.
- In T4: Surgery plus Ro-therapy is used.

Also, the neck is treated through the lymph node dissection. The most commonly used techniques for surgical treatment of oral cancer are: vermilionoplasty, ellipsoid excision (elliptical form), exicition (wedge-shaped, V-excision), quadrangular or trapezoidal excision, EX-shaped excision when the lower jaw is touched with the lip it is partially removed or blocked. Nowadays, with the removal of the tumor, the immediate reconstruction of the lips with the muscular flaps is done. So, the patient should not wait for up to 6 months until the wound closes to make her plastics, but along with the removal of cancer is modeled and the lip defect.

#### **What are the risk factors?**

Risk factors are shared both internally and externally.



External factors are known: chemical factors (hydrocarbons), physical factors (ultraviolet solar radiation, ionizing radiation, viral factors (EBV, HPV etc.), tobacco, alcohol, chronic lips inflammation (glandular actinic keylitis), precancerous conditions (leukoplakia) the good of mouth, malnutrition and various microtraumas (decubitus, lips bite, some carpenter craftsmen, showmakers carrying metallic objects on the lips). As internal factors are known genetic, endocrine, immune and nutritional factors.

#### **At what age and where do we find it most often?**

Jaw cancer is most common in the age of three and less at younger ages. In 90% of cases it affects men, especially smokers, showmakers, carpenters, since showmakers or carpenters tend to put the nail into the mouth without realizing that it is very damaging to them.

#### **The lips of the lips that women use, contains the bullet. Is there a risk factor here?**

No, scientifically it is not known to have such a protective factor. People who tend to bite the lip and in the case of the formation of a wound on the edge of the bite have used lipstick or soothing, have had a result in the rapid regeneration of the wound created on the lips. Also, the skin protects the lip also against different radiations.

#### **How often do you find these cases in your work?**

There have been numerous cases in simple and advanced stages of oral cancer, while recently their number in statistics has decreased. This can be explained by the use of lips defenders, who have been little used 20 years ago, people's awareness of good hygiene, and the use of filter tobacco, in contrast to the previously used tobacco that is placed directly over the edge, the nicotine spraying effects on the lips have been very large.

#### **Signs of oral cancer.**

Mouthwash appears as a wound in the mouth that extends to the lips, to the tongue, to the larynx. If it is not diagnosed and treated successfully, oral cancer may become fatal for your life. But what are the symptoms of oral cancer ?

The most common symptoms of oral cancer include: Acne, gums, or other areas within the mouth, unexplained bleeding in the mouth and numbness. Also, strong pain at each point of the face, mouth or throat.

Another sign is when persistent wounds appear on the face, throat or mouth, such wounds that bleed and do not heal within two weeks. Another symptom that should bother you is the difficulty in chewing food or swallowing and / or when you have difficulty speaking because of mouth troubles. The tone of the voice and the sore throat are also seemingly insignificant signs that need to be taken into account in order to stand ready to address the doctor to quell the worry. Even the changes in your voice are to be seen. Earache and dramatic weight loss are other worrying symptoms. If you notice any of these changes, contact your dentist immediately. The American Cancer Society records that men face twice the risk of developing oral cancer.

Risk factors are:

#### **SMOKING.**

Smokers are six times more exposed to developing some forms of oral cancer than those who do not smoke.

#### **THE LOT OF ALCOHOL.**

Oral cancers are about six times as likely to affect a person who regularly drinks alcoholic beverages than those who do not consume alcohol. Even family history of cancer is a risk factor. Also, excessive exposure to the sun, especially at an early age, is worrying.

#### **VIRUS HUMAN PAPER (HPV).**

Some types of HPV cause oral cancer.

Blush Drying - Natural Curtains for Their Mitigation and Healing.



Some of the causes of dry lips or other complications of this nature come as a result of lack of vitamins, allergic reactions, dehydration, smoking, sun exposure or cold weather.

However, today many commercial products treat dried lips but you can save your money by treating this problem at home with some natural whims.

AgroWeb.org suggests below a few natural methods to soften and ease the lashing of the lips all at home.

#### **Natural Moisturizing Techniques**

##### **Sugar and Honey**

A fantastic method for regenerating cells is that through sugar.

Just mix two small tablespoons of sugar with a small spoonful of honey. Apply this mass on the edge and hold for a few minutes.

Massage a few lips and then rinse with warm water.

##### **Simple Honey**

Apply a little honey over the edge several times a day. You can do this even at night when you sleep, to have a soft edge in the morning.

##### **Rose Petals**

Clean some pink petals with clean water and then dive for a few hours in a glass of milk.

Take the petals out of the milk and press until it becomes a uniform measure. Apply the measure over the edge twice or three times daily as well as during dinner time.

##### **Coconut Oil and Olive Oil**

Coconut Oil is a natural moisturizer that cures dry lips from dry or cold.

##### **Causes and mouth drying.**

In popular language, the phenomenon is known as "dry mouth" or "dry mouth". It is a concern that is characterized by lack of saliva. The name of this disorder is called xerostomia.

It does not happen by chance, but is often caused by a pharmaceutical therapy.

"Dry mouth" affects one in four people, demonstrating it is more widespread than thought. There are more than 400 medicines that can cause this problem. Some of them are: tricyclic, antipsychotics, antiparkinson, antihypertensive, diuretics, etc.

In addition to the specific xerostomizer effect of each drug, there is a direct correlation between xerostomia and the number of drugs taken.

Because, with growing age, it tries to take more medication, making it more vulnerable or vulnerable to their side effect. This also explains the fact that over 50% of elderly patients suffer from this concern, of which little is said.

One of the other causes of xerostomia is the Sjogren syndrome, a chronic autoimmune inflammatory disease. Then there are treatments for oncological therapies, such as infections from the HIV virus of HCV and other viral diseases. But also neuropsychiatric concerns, periods of anxiety and big emotions, diabetes and respiratory problems.

So, if you are very tired, anxious, stressful, they affect the reduction of saliva and the mouth begins and dries. Meanwhile, smoking and drinking alcohol contribute to the aggravation of the problem.

Steroidosis often manifests itself with other physical distress, with great sense of thirst and the need to drink more than normal. Moreover, people who suffer from this disorder lose their sense of taste, lip and tongue, sleep can not sleep, have difficulty talking and eating.

In all these cases, it is important to take care of oral hygiene by using products that are able to improve mucus hydration and ease irritations. There are different drug present currently present on the market or line, which are entirely devoted to the problem in question, belonging to the oral care sector.

The products in question are specially designed to hydrate and protect the mouth cavity. Full lines contain toothpastes, gargle, a jar tub and a moisturizing spray.

Acupuncture is also useful in the case of dry mouth, facilitating the characteristic symptoms. For this, you can contact practitioners to get more information.

## **CONCLUSIONS AND RECOMMENDATIONS**

### **Some important tips if you have a dry mouth**

- You can chew a sugar-free gum at any time you feel dry mouth.

- Drink plenty of water or other sugars without sugar and no alcohol.

You can put a glass of water or ice cubes near the bed where you sleep, so that if you take a dry mouth, you can drink too much water.

- Eat plenty of fresh fruits and vegetables.

- Pay great attention to the hygiene of the mouth.

- Limit food eating and drinking liquids that contain sugar before and after meals throughout the day.

- Wash the teeth at least twice a day in order to remove the fermented foods in the mouth.

- Use fluoride toothpaste and rinse liquid, with which you can make mouthwash. Use a special mouthwash solution that you can find in the pharmacy.

- Make regular visits to the dentist.

- Avoid smoking.

- Before sleeping, turn on the air humidifier. This type of apparatus can eliminate mouth dryness at night, especially if you are comfortable with sleeping with your mouth.

### **The bad wind of mouth.**

The bad mouth of the mouth, which is called halitosis in medicine, may be caused by poor oral hygiene, but it may also be a sign of a range of other health problems.

Bad wind can also be caused by eating food and other unhealthy lifestyle habits.

### **How does food affect the bad smell?**

Mostly all the food we eat affects the smell of the mouth. The diet is digested and absorbed in the bloodstream through which it is transmitted to the lungs.

If you eat strong-flavored food such as onions and garlic, brushing and dental care removes the scent temporarily. The aroma will not leave completely until the body is completely cleaned from food .

### **How do bad habits affect the bad smell?**

If you do not brush your teeth regularly with a brush or dentist, food particles may remain in the mouth and cause the development of tooth between the teeth around your teeth and tongue.

Also cigarette smoking can cause bad smell, spotting on the teeth, toothache or diminishing the ability of the senses of taste.

### **What are the health problems associated with the bad smell?**

Bad weather may be a consequence of tooth decay. Bacteria cause toxins in the mouth that irritate the gums.

If the gum disease is not cured, the entire jaw can occur. Other causes may be dental prosthesis, caries and fungal fungi in the mouth.

One of the causes may be xerostomy, a health condition that implies dryness in the mouth. Saliva is needed to moisten the mouth and neutralize the acid created by the plate.

Saliva clears dead cells that are collected in tongues, toothpastes, and the inside of the pages. Dry mouth can not produce enough saliva to decompose dead cells, which leads to bad wind.

Dry mouth may be due to the consumption of various medications, unbalanced saliva glands or persistent breathing through the mouth.

Many other illnesses can cause bad smells, such as lung inflammation, bronchitis, chronic sinus inflammation, diabetes, liver disease, kidney disease or acid reflux, respectively, to restore gastric acid to the esophagus.

#### **What should be done to prevent bad smell?**

Practice good oral hygiene. Wash your teeth with a brush at least twice a day on the pastry containing fluoride to remove the food and the tile. Clean your teeth with brush after each meal, do not forget the tongue.

Change the brush every 2 to 3 months. Use dental care once a day to remove food and tooth between the teeth. If you keep the prosthesis, take it out of your mouth before you fall asleep, and clean it well before putting it on your mouth next morning.



#### **Visit the dentist regularly**

Visit the dentist at least twice a year. The dentist will perform professional dental hygiene and will be able to detect and cure diseases of the mouth cavity in time.

#### **Stop smoking**

This is also a good reason to stop this bad habit. Do not even use chewing gum based on tobacco because they also cause a bad smell. Consult your dentist about smoking cessation.

#### **Drink plenty of water**

Water will keep your mouth wet. Chewing gum or bonbon, as far as sugar is concerned, will also promote saliva production, which helps to nourish food and bacteria.

#### **Keep a diary of food you eat**

If you think that certain food affects the bad smell, keep a diary about what you eat and mark if you have a mouth odor after a certain diet.

Likewise, make a list of the medicines you use, because some medicines can play an important role in creating a bad smell.

#### **How to cure the bad wind?**

In most cases, your dentist can heal the cause of the bad breath.

If the dentist determines that your mouth is healthy and that the bad smell is not caused by mouth disease, it would be best to go to the general practitioner to confirm the source of smell and healing plan.

#### **Which products can you use to eliminate the bad wind?**

You can buy some mouthwash mouthwash solutions. However, keep in mind that many mouthwash solutions offer only temporary feeling that you have solved the problem of the bad breath of the mouth.

There are antiseptic mouthwash solutions, and instead of masking the wind, they kill the germs that cause the bad smell. Consult your dentist about what is the best product for you.

## Physicians in Interwar Czechoslovakia: Gender Aspects

**Tereza Kopecka**

Institute for History of Medicine and Foreign Languages, First Faculty of Medicine  
Charles University, Czech Republic

### Abstract

How many women studied medicine in the interwar period? How successful were they? What were their professional careers? Answers to these questions are quite different from expected. My research analyses data of 564 medical students, enrolled in 1920 at the Charles University. 21,3% of the cohort members were female, which is more than the University average (17,6%). 264 of those students graduated at Charles University. Women were as successful as men. The earliest graduate was female - Anna Herschberg (later victim of holocaust). As fresh medical doctors, women were supposed to become general practitioners, pediatricians or gynaecologists. But they broke all the expectations, mostly refused the career of GPs (unlike men) and chose other specialties, mainly dentistry. It was a wise decision. After finishing 1-year specialization course they were allowed to establish a private office. Being a dentist was an expert job without any obligation of night guards. Thus it was family-friendly. But we cannot omit certain inequalities. There were no female public health officials and only a few female official GPs (paid by the state). Of the 40 official GPs in this cohort, only 3 were female, which is less than 9%.

**Keywords:** Physicians in Interwar Czechoslovakia: Gender Aspects

## Impact of location and government funding on medical Students' Perception of Learning Environment in Nigeria

Efosa Kenneth Oghagbon

### Abstract

The learning environment in medical colleges impacts on future physicians, hence it should be evaluated to identify and address factors that impede learning outcomes. The objective is to evaluate the impact of geographical location and level of government funding on the learning environment in medical colleges in Nigeria. The DREEM questionnaires were administered to 787 students from 3 northern universities 797 from 4 southern universities. Using SPSS version 20, mean global score (MGS) was determined, and domain scores were compared according to northern versus southern universities, state versus federal funded universities among other factors ANOVA,  $p < 0.05$ . The male to female ratio for the 7 medical schools was 2:1. Similar ratio was noted for north (2.2:1) and south (1.9:1) population, but MGS and SPA were significantly higher in northern universities compared to the south (56.4% vs. 53.6%,  $p = < 0.001$ ; 25.3 (11.4) vs. 23.7 (9.0),  $p = 0.002$ ), respectively. Conversely, mean SPL was significantly higher in the southern universities (31.2 (7.5) vs. 29.6 (11.1),  $p = 0.001$ ). State funded universities had a higher MGS and SPA compared to the federal's (56.5% vs. 54.5%;  $p = 0.006$ ,  $25.7 \pm 7.9$  vs.  $24.1 \pm 10.9$ ;  $p = 0.008$ ). But federal universities had higher SPCO and SASP values compared to states' funded ( $23.6 \pm 5.5$  vs.  $22.7 \pm 96.6$ ;  $p = 0.008$ ,  $21.8 \pm 4.9$  vs.  $20.5 \pm 5.0$ ;  $p = < 0.001$ ). Efforts to improve the learning environment in Nigerian medical colleges should be independent of geographical location and level of government funding of schools<sup>1</sup>.

**Keywords:** Students' perception, geographical location, government funding, learning environment, Nigeria universities.

### Introduction

Nigeria universities medical students' perception of learning environment is independent of the schools' geographical location and level of government funding.

The learning environment is said to involve the diverse physical locations, contexts and cultures in which the activities of teaching and learning takes place in a university or centre of higher learning.<sup>(1,2)</sup> Learning environment has been evaluated by various investigators using diverse tools at medical and health-related institutions. These studies found a positive association between the learning environment and its outcomes including the students' achievement, happiness, motivation, success, and practice quality of doctors.<sup>(2-5)</sup> Hence, some authors suggests that fundamental health initiatives of patients' health and safety relies on sound education of health care providers.<sup>(6)</sup> The World Federation for Medical Education earlier recognised the learning environment as a major factor in the evaluation of medical education programs.<sup>(6)</sup> This is supported by findings that academic and clinical environment have important influences on the attitudes, knowledge, skills, progression and behaviors of medical students.<sup>(7)</sup> The accomplishment and contentment of students depends upon their learning environment, hence evaluation of such environment via students' perceptions can guide medical institutions managers and teachers to introspect, devise and incorporate the best teaching strategy for improvement of the educational environment. By using relevant assessment tools, researches are able to assess the whole spectrum of activities, facilities and policies underlying learning in medical schools<sup>(8)</sup> which may provide detail information on the learning processes. The results of such evaluations have been found useful in the enhancement of students' satisfaction and achievement.<sup>(3,4,9)</sup>

In order to investigate the factors affecting students' learning environment, especially across many sites, specialties, and student groups, the use of a wide-ranging, valid, and reliable instrument have been utilised.<sup>(8,10,11,12)</sup> The most widely used contemporary instrument for this purpose is the Dundee Ready Education Environment Measure i.e. DREEM,<sup>(8)</sup> which was developed by an international Delphi panel in Dundee, Scotland, UK. It is a worldwide, validated instrument that provides medical teachers with diagnostic help to measure the overall state of affairs in the learning environment of their colleges.<sup>(13-</sup>

<sup>1</sup> Study locations in Nigeria include; Benue State University, Makurdi; University of Ilorin, Ilorin; University of Calabar, Calabar; Bayero University, Kano; University of Nigeria, Nsukka; Ebonyi State University, Abakiliki and University of Benin, Benin-city.

<sup>14)</sup> The DREEM questionnaire has been found to be reliable in a variety of settings, by which educational managers can identify limitations and formulate changes in curricula.<sup>(4,14,15,16,17)</sup> The DREEM was earlier used by us in 2014,<sup>(15)</sup> and it proved effective in identifying weak areas that need the attention of medical college authority.

However, the various studies that have assessed the learning environment of medical schools in the literature,<sup>(3,4,14,15,18,19)</sup> have not evaluated the impact of geographical location of a school within a particular country on learning perception, neither have they looked at the role of level of government funding of schools on such perceptions. The present study is the first to assess the impact of north versus south geographical location of a medical school in any country, and the level of government funding (whether federal or state funded), on students' environment learning perceptions.

In Nigeria, the largely; Muslim northern region and Christian southern region, are thought to differ in their levels of quality education and other related socio-economic factors.<sup>(20)</sup> This differential education inequality led to various efforts by federal, state and local governments aimed at improving education in the northern part of Nigeria which has been characterized by dismal performances of poor girl child education and underachieving students' outcomes.<sup>(20-22)</sup> But this differential education status has never been investigated in relation to medical education in Nigeria.

Student satisfaction which is associated with higher mean global scores of students' perception of learning environment is influenced by engaging activities that emphasise students' centred learning, problem based learning (PBL) and innovative technology.<sup>(13,14)</sup> These innovative techniques are expensive to implement in many developing countries, and therefore availability of funds for medical schools may be a factor in students' learning perception in Nigeria. The Federal government of Nigeria is said to spend more money funding university education than the State governments.<sup>(23)</sup> In Nigeria, some investigators have reported that increase in spending by government for education is associated with greater outcome,<sup>(24)</sup> but this fact has not been demonstrated in medical education which is more costly to fund.<sup>(23)</sup> An empirical understanding of the role of financing of medical students education in Nigeria in relation to the students' perception of the learning environment may be beneficial to educational managers/proprietors and policy makers in the country.

The aim of this study was to evaluate the impact of geographical location (north versus south) and the level of government funding, on medical students' perception of their learning environment. This may in the future be assessed for its impact on quality of trained doctors in different regions of country

## **Materials and Methods:**

### **Study locations**

Nigeria is made up of geographical north which is comprised of 3 geopolitical zones of North-East, North-Central and North-West. Similarly, the southern region is comprised of South-West, South-South and South-East geopolitical zones. For the purpose of this study, the country was divided in to north and south. Seven medical schools in different Nigeria universities spread across Northern Nigeria region; Benue State University (BSU), Makurdi, Benue State; University of Ilorin (UI), Ilorin, Kwara State; Bayero University (BU), Kano, Kano State, and Southern Nigeria region; Ebonyi State University (ESU), Abakiliki, Ebonyi State; University of Benin (UB), Benin City, Edo State; University of Nigeria (UN), Nsukka, Enugu State and University of Calabar (UC), Calabar, Cross-River State, took part in this project.

Two of these universities (Benue State University, Makurdi and Ebonyi State University, Abakiliki) are state funded, while the rest are funded by the federal government (University of Ilorin (UI), Ilorin, Bayero University (BU), Kano, University of Benin (UB), Benin City, University of Nigeria (UN), Nsukka, and University of Calabar (UC), Calabar). In Nigeria, medical education typically takes 6 years of learning; first year in the Faculty of Science studying general sciences, 2 years for basic medical sciences and, three years in pathological sciences and clinical sciences.

According to records of the National University Commission of Nigeria; the government umbrella organisation that oversees the administration of higher education in the country, there are three categories of university ownership in Nigeria. These are federal funded universities, state funded universities and private ownership universities.<sup>(25)</sup> Ethical clearance for the study was obtained from the Institution Review Board of the universities concerned. The students from the 7 medical schools involved in the study were briefed on the essence of the project and made aware of their right to either participate or decline the study without any punitive measure taken against them. Once this was clear, the questionnaires were distributed to them during the last few minutes of lectures by the researchers in the different universities. All the participants were given the option of either filling the questionnaires in the class or to take them to their homes and return the filled form the next day to the secretary/research assistant of the lead researcher in each of the universities. Efforts were made to

ensure that questionnaire sheets were anonymised so a particular student who completed a questionnaire was not identifiable. This was achieved by not creating space for names or matriculation number on the questionnaire.

### **Measurement of students' perception of learning environment;**

This study used the DREEM questionnaire to assess the perception of learning environment by students of the above medical colleges in Nigeria. The questionnaire was only applied to students in their 2<sup>nd</sup> year to 6<sup>th</sup> year of medical studies. The first year students were left out of the study because they are considered to be students of the faculty of science of their universities. These first year students do not have access to facilities and personnel in the colleges of health sciences and therefore are unable to correctly assess the learning environment for the purpose of this study.

The DREEM instrument is a validated Likert-type inventory tool which has the advantages of self-administration to respondents and usefulness in assessing a particular learning environment.<sup>(26,27)</sup> There are five major domains in the questionnaire with each specifically measuring an area relevant to the assessment of the learning environment. The domains are; students' perception of learning; SPL (12 items with a maximum score of 48), students' perception of course organisers; SPCO (11 items with a maximum score of 44), students' academic self-perception; SASP (8 items with a maximum score of 32), students' perceptions of atmosphere; SPA (12 items with a maximum score 48) and students' social self-perceptions; SSSP (7 items with a maximum score of 28). According to the DREEM questionnaire scoring formula, each item in the major domain is scored from 4-0 (4 = strongly agree, 3 = agree, 2 = unsure, 1 = disagree, and 0 = strongly disagree) by the respondents on a five-point Likert scale. The instrument has an overall score of 200, signifying the ideal educational environment as perceived by students.<sup>(28)</sup> Table 1 show how the overall score and subdomain scores are made and interpreted.

### **Data analyses of study;**

All completed questionnaires from the different study centres were packaged and sent to the coordinating centre at College of Health Sciences, Benue State University, Makurdi for collation and data analyses. The data were analyzed using SPSS (Statistical Package for Social Sciences) version 20. Means and standard deviations were calculated for DREEM total and subscale scores for the entire sample as well as for subgroups identified by the demographic data collected. For dichotomous variables; the mean values of data were compared by gender, year of study, funding level (federal or state) and geographical region of the university (northern or southern part of Nigeria), based on mean global and subscale DREEM score means, using independent T-test. The DREEM scoring formula is shown in Table 1. For variables with more than two factors a series of one-way Analyses of Variance (ANOVA) were used to compare all groups. The study outcome variables measured in a Likert scale of five points, were quantified by using the mean and standard deviation. The point of significance was set at  $p < 0.05$ .

### **Results**

A total of one thousand five hundred and eighty-four (1584) questionnaires from 7 medical schools in Nigeria were completely filled and analysed for this study. The respondents were made up of 1061 males and 523 females with a male to female ratio of 2:1. Among the 7 universities medical schools, three were located in the northern region of the country. The participants in the 3 medical schools in the north of Nigeria had a total population of 787 students which is made up of 537 males and 250 female (male to female ratio of 2.2:1). The four southern region medical schools have a total participants' population of 797 students made up of 524 males and 273 females (male to female ratio of 1.9:1). This is shown in Table 2.

The reliability of the DREEM questionnaire to the study population was confirmed by its demonstrated high internal consistency which is reflected in a calculated Cronbach alpha coefficient of 0.80. It is accepted that an alpha factor of 0.70 is consistent with valid internal consistency (29). Majority of the total students' population i.e. 33.2% were in their fourth year of study, as shown in Table 3. The MGS did not show any significant variation with age and gender of the students, but students in the second and third years of study had significantly higher MGS than those in the fifth and sixth year of study (118.8 and 115.4 vs 111.7 and 100.7,  $p = < 0.001$ ), respectively.

The national mean global score (MGS) for students' perception of their learning environment in Nigeria was 110/200 (55.0%). This is interpreted as "more positive than negative" perception of an educational environment according to DREEM

scoring system. The MGS and the subdomain scores of the various participating northern and southern universities, is shown in Table 3. The mean scores compared in Table 4 shows that the MGS and SPA were significantly higher among the northern Nigerian universities compared to those in the south (56.4% vs. 53.6%,  $p < 0.001$ ; 25.3 (11.4) vs. 23.7 (9.0),  $p = 0.002$ ), respectively. The values of MGS in both regions' universities suggest the global perception is more positive than negative, but significantly higher in the north. The lower value of SPA in the south suggests there are many issues that need changing in their universities as a group. The mean score of SSSP in both regions, though not significantly different, shows that the schools are not nice places to study. This may relate more to their social supports for the students, especially in relation to work stress.

Conversely, the mean scores of SPL was significantly higher among the southern universities compared to the northern schools (31.2 (7.5) vs. 29.6 (11.1),  $p = 0.001$ ). Mean SASP was also higher in the southern universities [21.7(5.9)] compared to the north [21.3 (4.9)], but was not statistically significant at  $p = 0.053$ . See Tables 4 and 5.

The MGS for State funded universities was noted to be significantly higher than that of Federal universities (56.5% vs. 54.5%,  $p = 0.006$ ). Similarly, the mean SPCO and SASP were significantly higher among the Federal funded universities compared to the states' [23.6 (5.5) vs. 22.7(6.6),  $p = 0.008$ ; 21.8 (4.9) vs. 20.5 (5.0),  $p < 0.001$ ], respectively. The lower mean SPCO in the states' owned universities reflects the need for retraining of their course organisers. But the mean SPA was significantly higher among the States owned/funded universities compared to the Federal government owned or funded [25.7 (7.9) vs. 24.1 (10.9),  $p = 0.008$ ]. The level of the perception score in the federal universities implies there are many issues that need changing in their universities, relative to the states institutions. The mean SSSP was also higher among the States sponsored universities compared to the Federals' though not significantly [14.4 (4.9) vs. 13.7 (4.3),  $p = 0.06$ ]. The levels of SSSP in both federal and states universities are in keeping with the institutions "not being nice places to study", though more so in the federals'. See Table 6.

Analysis of the individual items of the subdomains shows that the highest perception score was the confidence of the students of being able to pass examinations (3.30 out of 4.00), while the lowest perception score items were related to support systems for students who are stressed and have unpleasant accommodation. These had scores of 1.48 and 1.55 respectively. Other items with low mean score are as shown in Table 7.

## Discussion

The total number of students (1,584) and the number of medical colleges/universities (seven) involved in this study is the largest to be evaluated in Africa using the DREEM questionnaire for assessment of the learning environment. Globally, this study's population is only second to another done in Bangladesh in 2010 which investigated more medical schools according to literatures available to the authors.(19) This index study which is unique for the Africa continent due to its large participants' may provide useful information for medical colleges and training in Nigeria and other similar countries.

The DREEM questionnaires evaluations of the learning environment provide useful results, not only to the institutions being studied but to other similar ones. Such results can be used as reference for the standardisation of educational environment.(14) Hence the DREEM has been found useful for international comparison of medical schools,(30) where they can benchmark the learning environment in related institutions.

The present study is the first to assess the impact of geographical or regional location of a medical school on students' perception of learning environment. Among the northern universities medical schools, the male to female ratio was found to be 2.2:1, and this was 1.9:1 in the southern universities students. The whole population of medical students in the 7 medical schools studied had a similar male: female ratio of 2:1. This ratio is different from that of most other studies which found higher population of female medical students. In Sudan,(31) the male to female ratio was 1:1.4 and 1:1.5 in an Iranian university study.(2) Another study done in Australia which involved 548 students studying 8 health sciences related courses had the lowest male to female ratio at 1: 3.3.(14) This ratio was 1:1 in the Bangladeshi study(19) and the reason for the higher number of male medical students in this population in relation to the Nigerian medical students is not clear. However, the high male to female ratio in the presently evaluated Nigerian medical colleges is not uniform as it was 1.4:1 at the northern Bayero University, Kano and 1.2:1 at the University of Benin, Benin city in the south of the country. The highest male to female ratio of 5.1:1 was noted at the northern Benue State University, Makurdi.

The DREEM MGS for the northern universities was significantly higher than the value of the southern universities (56.4% vs. 53.6%) as shown in Tables 3 & 4. These are similar to the 55.0% MGS of the total universities evaluated in this study. The above scores, according to the scoring formula for the DREEM questionnaire show in Table 1, are interpreted as the students perceiving the institutions to be "more positive than negative". They are similar to the 57.0% in the Sudan study

(31) and the 56.7% obtained in an Iranian study.(2) Though the MGS at the northern and southern Nigerian universities differ significantly, they are scored equally by the DREEM questionnaire. However, it is significant in the country to note the difference in scores. Consistent with studies in developed countries which operate majorly student-centred learning institutions, an Australia study involving 8 medical science courses had a MGS of 68.7%.(14) Similarly, a high MGS of 78% was reported at a Scandinavian College of Chiropractic Medicine, Sweden(32) and 71.5% at the School of Medicine, University of East Anglia, in the United Kingdom.(33) The MGS obtained in developed countries health institutions are higher than those obtained in the present study and other developing countries; Sudan and Bangladesh.(2,31) The relatively higher MGS of students' in the developed countries listed above has been associated with adoption of innovative curricula, problem-based learning (PBL) and student-centred teaching model, as opposed to the traditional teaching approach that is sometime characterised by reduced student-teacher interaction.(13,34)

Some medical schools in Iran; 49.8% (18) and Saudi Arabia; 51%,(8) recorded lower scores than is presently reported. It is known that medical schools operating traditional teaching system that is characterized by teacher-centered learning, absent or low use of PBL and poor innovative curricula, commonly have MGS less than 60.0%.(13,34) This position is reinforced by the work of Kiran and Sean,(35) which observed that institutions with innovative curricula reports higher DREEM scores. Therefore the learning perception scores in Nigeria; whether in northern or southern region universities, can be used to initiate change and improvement in learning environment in medical schools in the country and similar developing countries. This is important given that high score of students' perception has also been observed in some developing countries. Some studies done in Nepal(7) and Malaysia,(36) reported MGS of students' perception of learning environment of 65% and 61%, respectively. As shown in Table 4, three medical colleges in this Nigerian population; one in the northern region and two in the southern region had MGS of 60% - 64%. These relatively high scoring Nigeria universities medical colleges are spread across both regions of the study (North-west; BUK, South-east; ESU and South-south; UB), suggesting that high MGS in Nigeria is not restricted to either region of the country. Therefore, the widely reported differential in socio-economic indices such as education and health between northern and southern Nigeria(20,21,23) do not apply to medical students' perception of their learning environment.

Importantly, this study found that the state funded universities had a significantly higher MGS than the federal funded ones, as shown in Table 4. This was an unexpected result giving that the federal funded universities have more funds than the states, and university lecturers in Nigeria prefers employment at the federal funded universities. As shown in Table 4, the mean SPA score of State funded universities was significantly higher than that of the federal funded institutions. The borderline value of 24/48 (50%) score in SPA among the federal universities may be responsible for the lower MGS in them (see Table 3). At this level, the SPA result indicates that there are many issues that needs changing at the federal universities. The University of Nigeria, Nsukka (19.8/48; 41.3%) and University of Calabar, Calabar (23.8/48; 49.6%) have SPA scores consistent with "many issues need changing", moreso at the former.

A look at the individual items in the SPA sub-domain shows 5 items had  $\leq 50\%$  score as shown in Table 6. These include concerns relating to: "the atmosphere is relaxed during teaching", "the atmosphere is relaxed during lectures", "I find the experience disappointing" and "The enjoyment outweighs the stress of studying medicine". The first two listed items with poor scores in the SPA domain are related to teaching activities. The present authors suspect these weak items can be improved by faculty re-training, use of PBL and other innovative teaching methods that increase positive interactions between students and teachers.(4,35) If the concerning issues of SPA are successfully addressed, they may have beneficial impact on the national and regional perception scores of the Nigerian medical colleges.

The SPCO levels did not show any significant regional difference in this study. Its levels are barely moving in the right direction according to the reported mean values in Northern versus Southern universities (see Table 3). However, the difference in SPCO in federal universities versus states' was significant with the value in the state universities consistent with their teachers or course organisers in need of retraining. See Table 3. Similar to the SPA subdomain, the SPCO had 4 items with less than 50% score and most of these relate to teacher handling of their interactions with students (see Table 6). The subdomain score for SPCO in three of the medical college was "in need of retraining". The students' complaints about their course organisers/teachers include; course organisers/teachers ridicule the students, teachers provide poor feedback to the students, teachers get angry in teaching sessions, and students irritate course organisers. Still the Nigerian medical students scored the teachers high in content knowledge, effective communication and use of clear teaching examples among other positive comments. Therefore proper faculty re-training in the identified troubled areas will go a long way to improving SPCO. The advocated trainings should be those that emphasises the adoption of student-centered learning model, problems based learning (PBL) and other innovative teaching curricula/technology.(4) Such faculty training and retraining may go a long way to improving perception of course organisers in these Nigeria medical colleges and thus

should be encouraged. Similar training has been canvassed in the area of giving feedback to students; whether positive or negative feedbacks, and that they should be given in timely and sensitive manner.(4)

The mean score for the SSSP subdomains in Northern and Southern universities is consistent with them considered as "not a nice place to study". Similar comparison in the federal versus state funded universities shows higher but non-significant SSSP level in state universities. This implies that the students of federal universities are less satisfied with their SSSP and more likely to describe their learning environment as "not a nice place". Some of the concerning issues for the students in this subcategory are; there is no good support system for students who get stressed, students are too tired to enjoy the course, and their unpleasant accommodation. These additional sources of pressure on the medical students can affect their achievements, satisfaction and successes including future practice as a physician (4). Similar weaknesses in SPA and SSSP sub-domains have earlier been reported by Nahar et al.(19)

The combination of concerning factors in SPA and SSSP mentioned earlier may be responsible for their being "too tired to enjoy this course". Being "too tired to enjoy this course" is a common observation in studies that used the DREEM to assess the learning environment.(4,7,8) It is thought that this low value of SPA and SSSP possibly reflects work overload which is related to the volume and content of the formal curriculum.(4) Hence Veerapen and McAleer in 2010 suggested reduction of the medical curriculum, even though it is debatable to which extent the curriculum size can be decreased without compromising outcome competencies. The authors of the present study do not think curriculum reduction should come before addressing other identified areas affecting SSSP scores. Nevertheless, it is agreed that the amount of academic work in medical schools contributes to the stress of learning and thus decreases the course enjoyment. The unpleasant accommodation which is a concern among the Nigeria medical students, especially in southern and federal universities, can be addressed by increased funding and better management of the facilities. This can help in reducing the strain inhibiting the enjoyment of the medical school and thereby improve the low SPA and SSSP scores.

The problems of stress, tiredness, lack of good stress support and poor accommodation have also been identified in other students' populations.(37) These factors have been related to observed mental health issues said to be posing significant problems for many college students.(38) Using the Beck depression inventory and Beck anxiety inventory in Egypt, students of the faculty of medicine were found to have approximately 44% and 58% prevalence of anxiety and depression, respectively (39). A similar study in Nigeria found that 23.3% of medical students had depression, with affected students more likely to smoke cigarettes.(40)

These are pertinent issues that should be evaluated and not be allowed to compromise the quality of the learning environment in medical colleges nor the quality of life of the students as they train to become future physicians in our medical colleges. Therefore, particular attention should be paid to the factors that engender needless stress and other concerns of the Nigerian medical students; whether in the northern or southern regions and whether federal or state funded universities. By so doing, the poor scoring items of the DREEM noted in the learning environment could be improved, thereby increasing national or regional MGS in Nigerian medical college.

## Conclusion

A more positive MGS in northern Nigeria medical schools was associated with a higher SPA score compared to the southern institutions. Conversely, a higher SPL score was found in the southern medical schools compared to those in the north. Similarly, a significantly higher MGS and SPA were found in the state funded universities than in the federal funded schools. But the SPCO was higher in federal universities compared to the states' universities. Irrespective of the geographical location or level of government funding of Nigeria universities medical schools, the mean score of SSSP suggests that the social environments obtainable in the schools are not nice. While the federal universities may need to improve SPA, the state universities will do well to pay more attention to SPCO and SASP. The managers of Nigerian universities may need to adopt students' centered learning modality, PBL and innovative teaching techniques in their medical colleges. Such steps in addition to retraining of teachers and provision of social supports for students could help in improved MGS as observed in the advanced countries' medical colleges.

## Limitations of study

The present study provides useful insight into the training environment as perceived by medical students in 7 different universities guided by similar curriculum and regulations, in Nigeria. However, there were only two state funded universities compared to the 5 funded by the federal universities. Another observed limitation is the fact the number of participants varied considerably between the universities with some levels or year of study not recording participants in some of the universities.

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### Practical Points

- Medical colleges MGS of learning environment higher in northern Nigeria compared to the south.
- The global and SPA scores were higher in the northern Nigeria universities but SPL was higher in the south.
- Southern universities have lower SPA than northern universities, hence requires many issues to be changed.
- The MGS is higher in state funded universities than in federal funded ones.
- The level of SPCO in states' funded colleges suggests the teachers need retraining while the SPA level in federal universities suggests many issues need changing.

**Table 1.** Guide to interpreting DREEM scores.

Total score	Student perception of course organizer (SPCO)	Students' academic self-perception (SASP)
0 – 50 Very poor	0 – 11 Abysmal	0 – 8 Feelings of total failure
51 – 100 Plenty of problems	12 – 22 In need of some retraining	9 – 16 Many negative aspects
101 – 150 More positive than negative	23 – 33 Moving in the right direction	17 – 24 Feeling more on the positive side
151- 200 Excellent	34 – 44 Model teachers	25 – 32 Confident
Students' perception of learning (SPL)	Students' perception of atmosphere (SPA)	Students' Social Self-perception (SSSP)
0 – 12 Very poor	0 – 12 A terrible environment	0 – 7 Miserable
13 – 24 Teaching is viewed negatively	13 – 24 There are many issues which need changing	8 -14 Not a nice place
25 – 36 A more positive perception	25 – 36 A more positive Atmosphere	15 – 21 Not too bad
37 – 48 Teaching highly thought of	37 – 48 A good feeling overall	22 – 28 Very good socially

**Abbreviation:** DREEM; Dundee Ready Education Environment Measure.

**Table 2:** Distribution of respondents according to gender and year of study in the 7 medical schools in Nigeria universities.

Northern Universities	Males	Females	Total Student	200 Level	300 Level	400 Level	500 Level	600 Level
College of Health Sciences, BSU, Makurdi	174	34	208	64	42	102	0	0
College of Medicine, UI, Ilorin	180	89	269	83	69	79	38	0
College of Health Sciences, BU, Kano	183	127	310	62	68	42	94	44
Total of Northern Universities.	537	250	787	209	179	223	132	44
Southern Universities	Males	Females	Total Student	200 Level	300 Level	400 Level	500 Level	600 Level
College of Medicine, UN, Nsukka	186	90	276	31	52	101	31	61
College of Medical Sciences, UB, Benin City	61	50	111	30	30	0	29	22
College of Health Sciences, ESU, Abakiliki	126	54	180	57	0	74	49	0
College of Health Sciences, UC, Calabar	151	79	230	46	7	107	70	0
Total of Southern Universities	524	273	797	164	89	282	179	83
Total; Northern and Southern Nigeria Universities	1061	523	1584	373	268	505	311	127

**Key:** BSU; Benue State University. UI; University of Ilorin. BU; Bayero University. UC; University of Calabar. UN; University of Nigeria. UB; University of Benin. ESU; Ebonyi State University.

**Table 3:** Comparison of the mean global and sub-domains between Universities in the North versus South of Nigeria.

Variables	Northern Nigeria Universities Mean ( $\pm$ SD)	Southern Nigeria Universities Mean ( $\pm$ SD)	p Value
MGS	112.8 (24.2)	107.2 (26.9)	< 0.001

SPL	29.6 (11.1)	31.2 (7.5)	0.001
SPCO	23.2 (5.7)	23.6 (5.9)	0.125
SASP	21.3 (4.9)	21.7 (5.0)	0.053
SPA	25.3 (11.4)	23.7 (9.0)	0.002
SSSP	13.7 (4.2)	14.0 (4.7)	0.166

**Key:** SD = standard deviation. MGS; mean global score. SPL; students' perception of learning. SPCO; students' perception of course organisers. SASP; students' academic of self-perception. SPA; students' perception of atmosphere. SSSP; students' social self-perception.

**Table 4: Global and sub-domains mean perception scores in northern and southern universities, and all universities combined.**

	MGS(SD)	MGS%	SPL/48 (SD)	SPCO/44 (SD)	SASP/32 (SD)	SPA/48 (SD)	SSSP/28 (SD)
Northern Universities; BSU, Makurdi	106.6 (19.6)	53.3	26.9	21.0	19.8	25.7	13.8
UI, Ilorin	109.2 (29.6)	54.6	28.8	21.9	21.7	24.5	12.9
BU, Kano	120.0 (19.5)	60.0	32.2	25.8	21.9	25.7	14.3
Mean (SD)	112.8 (24.2)	56.4	29.6 (11.1)	23.19 (5.7)	21.3 (4.9)	25.3 (11.4)	13.7 (4.2)
Southern Universities; UN, Nsukka	84.1 (14.4)	42.1	28.9	22.4	20.3	19.8	12.3
UB, Benin City	128.3 (21.2)	64.2	33.7	23.2	24.5	30.0	16.9
ESU, Abakiliki	120.4 (25.7)	60.2	34.1	24.8	21.2	25.7	15.1
UC, Calabar	114.4 (21.9)	57.2	30.3	24.5	22.5	23.8	13.8
Mean (SD)	107.2 (26.9)	53.6	31.2 (7.5)	23.6 (5.9)	21.7 (5.0)	23.7 (9.0)	14.0 (4.7)
National means for Northern and Southern Universities.	110.0 (25.7)	55.0	30.4	23.4	21.5	24.5	13.8

**Key:** BSU; Benue State University. UI; University of Ilorin. BU; Bayero University. UC; University of Calabar. UN; University of Nigeria. UB; University of Benin. ESU; Ebonyi State University. MGS; mean global score. SPL/48; Students' perception of learning with a maximum score of 48. SPCO/44; Students' perception of course organizer with a maximum score of 44. SASP/32; Students' academic self-perception with a maximum score of 32. SPA/48; Students' perception of atmosphere with a maximum score of 48. SSSP/28; Students' social self-perception with a maximum score of 28.

**Table 5: Impact of the level of government funding or ownership of universities on the mean learning perception scores.**

Ownership of Universities	MGS (SD)	MGS %	Mean SPL (SD)	Mean SPCO (SD)	Mean SASP (SD)	Mean SPA (SD)	Mean SSSP (SD)
Federal Funded universities; UN, UB, UC, UI & BU.	109.0 (26.3)	54.5	30.5 (10.1)	23.6 (5.5)	21.8 (4.9)	24.1 (10.9)	13.7 (4.3)
State Funded universities; ESU & BSU.	113.0 (23.6)	56.5	30.2 (7.5)	22.7 (6.6)	20.5 (5.0)	25.7 (7.9)	14.4 (4.9)
p Value	0.006		0.667	0.008	< 0.001	0.008	0.06

**Keys:** BSU; Benue State University. UI; University of Ilorin. BU; Bayero University. UC; University of Calabar. UN; University of Nigeria. UB; University of Benin. ESU; Ebonyi State University. MGS- mean global score, SPL-Student's Perception of Learning, SPCO-Student's Perception of Course Organizers, SASP- Student's Academic Self-Perception, SPA-Student's Perception of Atmosphere, SSSP-Student's Social Self Perception. \*significant at  $p < 0.05$ . SD = standard deviation.

**Table 6:** Mean scores of the individual items in the DREEM questionnaire.

Questions/Items	Mean score/4
<b>1. Students' Perception of Learning</b>	
I am encouraged to participate in teaching sessions	2.85
The teaching is often stimulating	2.80
The teaching is student centred	2.52
The teaching helps to develop my competence	2.94
The teaching is well focused	2.62
The teaching helps to develop my confidence	2.81
The teaching time is put to good use	2.49
The teaching over emphasizes factual learning	2.38
I am clear about the learning objectives of the course	2.78
The teaching encourages me to be an active learner	2.83
Long term learning is emphasized over short term learning	2.47
The teaching is too teacher centred	1.86*
<b>2. Students' Perception of Course organisers:</b>	
The course organisers are knowledgeable	3.01
The course organisers espouse a student centred approach to teaching	2.36
The course organisers ridicule their students	1.80#
The course organisers are authoritarian	2.23
The course organisers appear to have effective communication skills with students	2.29
The course organisers are good at providing feedback to students	1.93*
The course organisers provide constructive criticism	2.07
The course organisers give clear examples	2.41
The course organisers get angry in teaching sessions	1.80#
The course organisers are well prepared for their teaching sessions	2.54
The students irritate the course organisers	1.61#
<b>3. Students' Academic Self-Perception</b>	
Learning strategies which worked for me before continue to work for me now	2.40
I am confident about passing this year	3.30¶
I feel I am being well prepared for my profession	2.80
Last year's work has been a good preparation for this year's work	2.65
I am able to memorize all I need	2.14
I have learned a lot about empathy in my profession	2.87
My problem solving skills are being well developed here	2.78
Much of what I have to learn seems relevant to a career in healthcare	2.62
<b>4. Students' Perceptions of Atmosphere</b>	
The atmosphere is relaxed during teaching	1.78*
The course is well timetabled	2.09
Cheating is a problem in this course	1.81#
The atmosphere is relaxed during lectures	1.77*
There are opportunities for me to develop interpersonal skills	2.39
I feel comfortable in teaching sessions socially	2.37
The atmosphere is relaxed during seminars/tutorials	2.15
I find the experience disappointing	1.63#
I am able to concentrate well	2.27
The enjoyment outweighs the stress of studying medicine	1.53#
The atmosphere motivates me as a learner	1.96
I feel able to ask the questions I want	2.25
<b>5. Students' Social Self Perceptions</b>	
There is a good support system for students who get stressed	1.48**
I am too tired to enjoy this course	1.61#
I am rarely bored on this course	2.00

I have good friends in this course	2.78
My social life is good	2.29
I seldom feel lonely	2.19
My accommodation is pleasant	1.55**

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**Key:** *items with low mean score, #items scored in reverse order, ¶ item with the highest score, \*\*items with very poor score.*

## Effect of Training Intensity on Firm Performance

Neema R. Towo

Nyankomo Marwa

University of Stellenbosch Business School, Faculty of Economic and Management Science,  
Stellenbosch University, South Africa

### Abstract

This paper is set out to examine the effects of training on establishments' performance, based on productivity and profit return measures. Although there are multiple studies in the related topic, few have explored the role of interaction effect from the employees' upper level education intensity on the observed training effect. The analysis employed the 2015 Tanzania Enterprise Skill Survey (TESS) dataset. The results indicate that, with an increase in education intensity, a significant positive change on the training effect towards firm performance was definite. Hence, training initiatives should go in parallel with the investment in upper-level basic education, for maximum effect.

Keywords: training, education, human capital, productivity, profit, establishments.

### 1. Introduction

The role of trainings provided in less developing countries (LDCs) is worthy to be studied not only to measure the return on investment done but also to understand if the provided trainings save the purpose of strengthening the country's human capital as strategized in industrial development plans. Regardless of the major interest on the long-term impact, it is logical to observe the immediate contribution of training on the firm level despite of other factors that explain firm performance.

In the early stages of economic structural change, countries cannot escape developing their human capital to maximize their firm performances. Structural change of the economy is used as a fundamental element in less developed countries (LDCs) to widen the employment base, enhance value addition and eventually achieve economic development (UNIDOa, 2013). Despite existing multiple strategies to transform the economy, human capital is seen as the key driver at the early stages in order for firms to build a base for creating sustainable competitiveness (Barney, 1991; Huselid, 1995; Ng and Siu, 2004; Thang and Quang, 2011; UNIDOa, 2013; UNIDOb, 2016). In his theoretical work, Becker (1963) explained three elements that contribute to the process of building human capital: formal or basic education, on the job training, and other knowledge or vocational qualification. However, several empirical studies have stressed the significant role of training among human resource practices to raise labour productivity despite their basic education level (Cowling, 2009; Huselid, 1995; Kahyarara and Teal, 2008). It is argued that training practice responds to identified skills and knowledge needs and so the effect is more vivid to the firm compared to formal education which is more general (Tzannatos and Johnes, 1997). However, other authors argued that the extent and direction of the training effect also depends on the quality of employees who have received training (Colombo and Stanca, 2014, Noe and Colquitt, 2002) which can be defined by the level of formal education which the respective employees have attained (Becker, 1994; Blundell, Dearden, Meghir, and Sianesi, 1999). Therefore, together with establishing the relationship of training and establishment performance, intentional interaction of training and formal education is vital to realize their implied training effect together. This is particularly necessary in LDCs where most of the key human capital elements such as formal education and training are still in the development stage (Darvas and Palmer, 2014; Kahyarara and Teal, 2008).

In literature, there is a scarcity of studies done explaining the relationship of training and firm performance within developing countries (Thang, Quang, and Buyens, 2010). Among few studies that have been done, the moderating effect of trainees' quality on the relationship of training and firm performance have not been explicitly examined. For instance, Darvas and Palmer (2014) did a study in Ghana and particularly focused on the skills demand and supply, with implied effect on firm productivity. The major focus of their study was on the effectiveness of technical and vocational education and training (TVET) to meet the skills demand, with less focus on formal basic education as an element that can complement the supply

of skills as per the demand. Kahyarara and Teal (2008) carried out their study in Tanzania where they analyzed the effect of training on employee's return. Observing the training impact from employees side return is different from employer's side due to different factors controlling the respective returns. On that related concern, less has been done within developing countries particularly Tanzania being one of the early industrialized country with primary goal of building its human capital in the first stages.

Globally, there is plenty of literature on the topic but conclusions differ, so it is unclear which conclusions are more reliable and in which situations (Thang *et al.*, 2010; Tharenou, Saks, and Moore, 2007). Most of these studies have been done in developed countries and transitioned economies which implies even less voice from developing countries (Backman, 2014; Percival, Cozzarin and Formanek, 2013; De Grip and Sauermann, 2012; Niazi, 2011; Ballot, Fakhfakh and Taymaz, 2006; Dearden, Reed and Van Reenen, 2006). The effect of training practices in developing countries remains a lacuna in the body of knowledge to build independent applicable recommendations in the mentioned context. The existing cross-country heterogeneity and the need for localized findings to inform local, country-specific policies cannot be disregarded despite the existing conclusions from different environments.

The dearth of such studies in developing countries and less recognition of the labour quality for effective transfer of the training effect led to this study that intends to provide research-based evidence on the relationship between training and firm performance. The study is built on the developing countries context with additional focus on the quality of employees trained based on their formal education. Using the novel data from Tanzania, the quantum and direction of the training effect on firm performance have been analyzed using productivity and profit return measures. Although the data employed in this study was collected from the establishment level, the word "establishment" and "firm" will be used interchangeably referring to the same level where the survey was done.

This paper argues that the basic labour quality is a vital factor in determining the effect of training on establishment performance. It also contends that there is a greater chance for training effect on non-financial return and financial return measures to differ significantly when observed from the same timeline due to the time transfer effect from productivity to profit (Rucci, Kirn, and Quinn, 1998; Zwick, 2006).

The following section briefly reviews some theoretical and empirical literature of training effect on the firm performance, followed by methodology section which discusses the model employed in the study, analysis techniques and description of the data used. The results section intensely discuss the existing relationship between training and establishment performance in different sectors, establishment size, and productivity level followed by the robust check where the treatment effect analysis is done to realize the independent effect of conducting training without considering the intensity level. The last section consists of the study conclusions, limitations, and possible areas for further research.

## 2 Literature review

The topic of training effect on firm performance keeps on revealing its relevance in the human resource and industrial relations field due to multiple theoretical and empirical studies that have been done so far. This section includes two subsections that discuss the brief theoretical and empirical review of the topic.

### 2.1 Evaluation of training effect: theoretical review

Kirkpatrick's four-level hierarchy model was the basic training evaluation model highlighting the effect levels to be administered during evaluation process. The model proposed four levels of training evaluation criteria: reaction, learning, behaviour and results (Kirkpatrick, 1959). However, some of the authors raised concerns that despite the model having been accepted as a standard model in the field, it is rarely implemented in organizations since the causal linkage among proposed levels is not clear (Holton, 1996; Philips, 1998). Other researchers in the field also raised concerns about the methodological guidance to follow when adopting the hierarchy (Kraiger, McLinden and Casper, 2004). In 1996, Holton developed a theoretical framework with the argument that, if the middle steps on the transfer of the effect are not well examined, there is a possibility of wrong conclusions on the quality of the training programme.

Later, Tharenou *et al.* (2007) developed a conceptual model accommodating most of the concerns raised by the previous authors. As seen in Figure 1, the model presents the measurements of the performance on two stages: organizational and financial context. This enriches the conclusions which are made from the analysis and addresses the limitation of different interpretations of findings due to the type of performance measure used. The model also shows that the effect of training is first reflected in human capital before being observed on the organizational performance, which is an important point recognizing the contribution of quality of labour in the process.

**Figure 1:** Theoretical model presented by Tharenou, Saks and Moore (2007)

## 2.2 Empirical review

The literature on the relationship of training and firm performance is still growing fast with multiple contributions made from different researchers from different angles. Among these are the seminal works of Bishop (1994), Bartel (1995) and Black and Lynch (1996), and some more recent works from Barret and O'Connel (2001), Ballot *et al.* (2006), Chi, Wu, and Lin (2008), Ng and Siu (2004) and Thang and Quang (2011), who evaluated the effect of training on either labour return (wages), firm return (productivity and profit) or both. In one of the recent literature studies, which included 66 studies between 1991 to 2007, Thang *et al.* (2010) found that the relationship between training and firm performance depends on the sector involved, performance measures employed, the reliability of data (standard versus subjective measures) and country-specific effects. In the review, some controversy on the findings was partly explained by the existing differences on the performance measures used in the analysis. Choosing to employ non-financial measures as opposed to financial measures in the analysis was the option taken by some of the researchers in their studies due to certain limitations, such as minimal responses in the field or lack of formal reliable financial data. Al-matari, Fadzil, and Al-Swidi (2014) argue that there is no right or wrong firm performance measurement to realize the effect of training. It is expected that the findings which are obtained when using productivity return measures should be reflected when financial return measures are used, since financial performance of the establishment is the result of its productivity or sales. However, the time transfer effect of the imparted knowledge into productivity and hence profit, and the non-separation effect of the reported productivity, are among important factors to be considered when comparing the results (Dearden *et al.*, 2006; Zwick, 2006).

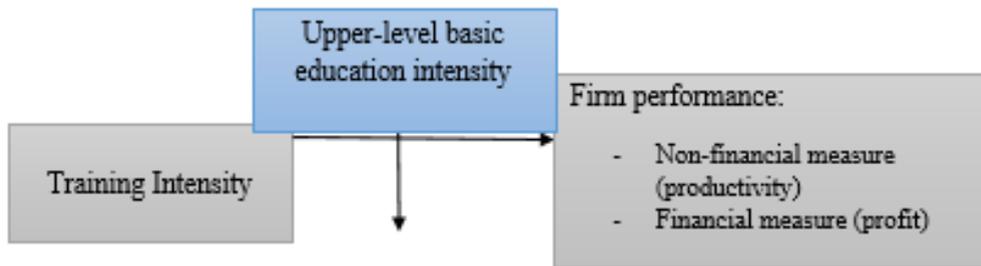
Moreover, few studies on the topic accommodated the role of labour quality, in this case defined by education intensity within the establishment, on the observed training effect. Some of the studies that included the education variable in their studies did not report explicitly the interaction effect of employees' education on the training effect (Black and Lynch, 1996). Kahyarara and Teal (2008) did their research to compare the returns from academic education and training, separately. They managed to find out that higher-level education has more of a return to employees' wages than lower level education or training. Their research was based on return to employees, and they did not go further to determine the combined effect of the two variables. Blundell *et al.* (1999) also did their non-technical review study on the returns from education and training investments to individuals, firms and the economy. Most of the evidence presented in their study focused on either education or training but not on the interaction effect. However, they raised an important point when discussing the relationship between education and training: that there is a greater possibility for higher educated employees to receive training than for less educated, and that training is not for compensating low-level education qualification but rather to add to the stock of human capital which already existed. Since their study was non-technical, their argument is taken further in this study to observe the interaction effect of the two variables.

Basing on the theoretical and empirical perspectives discussed, related to training effect on firm performance, and the recognized role of the labour basic quality to determine the level and direction of the effect, the study focuses on two basic elements of human capital together to determine the role of training in Tanzania human capital. The moderating model presented in figure two aim on exploring the role of basic upper level education when measuring the training quality on developing countries environment. Two hypotheses have been developed:

H1: Training has significant positive effect on firm performance, both non-financial and financial measures

H2: The interaction effect of training and upper level education results to higher significant positive training effect on firm performance compared to when the interaction effect was not considered

Figure 2. Conceptual moderating model for the study



The possibility that the combined human capital will make more sense to the establishment performance is real, particularly in the context of LDCs where the training sector is still in a developing stage (Darvas and Palmer, 2014). The analysis in this study included only upper-level education intensity and leaves out low-level education intensity in the model since the level of absorbing, interpreting and applying the imparted knowledge and skills from training is more definite for the upper-level educated employees than others (Noe and Colquitt, 2002). Nonetheless, future research can choose to look on low-level educated employees' reaction to training imparted.

### 3 Methodology

#### 3.1 Model specification

Borrowing modelling ideas from the studies done on the related topic (Black and Lynch, 1996; Barrett and O'Connell, 2001; Dearden *et al.*, 2006; Thang and Quang, 2007) the Cobb-Douglas production function which represents the relationship between output and inputs is used as a base for the two models to test the two hypotheses:

$$Q_i = A L_i^\alpha K_i^\beta \quad (1)$$

where Q is performance measure, L is effective labour input (weighted by the number of trained workers), K is capital and A is a Hicks-neutral efficiency parameter where other factors influencing productivity will be captured.

Consider L as a sum of untrained ( $L_u$ ) and trained workers ( $L_t$ ), and  $TRAIN = L_t/L_u$  for training intensity. We also consider performance  $Y = (Q/L)$  where Q can be either output or profit. Another introduced parameter is  $\gamma$  which captures the efficiency of training intensity in the establishment. If trained workers perform better than untrained workers, then it is expected that  $\gamma$  will be greater than a unit. Equation (1) can then be written as:

$$Y_i = A_i * L_i^\alpha (1 + (\gamma - 1) TRAIN_i)^\infty * K_i^\beta \quad (2)$$

When we apply logarithms to Equation (2) and take into account that  $\ln(1+x) = x$ , the equation which is defined as Model 1 becomes:

$$\ln Y_i = \ln A_i + \beta \ln K_i + \alpha \ln L_i + \infty (\gamma - 1) TRAIN_i + \epsilon_i \quad (3)$$

Empirically, there are other factors influencing establishment performance apart from capital, labour and training, and not including them in the model could result in omission bias (Black and Lynch, 2001; Zwick, 2006). ' $\epsilon_i$ ' includes factors such as management quality which is presented by top manager's years of education and years of experience to accommodate the unobserved heterogeneity which can also be time-inherent (Bruhn, Karlan, and Schoar, 2010; Nikandrou, Apospori, Panayotopoulou, Stavrou, and Papalexandris, 2008; Zwick, 2006). The age of the establishment, size and sector are other factors included in the principal model as dummies to minimize selection bias from the firm perspective basing on its nature (Bartel, 1995; Chi *et al.*, 2008; Konings and Vanormelingen, 2010; Thang and Quang, 2011).

The second model which test the second hypothesis include the interacted variable of training intensity and upper-level education intensity in equation three to realize the moderating effect of education intensity on the slope of training and establishment performance. Model 2 equation hence becomes:

$$\ln Y_i = \ln A_i + \beta \ln K_i + \infty \ln L_i + \lambda \ln TRAIN_i + \sigma \ln EDUC_i + \mu (\ln EDUC_i * \ln TRAIN_i) + \phi \ln TopMEdu_i + \phi \ln TopMExp_i + \text{Sizedummy}_i + \text{Sectordummy}_i + \text{Agedummy}_i + \varepsilon_i \quad (4)$$

Note:  $\infty (\gamma - 1) = \lambda$

### 3.2 Translog production function

We considered Translog production function an option for model specification to allow for a more flexible model with fewer restrictions on production and substitution elasticities. We did two tests on the proposed model, taking into account the added variables, which are the labour square (LABsq), capital square (CAPsq), and interaction term of capital and labour (CAPLAB), to see its fitness to the data. It is important to note that the training variable does have an effect on output, and it is already embodied in labour input since we defined labour as a sum of both trained and untrained employees. This explains the reason for treating only capital and labour as direct inputs when considering the stochastic production function. The two tests done, <sup>1</sup>f-test, for the joint significance of the additional variables in the model, and the <sup>2</sup>likelihood-ratio test, which tests whether the parameter vector of the statistical model satisfies the proposed constraints, support the continuation of analysis using the translog function model. In addition to the two tests done, the sum of the squared residual (SSR) for the unrestricted model (Translog specification), which was 103.97, and the restricted model (Cobb-Douglas specification), which was 476.60, were compared, preference was given to the model that minimizes the SSR. Hence, the analysis proceeds with the model presented in Equation (4).

$$\ln Y_i = \ln A_i + \beta \ln K_i + \infty \ln L_i + \gamma \ln K_i^2 + \phi \ln L_i^2 + \psi \ln K_i \ln L_i + \xi X_i + \varepsilon_i \quad (4)$$

### 3.3 Analysis technique

We use the hierarchical regression to test the two hypothesis separately. In the first level, the estimation of training intensity effect on firm performance is tested to realize the impact already made on both non-financial and financial return measures. In the second step, the regression is conducted on the second model presented in equation four to estimate the moderating effect of the upper-level education intensity on training and firm performance relationship.

In order to accommodate the possible influence of observable and unobservable factors on the presented coefficients, for robust check, we re-estimate the two models following three pre-identified scenarios: the productivity level of the establishment, the residing sector, and the size of the establishment. This also gives in-depth analysis of the effect of training on performance measures from different angles while addressing selectivity bias on the level of training intensity and respective quality of the employees, which might influenced by the individual strength of the firm, the sector that the firm belongs to or the size of the firm.

### 3.4 Limitation of cross-section analysis: endogeneity effect

The issue of endogeneity is very liable in cross-section analysis, which can result in biased estimates. Among the common causes, it is the fixed effect from unobservable factors such as technology changes, economies of scale, and firm unobservable strengths, which impact both the firm performance (productivity and profit) and the explanatory variables, mainly training (Huselid, 1995; Zwick, 2006). From another side, the endogeneity effect can also result from significant causality relationship between establishment performance and the training variable. However, the possibility of accommodating the unobserved time-invariant effect from unobservable factors and addressing causality issues is easier only when the panel analysis is done.

Since we cannot address the issue of endogeneity effect in our study due to the nature of the data used, we can only observe how significant the endogeneity effect affects the findings of the main analysis by employing the impact analysis techniques. In this case, the propensity-matching analysis is used to check the impact of training effect regardless of the level of training intensity. Using the training dummy variable in determining the treated and control groups address the issue of selectivity bias and other unobservable factors that determine the level of training intensity, the measure used in our main models. The treatment effect was determined by comparing the average performances of the trained establishments and the non-trained establishments. Five covariates were employed to create a match: establishment size, establishment

<sup>1</sup> The F-test of the joint significance of additional variables is  $f(6,24) = 95.6, P > F < 0.01$

<sup>2</sup> The likelihood ratio-test for the constrained model is  $LR \chi^2(6) = 152.25, P > \chi^2 < 0.01$

age, establishment sector, number of employees, and capital. The assumption is that, considering the diversity of the given information in the data, the firms' performance has a potential of significantly differing based on the selected factors due to their role on firm's effectiveness. Propensity scores were computed, and since the analysis is done using the survey dataset, the sampling weights were considered to provide for weight effect (DuGoff, Schuler and Stuart, 2014). In obtaining the propensity score, we included the block option to ensure that the mean pscore is not different for treated and controls in each block as shown in Table 1.

**Table 1.** Inferior bound, the number of treated establishments and the number of controls for each block

Inferior of block of pscore	Control	Treated	Total
0.0860455	38	9	47
0.2	114	41	155
0.4	34	27	61
0.6	10	29	39
0.8	0	2	2
<b>Total</b>	<b>196</b>	<b>108</b>	<b>304</b>

In obtaining the treatment effect of training, the analysis which was inferred to population size was done using the new weight created from the pcores and given sampling weights (Kuo, Bird, and Tilford, 2011). In order to increase the probability of covering for the unobserved factors, the regression adjust option was selected due to the nature of the treatment.

### 3.5 Data

In examining the effect of training on firm performance, this paper employs secondary data from the 2015 Tanzania Enterprise Skills Survey (TESS) conducted by the Enterprise Analysis Unit and the Education Global Practice of the World Bank Group. Stratified random sampling was used to obtain and design the sample for the respective survey. Two sample frames containing the list of establishments together with key information for the stratification process were used to select the sample. These include 2011/2012 Central Registry of Establishments (CRE) of the National Bureau of Statistics (NBS) and 2012 CRE of the Office of Chief Government Statistician (OCGS) for establishments in Zanzibar. During sampling, the sampling design used eight pre-identified economic activities following <sup>1</sup>ISIC code revision 3.1., three size categories of the firms (small, medium and large), and five regions (cities and surrounding business areas) to create the strata. For the establishment to be eligible in the sample it had to be formally registered, have five or more employees, still be in business, able to be traced with name and address, and agreed to respond to screener questionnaire. However, median weights were used in the selection process where the eligible establishments for selection were those whose eligibility was directly determined, and those who refused to fill screener questionnaire or rejected answering machine messages or fax as the only response. Based on the median eligibility assumption, the universe estimates was 3,422 establishments for the survey. Out of these, 1,521 establishments were contacted of which 33.3% were eligible for the survey. By the end of the survey, 424 completed structured interviews were successfully completed.

Data was collected using a single standardized questionnaire administered to all firms with a focus on firms' skills levels and skills development, particularly through training. The questionnaire has eight sections, of which six were main sections and two contained control information. Among the key questions that were crucial for obtaining data to support this study analysis, was the question of whether the establishment has formally trained its employees, in-house or outside, in the past two fiscal years, and if yes, the percentage of trained employees. In obtaining the productivity of the establishment, the deflated sales values using price index was used (Melitz, 2000; Zwick, 2006). The respondents were asked to provide information on the last complete fiscal year total sales by the time of completing the questionnaire. Profit as another return measure used in the analysis was obtained by deducting the cost of sales for the last fiscal year from the annual sales of the respective year, which provided gross profit data. Net profit before other expenses such as rent, interest, and tax

<sup>1</sup> Food processing (ISIC15), textile and garments (ISIC 17 & 18), fabricated metal products (ISIC 28), furniture (ISIC 36), construction (ISIC 45), hotel and restaurant (ISIC 55), transport (ISIC 60 & 61) and Information technology (ISIC 72)).

deducted was also computed by deducting total annual cost of labour (which was the only expense information provided in the survey database) from gross profit. However, there was no statistically significant difference between gross profit and profit data<sup>1</sup> and so the analysis continued using the gross profit data.

## 4 Results

### 4.1 Descriptive statistics

About 70% of the establishments which participated in the Tanzania Enterprise Skills Survey had not trained any of their permanent employees in the past two years by the time of the survey, year 2015 (refer to Appendix A). The 32% of surveyed establishments who managed to train in the same period, succeeded to train on average more than half (56%) of their total permanent employees. Observing the quality of the employees, on average 43% of the trained establishments' employees have upper education levels while for non-trained establishments the figure was only 36% on average. This shows that the quality of labour for the firms that trained their employees is higher than those which did not train. It was also observed that the majority of the firms which train their employees fall under the non-manufacturing sector, which includes transport, hotels and restaurants, IT services and construction activities. The rest, 45% of the total training establishments, fall under the manufacturing sector, which includes activities such as textiles, wood and furniture, food, and metal and machinery.

### 4.2 Regression results

#### 4.2.1 Hierarchical regression

As observed in Table 2, the step-by-step regressions that have been done from model 1 to model 2 for both performance measures assist to track the significant effect of the added education variable on the training coefficient. It displays the distinction of the effect of training on firm performance before and after the moderating effect.

**Table 2:** Moderating effect of upper-level education intensity

	Profit Return Measure		Productivity Return Measure			
	Model 1	Model 2	Model 1	Model 2		
Labor (ln)	-0.789(0.929)	-0.498(1.214)	-0.347(1.148)	-0.731(1.175)	-0.496(1.015)	-0.663(0.969)
Capital (ln)	0.746(0.407)*	0.82(0.863)	0.889(0.77)	0.756(0.363)**	1.730(0.675)**	1.701(0.687)**
Labsquare (ln)	-0.216(0.0824)**	-0.322(0.0703)***	-0.250(0.0692)***	-0.265(0.0786)***	-0.268(0.0315)***	-0.252(0.032)***
Capsquare (ln)	-0.0372(0.0157)**	-0.0413(0.0251)	-0.0391(0.023)	-0.0383(0.0136)***	-0.0606(0.0214)***	-0.0602(0.0217)**
ILAB*CAP	0.152(0.0526)***	0.169(0.059)***	0.125(0.0461)**	0.170(0.0682)**	0.142(0.053)**	0.143(0.0523)**
Training intensity (ln)	-0.0435(0.134)	0.213(0.115)*	-2.597(0.749)***	-0.214(0.129)	0.118(0.0723)	-0.624(0.596)
Education intensity (ln)		0.101(0.153)	0.704(0.201)***		-0.0139(0.125)	0.172(0.175)
Education intensity (ln) * Training intensity (ln)			0.754(0.195)***			0.193(0.155)
T/Manager education years (ln)	-0.811(0.556)	0.788(0.314)**	0.910(0.31)***	-0.541(0.415)	0.740(0.258)***	0.799(0.263)***
T/Manager years of experience (ln)	-0.350(0.184)*	-0.570(0.0964)***	-0.381(0.107)***	-0.108(0.181)	-0.420(0.0776)***	-0.380(0.0799)***
Sector dummy	-0.888(0.27)***	-0.621(0.314)*	-0.278(0.276)	-0.628(0.293)**	-0.192(0.205)	-0.143(0.196)
Firm age dummy	1.270(0.257)***	0.314(0.234)	0.295(0.224)	1.319(0.321)***	0.467(0.2)***	0.430(0.211)*
Size dummy	0.413(0.539)	0.335(0.583)	0.102(0.566)	0.536(0.443)	-0.208(0.306)	-0.254(0.31)
Constant	14.46(2.841)***	10.86(7.063)	6.977(6.291)	12.08(2.975)***	1.517(5.465)	1.28(5.614)
R-squared	0.574	0.568	0.665	0.567	0.586	0.595

Standard errors in parentheses, \*\*\*  $p < 0.01$ , \*\*  $p < 0.05$ , \*  $p < 0.1$

From model 1 results, the effect of training intensity on firm performance is statistically non-significant for both return measures. Observing the coefficients regardless of significance level, in both scenarios training intensity has negative effect

<sup>1</sup> The mean of natural log of gross-profit is 17.09 with 314 unique values and mean of natural log of profit is 16.93 with 277 unique values

on average firm performance. This means we reject our alternative hypothesis one (H1) where it was expected that training, even without upper-level education effect, would have positive effect on firm performance. We accept the null hypothesis that there is no positive significant relationship between training and firm performance.

Going further where the upper-level education variable has been added in the model, the coefficient and significance level of training intensity change on profit return measure while it remain negative and non-significant on productivity return measure.

Model 2 which test the interaction effect of training and upper-level education reveal the non-significant negative relationship under the productivity return measure while a strongly significant negative effect was observed under profit return measure ( $b=-2.59, p<0.01$ ). Focusing on profit return measure, when we assume the upper-education intensity is zero, the negative relationship of training and firm performance is observed. However, when we use the average upper education intensity value (IUppereducation mean = 3.68) to calculate the <sup>1</sup>total effect of interaction variable, a positive slope between training intensity and establishment performance is observed (see the interaction plot in figure 3 for graphical movement of the effect). Recalling that the second alternative hypothesis (H2) state that the interaction effect of training and upper-level education will result to higher significant positive relationship between training and firm performance. Two circumstances that emanate from the analysis done are considered in this case. First, the interaction effect did not result to *higher* positive effect as mentioned because, in both performance measures, the training coefficient was negative and non-significant from model one results. Secondly, the interaction effect is positive and significant only on the profit return measure while its vice-versa for productivity return measure. In that regard, we will accept the null hypothesis that the interaction effect did not result to significantly higher training effect on firm performance. However, the interaction effect changes the results completely from negative relationship to positive relationship, particularly on profit return measure, which is interesting finding.

**Figure 3.** The interaction plot displaying the moderating effect of upper-level education

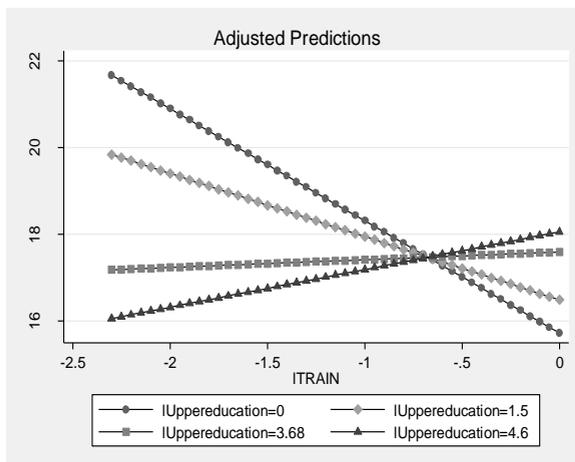


Figure 3 shows the change in the slope between the training effect and the establishment performance when the upper education intensity level varies. In constructing the respective interaction plot, the values selected to accommodate the change in the education intensity include the minimum, maximum and mean values: 0, 4.6 and 3.68 respectively. The plot also examined 1.5 value for the upper education level to track the changes that occurred on the training and establishment performance slope before mean value. It is observed that, the change occurring on the effect of training on establishment performance increased positively with the increase in the level of education intensity.

<sup>1</sup> slope ( $dY/dT$ ) =  $\sigma + \gamma$  upper-level education, where:  $\sigma$  is coefficient of Training and  $\gamma$  is coefficient of Education intensity

#### 4.2.2 Robustness check: Interaction effect in different scenarios

For robustness check, Model 2 which display the role of interaction effect has been estimated under different scenarios to observe if the effect displayed in the main model remain similar. In order to accommodate unobservable effects, data has been clustered following the establishment productivity level, sector and size respectively. Regressions were done for each scenario considering both performance measures.

##### *Estimation with respect to productivity level:*

The estimated models under establishments' productivity level subgroups reveal that there is a significant negative training effect on both average productivity and profit return measures, especially when the assumption is that the education intensity level is on average zero. As shown in Appendix B, for those establishments which have zero in their education intensity, the negative magnitude of the effect was larger under the profit return measure with an average slope of 4.45 ( $p < 0.01$ ) for the two subgroups compared to the results observed under productivity return measure ( $b = -1.9$ ,  $p < 0.05$ ). However, like in the main models, the training effect began to increase positively when the education intensity starts to increase.

##### *Estimation with respect to size of the firm*

Similar to the results already reported the estimated models that consider the size of establishment factor, as presented in Appendix C, reveal the same negative relationship between the training intensity main effects on the average establishment performance, assuming the education intensity level is on average zero. The statistically significant relationship for the main effect was only observed under the profit return measure, for both small and larger establishment subgroups. The magnitude of the effect was higher under the large establishments subgroup where a 1% increase in the training intensity led to a 3.8% decrease in the average establishment profit, while it was a decrease of 1.2% for the average profit of small establishments. As previously observed, these models also reflect positive interaction effect from upper-level education intensity.

##### *Estimation with respect to the underlying sector of the firm*

The results have not changed much when the analysis was done according to the designated sector of the establishment, as can be seen in Appendix D. Still, the negative training effect on the establishment performance was witnessed for both return measures when we assume the establishment has zero upper education intensity. However, the effect was not significant for the non-manufacturing establishments, considering both the main effect and the interaction effect. As done in previous models, the interaction effect from education intensity was taken into account particularly for the profit return measure that reflected higher significance levels to realize its contribution. It was revealed that the manufacturing establishments still require a higher upper-education intensity level than average to obtain positive effect from training intensity. At the mean education intensity level, the manufacturing establishments' average profit still shows a decrease by 0.1% from the 1% increase in training intensity. Nonetheless, the positive change of slope from the interaction effect provide for the greater chances for the establishments to develop from training in the later stages, as can be seen in Figure 2.

#### 4.3 Treatment effect: matching the treated group and the control group

Although the specified main models in our analysis included a number of control variables to address the issue of omission of variables that might result to endogeneity, there is still a probability that the training intensity, which is our main explanatory variable, might be correlated with the error term and so impair the reliability of our main estimates. We use the treatment effect technique to test if there is unobservable variable significantly affecting both training intensity, which is our treatment variable, and firm performance in this case the outcome. Propensity Score Matching (PSM) analysis is employed through the average treatment effect (ATE) estimation to realize the difference in average performance of the treated and control group separated using training dummy variable. The idea is comparing the average performance for those who have received training (regardless of percentage of employees trained) and those who have not. Through the treatment effect analysis, the account for omitted observable and unobservable factors become more feasible as every firm has equal chance to train their employees, at least one, and be included in the comparison of the average performance. That increases a chance of capturing multiple possible unobservable factors which might result to endogeneity.

The fact that PSM estimation is based on the comparison of the performances of two groups, those who train their employees for the period under study and those who did not (control group), assists in providing independent results conforming with or contradicting the results from the previous analysis. If training is not generally an element which can stand alone and develop the required human capital enough to effect the firm performance positively, then the results

obtained from matching analysis are expected to complement the findings from the model 1 regression analysis (El-Shater *et al.*, 2015). This will imply that, training intensity is not correlated with the error term and so no endogeneity problem. Having different training effect magnitude on average firm performance is expected since different training measure variables are used. However, we expect a tally on the direction of the effect with the main analysis estimates to conclude that the regressions done provided unbiased statistical results. Our analysis employed the regression adjustment treatment-effect estimator that uses the differences in the averages of treatment-predicted outcomes and actual treatment effect (Rubin, 1978). As can be seen in Appendix E, the results show that investing on training leads to a negative effect on the establishment productivity, regardless of the proportion of trained labour. The training effect causes a negative response on average productivity by 4.8% from the average of 16.95 productivity level if not trained. This concludes that, there is no endogeneity on the model and the results presented are not biased.

#### 4.6 Discussion

The analyzed model resulted to a number of unexpected findings compared to the hypotheses done. It is easily thought that training intensity results to positive effect on average firm performance especially when substantial observable efforts are done by the country to build their human capital through investing and emphasizing on trainings. However, conceptualizing the moderating model in Tanzania environment has been appropriate since we managed to study the two key human capital sources recently receiving parallel priority from the concerned policy bodies. Focusing on the upper-level education role on materializing the impact derived from trainings is even more valuable for this developing country context where the major efforts are still directed under basic primary and lower secondary education. From the models estimates, it can be clearly seen that the effect of training on firm performance is highly determined by the firm employees education level and intensity. There is existing possibility that the firms that accommodate larger pool of upper-level educated employees have certain basic characteristics, which significantly define how effective the training will be. However, that is beyond the limit of this article though interesting when considering areas for further research.

Some of the studies done on related topic, especially those testing the effect of training on firm performance without incorporating the moderating effect, have reached to similar results, that is, negative or non-significant relationship between training and firm performance. Still, most of them have reported different results. A positive significant relationship between training and establishment performance have been observed from the largest percentage of studies done on this related topic (Chi *et al.*, 2008; Colombo and Stanca, 2014; Konings and Vanormelingen, 2010). Going specifically to the three scenarios considered when we did robust check, Colombo and Stanca (2014) found that smaller firms display a significant positive relationship between training and productivity, which was not the case in the current study. Konings and Vanormelingen (2010) also reported a slightly positive training effect for non-manufacturing firms' performance compared to manufacturing, which was not the case for this study. Thang and Quang (2011) reported a similar positive training effect for manufacturing firms' performance, while this was not the case for the non-manufacturing category.

Hypothetically, it was expected that training as one of human capital practices, should have a significant positive contribution to performance, particularly for establishments in the manufacturing sector of a country which is in early stages of industrialization (UNIDOa, 2013). However, the results in this study portray a different message which implies, in this country context, training intensity alone is not satisfactory measure to create quality productive employees if their education level and intensity is not considered (Schonewille, 2001).

After considering the interaction effect, it was observed that the training and education factors together have a significant effect on the establishment performance, similarly to what has been reported in other studies (Blundell *et al.*, 1999). This confirms the argument provided by Becker (1994) that education and training variables are among the key elements which build an intangible asset to the firm, referred to as human capital. It also agrees with the presented fact that education of employees is one of the observable factors that has the potential to change the way training affects the establishment performance since it has a direct initial impact on labour quality (Backman, 2014; Kahyarara and Teal, 2008). Although the demand for training is somehow connected to the low education which the employees have (Darvas and Palmer, 2014), the results show that the transformation of the imparted skills and knowledge obtained from training is also linked to their initial formal education, particularly upper-level education.

The significant changes on the training effect were more observed under the profit return measure than on the productivity return measure. The time effect for the reflection of the changes occurred in productivity to be revealed under the profit return measures can explain why we observe different results between the two establishment return measures (Rucci *et al.*, 1998; Zwick, 2006). Again, the results showed that the negative main effect of training on the establishment performance was larger under the profit return than under the productivity return when we assume the education intensity to be zero.

This can be explained by the fact that there are direct and indirect expenses which the establishments have to undergo when they train their employees which can easily be reflected in profit measures (Arthur, 1994; Rucci *et al.*, 1998). Examples include the slowdown of the operation when employees are attending training, the time it takes for employees to familiarize themselves with the new skills acquired, the post-training environment for smooth implementation of the new techniques acquired, and the direct costs which most of the establishments incur to finance the training.

## 5 Conclusion

This paper examined the training intensity effect on the performance of establishments, based on productivity and profit return measures. Using the conceptualized moderating model, the interaction of variables was intentionally done to derive the interaction effect mainly from the upper level education intensity. Although we ended up accepting null hypotheses, the findings confirm the argument presented in the introduction section of this study: that there is a unique effect derived towards the establishment performance when different sources of human capital are combined together. It was observed from the estimated models that, when there is an increase in the establishment's education intensity then there is a strong chance for the positive training effect on the establishment performance regardless of the productivity level, size and the sector to which they belong. The effect of training on establishment performance became significantly positive at the higher levels of education intensity, especially above the mean intensity level. Nevertheless, the fact that training did not cause even a minor positive change on establishment performance in this context brings in a demand for further analysis on the conducted training. It is necessary to study the effectiveness of the training that the employees attend, to assess if they conform to the establishment and individual skills needed.

Observing how non-financial and financial return measures, differently or similarly, react to the training effect was another key objective of this paper, in order to address the limitation of the previous studies. The results presented conform to the model adopted in this paper where the training effect observed under the financial performance measure reflect the effect observed under the non-financial performance measure. The two return measures send the same message with regard to the effect of training on establishment performance, although at different significance levels. When the data for the two respective performance measures are collected at the same point in time, there is a greater chance to observe significant results on one side while the results are non-significant on the other because the reaction of the effect does not occur at the same time. This implies that when an establishment trains its employees, the financial figures of the respective establishment will noticeably change if and only if the customers react to the imparted changes. The uncertainty from the similar studies to make such conclusion, which mostly result from comparing subjective non-financial measure and objective financial measure, was addressed in the current study.

Since the study used cross-sectional data, the causality effect of training and performance could not be tested. There exist a possibility that the establishment performance is the one which influence the level of the training intensity and even the education intensity. The findings could have been more rich if the analysis was done to determine the influence of the establishment performance on the level of training intensity and education intensity in the particular establishment before examining the vice versa effect. This was only possible to be captured if panel data was used. Also, since the question was too general to obtain the training data, where the establishment were required to give the intensity level of the trained employees for the past two years by the time the survey was done, there is a greater chance that some of the employees were recently trained and their impact have not yet been reflected in the performance. Hence, the transfer time of the training effect towards the expected performance was an important factor which could have been taken into account if the data allowed for such analysis. Single measurement of the training variable is another limitation of this study as it does not provide room to test the effect of training from different angles. Other training variable measures like type of training attended depending on the topic, training hours, training expenditure could have given variety of results with more details for reliable conclusion. Hence, the findings obtained from using training intensity alone, only provide suggestive evidence of training contribution on establishment performance in Tanzania.

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## Appendices

### Appendix A: Descriptive Statistics

Variable	All Establishments			Trained Establishments		
	Obs	Mean	SD	Obs	Mean	SD
Establishment age	410	17.0	12.7	137	18.2	13.0
TopManager experience years	415	14.8	10.0	138	15.7	10.6
TopManager education years	393	12.9	3.7	130	13.9	3.7
Labours	423	35	61	140	61	89
Labours with lower education (%)	388	61.81	31.07	128	57.09	31.38
Labours with upper education (%)	388	38.19	31.07	128	42.91	31.38
Training intensity (%)	124	0.56	0.37	124	0.56	0.37
Capital (millions tshs)	304	486.00	1,460.00	108	850.00	2,040.00
Last financial sales (millions tshs)	417	1,810.00	4,760.00	138	3,300.00	6,700.00
Gross Profit (millions tshs)	345	1,860.00	6,860.00	114	3,470.00	9,480.00

Variable	Manufacturing			Non-Manufacturing		
	Obs	Mean	SD	Obs	Mean	SD
Labours with upper education (%)	194	27.98	25.47	194	48.40	32.82
Training intensity (%)	56	0.58	0.39	68	0.54	0.36
Last financial sales (millions tshs)	202	1,770.00	5,100.00	215	1,850.00	4,430.00
GrossProfit (millions tshs)	163	1,490.00	5,190.00	182	2,200.00	8,070.00

Variable	<20 Employees			≥ 20 Employees		
	Obs	Mean	SD	Obs	Mean	SD
Labours with upper education (%)	250	33.05	30.48	138	47.51	30.03
Training intensity (%)	55	0.58	0.37	69	0.54	0.37

Last financial sales (millions tshs)	263	268.00	598.00	154	4,440.00	7,070.00
GrossProfit (millions tshs)	218	216.00	1,270.00	127	4,680.00	10,600.00

**Appendix B:** Relationship of training and establishment performance: productivity level

Variables	Productivity		Profit	
	high establishments	productive establishments	less establishments	productive establishments
Labour (ln)	-3.035(1.288)**		8.435(11.62)	
Capital (ln)	3.807(2.017)*		1.004(1.363)	
Labsquare (ln)	-0.0017(0.0847)		-1.599(1.08)	
Capsquare (ln)	-0.116 (0.0523)**		-0.0261(0.0159)	
ILAB*ICAP	0.150(0.043)***		-0.148(0.469)	
Training intensity (ln)	-0.941(0.78)		-1.904(0.767)**	
Education intensity (ln)	0.0434(0.193)		0.0102(0.451)	
Education intensity (ln) * Training intensity (ln)	0.258(0.229)		0.701(0.331)*	
T/Manager education years (ln)	0.258(0.458)		-0.181(0.518)	
T/Manager years of experience (ln)	-0.478(0.0798)***		-2.415(2.427)	
Sector dummy	Yes	No	Yes	Yes
Firm age dummy	Yes	Yes	Yes	Yes
Size dummy	No	No	Yes	No
Constant	-11.47(17.54)		12.92(15.17)	
R-squared	0.531		0.75	

Standard errors in parentheses, \*\*\*  $p < 0.01$ , \*\*  $p < 0.05$ , \*  $p < 0.1$

**Appendix C:** Relationship of training and establishment performance: size of the firm

Variables	Productivity		Profit	
	small establishments	larger establishments	small establishments	larger establishments
Labour (ln)	-7.557(7.563)	-2.808(1.416)*	0.138(6.587)	-4.968(1.179)***
Capital (ln)	1.213(1.61)	3.339(1.214)**	1.297(2.161)	1.961(1.178)
Labsquare (ln)	0.177(0.66)	-0.0961(0.0959)	-0.986(0.501)*	0.00151(0.073)
Capsquare (ln)	-0.0647(0.035)*	-0.108(0.033)***	-0.059(0.041)	-0.0822(0.026)***
ILAB*ICAP	0.417(0.26)	0.181(0.054)***	0.273(0.33)	0.247(0.052)***
Training intensity (ln)	-0.849(0.679)	-0.554(0.876)	-1.194(0.6)*	-3.825(0.846)***
Education intensity (ln)	0.945(0.254)***	-0.0561(0.197)	0.741(0.148)***	1.054(0.255)***
Education intensity (ln) * Training intensity (ln)	0.161(0.154)	0.175(0.256)	0.321(0.171)*	1.016(0.21)***



## All Too Human: Recontextualizing Deleuze and Levinas on Art

Professor Tina Chanter

Kingston University

### Abstract

Although they elaborate it differently, both Levinas and Deleuze appeal to the notion of rhythm as decisive for understanding art. Drawing on their analyses I discuss the work of several artists featured in a current exhibit showing at the Tate Britain, *All Too Human: Bacon, Freud and a Century of Painting Life*. In addition to Francis Bacon and Lucian Freud, I discuss the work of Paula Rego and Lynette Lydiam-Boakye. Vlad Ionescu suggests that a productive approach to writing about art after Deleuze and Guattari would be to inquire into 'how constellations of sensation modify our perceptions of the world' (2017, p. 22). I take up Ionescu's suggestion, but also recontextualize it in order to offer a politicized account of how the exhibit is framed. At the same time I draw on feminist and race theory to discuss the work of Rego and Lydiam-Boakye, thus also recontextualizing Levinas's and Deleuze's analyses of art. The questions this paper addresses include: What makes these paintings work, and how do they function? How do their aspects and rubrics operate? What creates their rhythms? How do they operate as an assemblage?

**Keywords:** Art, Philosophy, Rhythm, Francis Bacon, Lucian Freud, Paula Rego, Lynette Lydiam-Boakye, Levinas, Deleuze, feminist & race theory

### Introduction

Clearly there are major philosophical differences between Levinas and Deleuze, perhaps most obviously, the fact that while Deleuze embraces a philosophy of immanence, Levinas casts suspicion on immanence as the sphere of the same, the totalizing world of the said, as opposed to the saying, and the ethical call of face that breaks through immanence, transcending totality. So too, while art plays the role of prologomena to the infinite ethical demand placed on the I by the other, such that its anarchic force is ultimately found to be in need of tempering by a philosophy that answers to the ethical relation, there is no such subordination of art to philosophy in Deleuze, who prefers to envisage the relationship of one art and philosophy as one of transversal. In this paper, I want to put aside this undoubtedly fundamental philosophical divergence in order to focus on a striking similarity in how rhythm plays a key role for both Levinas and Deleuze in their conception of art.

In order to provide an initial sketch of the role accorded to rhythm by Levinas and Deleuze, I will focus on the texts in which I think the continuity of their accounts in this regard is most evident, namely Levinas's discussion of Maurice Blanchot in 'The Servant and Her Master' (1989) and Deleuze's discussion of painting in *Francis Bacon: The Logic of Sensation* (2017).

The rhythm of poetry Levinas finds in Blanchot is not unlike that which Deleuze finds in Bacon's art, whose images are not for the sake of representation. It is a saying that unsays itself, a language that does not totalize. Levinas identifies in Blanchot's *Waiting Forgetting* a 'tautological rhythm which punctuates dialogue itself, because of the monotonous droning which immediately closes off the avenues of communication (1989, p.152). For Deleuze, it is in the differentiations of colour between Bacon's triptychs that he 'discovers rhythm as the essence of painting' (2017, p.xiv). According to Levinas the 'language of poetry becomes for Blanchot a language which contradicts itself. . . Affirmation is followed, often in the same proposition, by its negation. Saying lets go of what it grasps' (1989, p.156). Describing the functioning of Blanchot's language, Levinas says, 'The silence which occurs does not put a stop to the rustling' (p.154). Blanchot's 'discontinuous and contradictory language' (p.156) conveys the sense in which language undoes itself: 'in place of the beginning, [there is] a sort of initial void, an energetic refusal to let the story begin' ([p. 22] p.153). For Levinas, 'Blanchot calls into question the seemingly incontestable claim of a certain sort of language to be the privileged bearer of what is meaningful . . . Does the meaningful depend on a certain order of propositions, constructed according to a certain grammar so as to constitute a logical argument? or does meaning cause language to explode and then signify amidst these fragments?' . . . *Waiting Forgetting* refuses to grant the philosophical language of interpretation . . . the dignity of the ultimate language.' (p.153).

Levinas sees in 'art and poetry that exceptional event – that sovereign forgetfulness – which frees language from its servitude towards the structures in which the *said* prevails (p.153). For him, 'Poetic language gives sign without the sign being a bearer of signification through relinquishing signification' (p.156). Quoting Blanchot, Levinas says, 'No-one here wishes to be bound by a story' ([p. 22] p.157).

If the rhythm of Blanchot's language consists for Levinas in affirming and then negating, in saying then letting go, for Deleuze, the shifting tensions between each painting in Bacon's triptychs according to which structure, figure and contour relate to one another perform a similar function. It is the 'coexistence' of the 'movements' between these 'three basic elements' (2017, p.24) of Bacon's painting, structure, figure and contour that constitutes 'rhythm' (p. 25). Indeed, it is 'rhythms alone that become characters' (p. xiv). In a first movement, which goes 'from the structure to the Figure' the contour first isolates the figure 'in a completely closed word' (p. 24). Here the contour appears as 'a round area, an oval, a bar, or a system of bars' (p. 24). Then in a second movement, from the figure to the material structure, the contour changes . . . acting as a deformer' (p.24). It 'turns into the half sphere of the washbasin or umbrella, the thickness of the mirror . . . The Figure is contracted or dilated in order to pass through a hole or into the mirror' (p. 24). Then the figure 'tends to return to the field of color, to dissipate into the structure . . . through the intermediary of the contour, which no longer acts as a deformer . . . thus this most closed of worlds was also the most unlimited (p.24). Just as Levinas follows the back and forth, contradictory movement of Blanchot's language, which affirms then negates, so in this series of variations or transformations effected between the structure, figure and contour, so Deleuze finds in Bacon a completely closed world and the most unlimited of worlds, he sees the contour as acting to deform the figure, yet no longer acting as deformer.

It is the 'confrontation' (p.xiii) between the figure and 'large fields of color' which 'are themselves divided into sections or crossed by tubes or very thin rails, or sliced by a band or largish stripe' and which as such form 'armature, a bone structure' (xi), it is 'their solitary wrestling in a *shallow depth*, that rips the painting away from all narrative but also from all symbolization' (p.xiii). Beyond 'narration' (p. 50) and 'figuration' (p.96), for Deleuze, Bacon's paintings do not represent or signify, but express the 'violence of sensation' (p.xiii). For Levinas, Blanchot's 'literary writing proper provides above all a new sensation' (1989, p.153) and in doing so it explodes the instant, letting the instant die so that time has to begin again, rather than engaging in the coherent language of philosophy, which joins up the past, present, and future, in a language of retention and protention, the language of consciousness, that of the transcendental ego, the language of the same (see Peters, 1997). Blanchot's language interrupts the continuity and coherence of philosophy. 'Poetry', says Levinas, 'can be said to transform words, the tokens of a whole, the moments of a totality, into unfettered signs, breaching the walls of immanence, disrupting order' (1989, p.156). It undoes 'the structures of language' (p.156). Bacon's painting 'breaks with figuration', and, with the possible exception of Michelangelo, Deleuze thinks that never has anyone done so by 'elevating the Figure to such prominence' (2017, p.xiii).

Deleuze's emphasis is on invisible forces, sensation and the differential rhythms that are themselves the only characters in painting rather than representation and meaning, and Levinas's emphasis is on the alterity and exoticism of art as interrupting and breaking through the totality of coherent meaning, where the rhythm of art imposes itself as captivating, has a hold over us, so that 'there is no longer a oneself, but rather a sort of passage from oneself to anonymity.' (1987, p. 4) On the surface, the potential for a politically inflected Deleuzian or Levinasian infused account of art might seem unpromising. Yet I want to ask: what if it were not representation or coherence as such that was at issue, but rather the circulation of variants of one dominant narrative, which becomes so dominant that other stories cannot be seen as legitimate—cannot be seen in any meaningful sense? What if the sensation that both Levinas and Deleuze take art to uncover can bring into view new concepts of what it is that can be represented, narrated or rendered philosophically intelligible?

As indicated above, Levinas subordinates art to the authority of philosophy ultimately, and as such does not attempt to introduce a new approach to art although this does not prevent others from rescuing his insights about art from his overall framework. As for Deleuze, what might we say is his approach to rejuvenating art history or aesthetics, and how might we develop this approach to provide resources for a raced and gendered approach to art?

A feminist or raced approach, we might assume, would require reference to a feminist or raced agenda and to a specific constituency of viewers that might be understood as a pre-existing culture. Such approaches might also be understood to require that images be representative of certain communities or ideas. In what follows I want to complicate such assumptions.

Ionescu formulates Deleuze's goal in his approach to the arts as not a question of interpreting 'the visual arts as a practice that mirrors pre-existing culture' but rather a question of determining 'the potentiality of visual arts to modify the view one

has of the world' (2017, p.26). Ionescu tends to set up an opposition between 'the self-referential position where artworks are interpreted as representing the environment from where they emerged' and Deleuze's 'intensive model where various artifacts generate an atlas of sensations that spread cross-historically and cross-culturally' (p.28). If art is not understood as mirroring pre-existing culture or self-referentially, we might surmise that there is little scope for developing a Deleuzian account of art that is also feminist or responsive to issues of race.

A tension is evident in how Tuinen and Zepke negotiate the complicated relationship between aesthetics and politics. They gloss the political as an area of life 'largely determined by human consciousness', one that does not 'tend to play a decisive role' in Deleuze and Guattari's understanding of art works as 'expressions of immanent and abstract forces that animate all aspects of our world, and indeed what is not ours, the cosmos' (2017, p.7). By way of explanation, they go on to explain that forces 'do not obey "ideas"' but rather 'emerge through the materials that actualise them, through the abstract movements, machinic relationships and often unconscious and inorganic motives of "matter-force"' (p.7). Note that in this articulation of forces as distinct from that which would obey ideas, almost by default, the political is aligned with 'consciousness' and 'ideas' are pitted against the 'unconscious'. At the same time, Tuinen and Zepke acknowledge that the work of art expresses 'force according to its own conditions' and that these conditions 'can, through the processes of expression, themselves change'. They can also 'include the political'. Yet, in their (quasi-Hegelian?) assumption that the political can be broadly aligned with that realm of life that is determined by human consciousness, and in their suggestion that, by contrast, the forces that get expressed through art do not obey ideas, in effect they have cordoned off all kinds of ways in which art might operate politically. Given that politics is cast on the side of human consciousness and ideas on the one hand, and is implicitly opposed to art, which for its part is cast on the side of the immanent expression of forces, there might seem to be little possibility of investigating the ways in which the conditions in which a given work or art is allowed to flourish or not are infused with both political and aesthetic assumptions.

Yet there is a large body of work indicating that far from involving human consciousness, or being formulated as coherent ideas, discrimination and prejudice often operate in ways that are unconscious (Sue, 2010). There is also significant scholarship suggesting that feeling, emotions and affects are politically laden (Berlant, 2004), so that to invoke feeling as opposed to meaning is somewhat heavy handed. This in turn suggests that art which is capable of tapping into forces and feelings that are often unconscious might well be implicated in the political, that the political valence of art is not restricted to representing the environment from which it emerged or to mirroring pre-existing cultures, but might also be capable of modifying the view one has of the world. It might be just as capable of migrating cross-culturally, perhaps cross-historically as any other art. Perhaps the oppositions Ionescu sets up—either representation or sensation, either emanating from a particular culture, or capable of modifying the world, need, then, to be rethought.

As he goes on to develop his investigation into Deleuze's relation to art history and his manner of writing it, Ionescu's account provides hints as to how works of art can both be implicated in representation of a particular culture and possess the ideological power to break away from it, and to disturb rigid forms of life.

According to Ionescu, Deleuze's contribution to art history is to construe it as 'essentially a constellation of sensations' where 'this constellation is a force that can overcome *historical delimitation*' (2017, p.28). For Deleuze, art can, Ionescu claims, 'still represent the culture that created it but it has an artistic value precisely when its intensity breaks with its environment and affects other ages, cultures and people. . . the object of art is an anonymous force that has the potential to migrate through the world' (p.28). Art is 'a process of "weaving" sensations that disturbs any enclosure of life in rigid forms' (p.28). Although he does not elaborate the claim, for Ionescu, Deleuze's 'impersonal and transitive conception of painting has an ideological power: this culture of transformative repetitions and perpetual transitive processes resist the stability that systems of power implement on language or the body' (p.33).

At one point, although they refrain from providing it themselves, Tuinen and Zepke also situate, and perhaps even call for, such an investigation, when they say,

While a politicised art history is clearly possible (ie T. J Clark), and arguably fundamental to feminist art history or 'new art history,' it generally tends to follow the political commitments of those artists discussed . . . rather than develop an aesthetics as *political strategy*. Certainly the militant Guattari insisted that the aesthetic paradigm was first of all political (2017, p.17)

I would not so much want to develop an aesthetics as a political strategy (which might result in the subordination of aesthetics to a particular politics), but rather to keep a space open in which the conditions under which certain art works might be said to express certain forces can be interrogated. For how these conditions are understood, as well as how forces of certain artworks 'not only to express, but also actively construct' a [Bersogian/Deleuzian] 'open and changing whole (duration)' (p.10) is itself open to political dispute. In this sense, it would be necessary to say that the very identification of

a minor, as opposed to a major, literature (or art) can be a contested question, so that to take up a term such as 'minor' is not necessarily merely a question of applying a Deleuzian concept that was invented in relation to a singularity, and thereby turning it into a generality or into the 'conformity of a law', as Ionescu maintains it is (p. 21). If what constitutes the field of literature, or the sphere of art are themselves not stable arenas, but rather are contested, neither can the meaning and application of terms such as 'minor' be taken for granted.

Whatever else we can say about the relationship between politics and art, it is one in which both terms must remain contested. What constitutes politics and what constitutes art must remain, to some extent, in question. One of the ways in which politics operates to support the status quo is to deny that certain claims or certain spheres of life, among them the aesthetic, are political. Accordingly, part of the work of politics is to demonstrate that the conditions that facilitate the expression of a work of art are in fact political, and not just the way things are. It is not a question of either reducing the work of art to narrative or generating new concepts, but of modifying the world in such a way that new narratives can become intelligible, can begin to be seen, that their prior invisibility can also be registered and that new concepts might be formulated in the wake of their new visibility.

The vehicle I have chosen to explore the contested site that art constitutes is an exhibit at the Tate Britain, *All too Human*, which features the work of Francis Bacon and Lucian Freud and includes other artists such as William Coldstream, Euan Euglow, Paula Rego, Stanley Spencer, and Lynette Yiadom-Boakye. The title of the exhibit performs a reference to Nietzsche's *Human, all too human*, subtitled: *A book for free spirits*. In citing Nietzsche, are the curators of the exhibit calling up the foibles of us mortals who take ourselves for gods ('so that you finally stop wanting to be the only god' says Irigaray? (1991, p.25). Are they also bringing into question the ease with which we seem to replace one god with another (the all too human displacement of religion/fetishism/commodification/corporate markets . . .)? Is there a sense in which at least some of the artists featured in *All Too Human*, gathered together under an exhibit title that recalls Nietzsche, manage to avoid a similar fate? I would say that there is.

In the decadent languid sorrowful sweep of David Dawson's aquiline limbs, echoed by the muted colours of Eli the dog, curved into tranquility beside David in Freud's 2003-4 *David and Eli*, what is it that haunts Lucian Freud? Is it David's apparent complete lack of proclivity for worship of any kind of deity? Is it David's apparent carelessness, almost laziness, indolence, as if he has drunk one too many glasses of liquor, or has just awoken from the torpor of a Sunday afternoon slumber? Perhaps he has just had sex and is bathing in its afterglow. Perhaps he is simply tired of posing for Lucian. Perhaps he has been dreaming. Perhaps he is coming down from being vaguely aroused in a nonchalant sort of way. Whatever it is, there is something liquidly alive in this painting, something that stays with me long after I walk away from it, following me out of the gallery and into my life, just as David's foot dangles from the chaise-longue, which refuses to entirely contain the labile quality of his supine figure, his slightly dishevelled, aging, far from perfect but still rather beautiful thin and slightly sagging body. Eli's head hangs off the divan too, mirroring David's foot.

A plant stands next to David and Eli. The leaves of this large plant in its off-white wicker container are spiky to a point, but some of them droop, like David's penis, its leaves are as green and brown as David's flesh is pink and red and brown and white. Freud has applied the paint so thickly at certain strategic points of David's body, his knee, for instance, that it almost cracks, there are globules, knobs of paint, creating a surface that would be rough to the touch, so worked over are some portions of David's flesh. Impasto. Not only, then, is Freud exploring David's animality, in aligning him with Eli. He is also exploring his plant-like features. In this sense he might be said to be approaching what Deleuze would later interrogate as becoming-animal, or becoming-plant.

Deleuze and Guattari ask in *Kafka: Toward a Minor Literature*: 'Isn't it rather that the acts of becoming-animal cannot follow their principle all the way through—that they maintain a certain ambiguity that leads to their insufficiency and condemns them to defeat? Aren't the animals still too formed, too significative, too territorialized? Doesn't the whole of the becoming animal oscillate between a schizo escape and an Oedipal impasse?' (1986 15).

Freud's figure is not quite human, more animal than human, almost plant-like, but its way of being not quite human is vastly different from how Paula Rego's figures, also included in the exhibit, are not quite human. Foreshortened, contracted, compressed, there is something doll-like about these figures, something that resonates with the large, placid eyes staring out of the flattened face of Freud's *Girl with a kitten* (1947) in which the hands of a frizzy haired woman, all blue and grey and brown, hold a kitten in a stranglehold. Yet the cat is unperturbed, its green eyes staring out calmly at the viewer, while the girl's eyes look off at an angle. All very controlled. Very mellow. Very calm. Almost too calm. Skin like porcelain, wide almond eyes. Only the fizziness of her hair is not calm. Rego, on the contrary, stages her figures in bustling rooms, in busy and demanding scenarios.

Within the large frames of her paintings there is none of Freud's serenity borne of his singular focus. There are regimes to be glimpsed, rubrics looping together her disparate, distended bodies, loosely tying the figures to one another in misunderstood, unconceptualized, perverse relationships, as if the emotions which preoccupy each of the figures in their own way disconnect them from one another even while stemming from their shared, compacted histories. Each figure is caught up in their own affective world, bound to the others only through their uncognising differentiation. There is laughter, power, aggression, determination, ridicule, derision, complicity, submission, boredom, torpor, exhaustion, carelessness. And there is refusal. There is a wrist caught in a hand, an elbow that has given up flailing, the twist of a head, a reckless almost smile, the straightforwardness of just standing one's ground with sturdy feet, akimbo, and not giving up on one's desire—however problematic it might prove to have been at some future as yet unmarked point in the passage of time that is, inevitably, to come.

There is a darkness to these paintings. Whose is the suit hanging in *Shipwreck*? It is small enough to be a boy's, but no boy appears in the painting, only a man. Has it shrunk? Why are the drawers of the cabinet so higgledy piggledy, what's a parrot doing perched on the chair, who is the dog in the foreground snarling at? Is it us? Why is a black doll sitting on the floor amidst open books and files? What is a blue urn doing besides the open drawers? Why is a carpet climbing up the wall, where's the ladder, buttressed right up against the chair, upholstered deep red, in which both of the central figures of this painting are located, reaching up to? The dark-haired woman seated in the chair looks off to her left. She is underneath a man who lies across her, eyes closed, fast sleep; she supports his weight. She cannot be that comfortable. He must be heavy. Her bare legs are apart, her feet in black shoes, planted on the floor help bear the man's weight. The man is peaceful, oblivious to the chaotic room around him, lost to the world. And she seems to be taking everything in her stride.

Is this the same woman pictured in the second of this triptych, seated under a large hair-dryer, her daughter, perhaps, sitting by her side, gazing upward into the mirror, into which her mother also looks? I think so. Although unlike her daughter, we cannot see the mother/the wife's reflection in the mirror. Curiosities populate this painting too. This time a gold coloured ashtray, shaped like a monkey. Vestiges of Portuguese and British colonial slavery regimes. The woman same woman, perhaps, is wearing a black jacket and bright green skirt, looking askance in the first picture of this triptych, a response—a riposte—to Hogarth's *The Marriage a la mode*. Here too mirrors reflect figures whom we do not see otherwise in the painting. In the foreground a child, sprawled in her white dress on a chair, caresses a dog with her foot. In one of the mirrors a woman in underwear is removing her tights while a man, his back turned to us, looks on. In the middle of the painting a man crouches for solace against the older woman to whom the woman in the black jacket might be conversing. Behind them a still older woman looks aghast. At what exactly, it is unclear. At the woman in a state of undress, whose mirrored reflection we see in the background of the painting? The decaying stages of a marriage, perhaps. And yet, there is something robust, at least about the woman in the final painting. Of course, none of these questions are ultimately answerable, and nor should they. As Deleuze puts it, 'painting itself is beyond all narration' (2017, p.50).

Although Rego might have been pigeon-holed into a representative framework, and might even have contributed to allowing herself to being pushed into such a framework through her own commentary, it could be argued that what matters above all in her paintings are the ways in which the energy that flows through the figures she depicts interacts with the force fields within which they are situated. There is, for example, in *The Bride*, a naked sadness, a solitary refusal, an acute discomfort, an intensely private rebellion against invisible forces made visible, the forces of decorum that organize this bride into strictures she escapes, fleeing her wedding dress cage. For Deleuze, rhythm, 'appears as music when it invests the auditory level, and painting when it invests the visual level' (2017, p.32), and it is rhythm itself that would constitute the Figure' (p.51). The rhythm invested in this painting is one of flight, it is a minor reterritorialization. It is a throwing off of shackles, a withdrawal from convention, a re-assignment of oneself away from marriage in the midst of it. It is a wrenching of the body away from everything that would tame it, manipulate it, and control it.

Rego's figures are orchestrated by forces over which they do not seem to be in control, by a web of calculation and desire to which they are in thrall, and which only becomes visible through their facial and bodily reactions, their torpor, their amusement, delight, ironic detachment. Desire overwhelms them, fear paralyses them, or indulgence overcomes them. The passions that circulate from one to another are not so much indicative of a story that is being narrated involving characters in relationship to one another as of the intensities of the passions themselves that course through them. The figures themselves are at the mercy of these forces, cowed by their strength, assaulted by them, rendered diminutive in their efforts to navigate them, incapable of distinguishing themselves from the fields of emotive forces that seem to flow so freely and excessively, binding these figures to one another even as they hold them apart. Racked with emotion, they are mere vessels. The social/psychic mores, and their transgression of them, that throw them together and keep them apart from one another dictate their movement and their stasis.

There are variety of ways in which the figures in this exhibit might be said to depart from their figurations, deviate from the human, becoming almost non-human, almost inhuman by being all too human. Stanley Spencer's *Nude Portrait of Patricia Preece* (1935) departs from the historical conventions of female nudity, an uncompromising, confrontational expression in her eyes, the insistent networks of tiny blue blood vessels tracing their way across her sagging, spreading, very large breasts. Not pendulous. Pendulous is a word men who don't have breasts tend to use for women who do. To use such a word for a breast makes it sound like some kind of appendage, which just happens to be tagging along with the rest of the body, an optional extra. The two breasts are different shapes from one another. The left breast, to the right of the painting, slides off to the side, as if trying to escape the vision of the painter altogether. How much this has to do with the uneven angle of the shoulders, the right one held higher than the left is hard to tell. The more one looks, the more one finds the lines in this painting to be crooked. Patricia's eyebrows are almost demonic. Her left eye, like her left breast, looks slightly off to the side. It is hard to tell whether in fact her right breast is really larger than the left, more bulbous, or if it is merely angled differently due to the poise of her shoulders, which make the left breast wander almost out of the painting. In the middle of her chest, the skin has a high colour, almost as if it had been scratched due to an itch, and is slightly irritated. Lines furrow the skin of her belly, one line appears just beneath her breasts, cut off from vision by the bulging fullness of the breasts. Some traces of navel hair creep up toward the brown hollowed dent of her tummy button.

There are other paintings of female nudes (or almost nudes) in the exhibit, but none confront the viewer in the way that Spencer's painting of Patricia Preece does. They are too vague, somewhat apologetic. William Coldstream's *Seated Nude* (1952-3) is rather washed out. The figure is a bit wan. Coldstream's *Seated Nude* of 1973-4 is depicted from a sideways angle, mouth slightly ajar, a little disconcerted, smallish breasts, solid thighs, the model doesn't look too comfortable. She is not at ease. As I'm contemplating her unease, on one of my visits to the Tate Britain, the voice of a seven or eight-year-old says from behind me: Is that a man or a woman? I can see the point of her question. There is something that could be read as conventionally masculine about this figure, whose pubic area is hidden from view due to the angle in which she is seated in relation to the viewer. There is something angular about her shoulders, her chest, something that is not coded as conventionally feminine in the way she allows her lower lip to drop, in such an unselfconscious manner. What do you think it is asks a mother-voice behind me. The child is unsure, that's why she asked the question. It's a woman! Comes the follow up. In the beat of time that passes between the question and the response I resist turning around to engage the child in a discussion about sex, gender, trans issues and so on. My guess is the mother wouldn't appreciate such an intervention. So I let it go, drifting along in my thoughts about the ease with which this question is answered, about how Freud's question, am I a man or a woman, am I an obsessive or a hysteric has been forestalled for this child's reading of Coldstream's seated nude. I wonder if it is foreclosed forever.

There's a painting by Euan Uglow, *Georgia* (1992). Georgia is not nude, but she might as well be. Her simple, white, tight fitting dress, with its three bands of red around the cuffs and the neck reveals that she is bra-less. Her nipples protrude beneath the material that clings to them. She looks rather bored. There's an intense eroticism about this painting, and it is the only one of the exhibit that even begins to approach the confrontational air of Spencer's Patricia, whose eyes, under those quizzical, offbeat eyebrows, would almost burn a hole in your soul if you let them.

For his part, Bacon exploits the boundary between the human and the inhuman still further. Taking body parts and stretching them out along planes and axes they were not meant to be stretched across. Contorting the body into impossible, inhuman positions, tying it up in itself, spreading it out from itself, like butter spread on burnt toast. His paintings have the rasp of a knife across the crisp surface of overdone toast. And that dog. Bacon calls it simply *Dog* (1952). Dog paces in a circle, as if in a compound. Hunted. Caught up in his own demise. No barbed wire encircles him. Only his own infernal constriction. Only a not quite hexagon shape against a red background, a floor of sorts, containing a painted green circle, within the bounds of which dog turns on himself. Deleuze (who does not discuss this particular painting) might identify this as the isolating contour. Except for one of his hind legs, which falls just outside the circle. Dog looks hot, thirsty, parched. His red tongue hangs out. The whole canvas has a torrid feel to it, perhaps because of all that hessian, giving the impression of a desert, of sand. Bacon said his paintings were about sensation.<sup>1</sup> The sensation here is heat. And fear. And constriction. Beyond dog, in the middle distance there is a thin blue line reaching from one side of the painting to the other (is this thin blue line the sea?), across the hessian coloured canvas, which looks as if it has hardly been painted. A solitary palm tree accompanies the thin blue line of the sea. In the far distance is a further single black line. A horizon. Dog has none of the passivity of David's Eli, all of the tautness of fear and watchfulness, as if it might have been beaten. Such intensity, coiled into the curve of its back. Waiting, just waiting for something else bad to happen. Almost human.

There is something almost comic about this piece. Between the red not-hexagon and the thin band of sea are several cars, all black, proceeding in both directions along what must be a highway. They are like toy cars, with multiple black lines trailing from each of them, tapering off, indicating the speed at which they travel. Similar lines indicate the motion of dog, whose face is darker than the rest of his body, which is so cowed.

Like *Dog*, the figures of Lynette Yiadom-Boakye are also tense and watchful, but for more diffuse reasons. How do the subtle and shadowy ways in which Lynette Yiadom-Boakye's figuration of race and sometimes ambiguous gender help to recast racialised and gendered regimes? Two of her paintings book-end the exhibit, almost a footnote, all but an after-thought. *bel hooks* says somewhere that African-Americans are often appended to the end of feminist syllabi. The course is about 'us', but then there's a nod, right at the end to the others. Not a nod that makes the others central, merely a nod that acquiesces to share some space with these others, space 'we' still control, space we 'allow' these other into, as if it were ours to give. This feels a bit like that. Lynette Yiadom-Boakye's paintings flank the exit door. You could almost miss them altogether, on your way to get coffee.

Still, they are there. That's something. There is a restlessness about the figures in these paintings, a quiet, self-contained energy pulsing through them, a disdain in the way they place their hands on their hips, as in *The Host Over a Barrel*, or form a diamond with their fingers, as in *Coterie of Questions*, sitting pensively, or standing, waiting for an unseen event, a car, a person, for time to slip silently away into something unexpected. Is there a car, shining its headlights from outside the frame of the painting, lacing a brightness around three figures, all wearing short, dark, sleeveless dresses, all, more or less, with their backs to us? What are they waiting for? A feeling of not being quite at home. A looseness but one that is studied, deliberately assumed. An attitude taken up for the world. Masks adopted for the purposes of survival. Like the 'large rings and medallions', 'the big puffy coats and full-length fur-collared leathers', like the 'gilded bamboo earrings' Ta-Nehisi Coates recalls being worn by the 'extravagant' boys and girls on the Baltimore streets of his youth, who stood around pumping music 'from boom boxes full of grand boast and bluster' covering their fear with loudness and bravado (2014, p.14-15). Each of Yiadom-Boakye's figures strikes a pose. A very deliberate pose.

Even if first appearances might suggest something approaching flippancy, it would be a mistake to read anything casual in the way these figures, black on grey, stand their ground. They are not so much silhouetted against the darkness of the night as cast in chromatic progression against it, limbs outlined against the murky, hazy, uncertain backgrounds in which they are set. What one sees, if one looks for a while, is forbearance. Endurance. Fortitude. And weariness. A certain lassitude permeates these images. Like they have just witnessed one of the series of all too many all too frequent all too human micro-aggressions Claudia Rankine describes so painstakingly, with such precision in *Citizen: An American Lyric* (2104). They have just been overlooked at the cash register in a drugstore. Rendered invisible, negligible, non-existent. Oh, I didn't see you. No, I really didn't see you. Or they are about to be. Or they will be the next day, or the day after that. The daily grind of racial diminishment, Rankine calls it.

The steady drip, the pressure of life, of just trying to survive, of getting by. Drips that cumulate in pools, sometimes pools of tears, sometimes of blood, caused by knives. Or guns. These figures might very well have just witnessed a murder. They might be about to witness one. They hold this knowledge in their stances. The precarity of their existence. The fragility of their lives. It is not for nothing that they are wary. In their stances they defend themselves against what might happen. Against what all too easily might happen, against what all too often keeps happening, will keep on happening unless very many intricately interlaced things change, things that are woven into the very fabric of society, things that get so easily passed over by those of us who can pass over them all too readily. The unwary ones. Lack of horizons, lack of possibilities, systemic failure of the very basic provision of what most of us consider to be necessities, not luxuries. Health. Care. Sanitation. Food. Safety. Security. Accommodation. Sanity. Being able to live lives that are not caught up in trying to ascertain things that need to be taken for granted, to fade into the background, in order to free oneself up for the pursuit of education, art, intellectual activities, earning a decent living. In order, we might say all too simply, to succeed in life.

One might say that an atmosphere of submission permeates this painting, but that one of perseverance, overcoming, survival is in ascendance. We could express this in terms of what Deleuze refers to as the diastolic and the systolic, in terms of a 'crescendo, or simplification, climbing, expanding' and 'diminuendo or elimination (descending, contracting, systolic, removing value)', and creating a rhythm with a third element, perhaps the attendant element, the damp misty haze of the night air, in which the balance of the diastolic and systolic is played out, and into which it dissipates.

There is patience, waiting, watching, passivity in their forbearance. Watchfulness. As if time itself were suspended, as if it stood still. 'The instant . . . reverts to tranquillity in waiting' says Levinas, 'Neither anticipation nor impatience, 'waiting waits

for nothing (1989, p. 51). There is little action, little movement in Lydiam Boakye's paintings. Time is distended. Hours might have passed, and still these figures would be arranged in their poses, watching and waiting. To see what might happen. As if their narratives are not of their own making, as if they are mere spectators in someone else's show, a show that they have decided to bring to a halt. As if the continuity of time itself were forestalled by their very restless stillness, through which they offer resistance. Here it is not so much a matter of resisting the stability that systems of power implement but rather a matter of remaining still in order to resist the dynamism of systems of power that operate as if those who withstood it don't exist. There is a jadedness, a wariness to be sure, but there is also a steadfastness, an affirmative we shall not be moved.

It is in a zone of indeterminacy that the correlation and difference of Levinas and Deleuze on rhythm in art might be placed. For Levinas, every art work is a statue, which slices through time, immobilizing it, freezing it, according it a truncated rhythm of its own, a rhythm that transports the viewer. The art work interrupts time, as if creating a stoppage. There is at once a proximity and divergence when it comes to how musical rhythm is taken up by both Levinas and Deleuze and re-envisioned in relation to visual art.

In the context of the exhibit, one might call it an assemblage, *All too Human*, it might be said that Rego and Lydiam-Boakye operate as protagonists of minoritarian art, and that Spencer and Uglow approach such a status. If Ionescu is right to suggest that Deleuze's approach to art can be characterized as a 'constellation of sensations' understood as a 'force that can overcome *historical delimitation*' I have sought to demonstrate how Lydiam-Boakye, Rego and Spencer in different ways have mobilised sensations, constellated them in such a way as to bring into view figures who have typically been relegated to the background of art history. In rendering visible the rhythms in which they are caught up, and how these rhythms are a function of specific temporal modalities that infuse these works (frenetic and conflicted, in the case of Rego, whose figures seem to contract under the very weight of the passionate regimes in which they labor; passive, watchful, slow, almost a stoppage of time, wary, cautious, steadfast in the case of Lydiam-Boakye's patient, world weary but also potent stances) I have tried to illustrate how such work can in Ionescu's words 'still represent the culture that created it' but have artistic value precisely because of a transformative energy and 'its intensity breaks with its environment and affects other ages, cultures and people'. In doing so, I hope to have fleshed out the sense in which even as Rego and Lydiam-Boakye, who put female and black bodies at the centre of their paintings, and in some sense represent specific communities, they do so not in order to present forms that are homologous with and reducible to a certain constituency or culture, but in order to precisely allow these figures to break out of such scenarios, and to migrate elsewhere. Such migrations might unsettle the stories we tell ourselves about majoritarian and minoritarian figures, stories that continue to haunt in some predictable ways even Deleuze's renewal of art history.

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## Can Dinosaurs Fight Back? Utilizing Start-up Strategies for Renovating the Banks' Business Models

**Janik-Vasily Benzin**

Department of Computer Science, RWTH Aachen, Germany

**Jürgen Moormann**

ProcessLab, Frankfurt School of Finance & Management,  
Frankfurt a.M., Germany  
Corresponding author

### Abstract

Due to low interest rates, tightening regulation, changing customer preferences and aggressive intruder's banks are facing enormous pressure. Many of these incumbent banks not only have to overhaul their processes and information systems, but also their complete business model. But how can a traditional bank get to a new business model? How should the process of business model innovation look like? Usually, there is no such a process. An interesting starting point, however, might be to utilize the concepts that are used by the intruders themselves. In particular, Design Thinking and Lean Start-up appear to be promising approaches. In this paper, we analyze whether and how these concepts can be used to develop a process for traditional banks to renew their business models. The strategies used by start-up companies follow the approach of a consequent customer focus – thus the process we develop shows the same characteristics. As a result, the strategies used by start-up companies offer a great opportunity for established banks to fight back and remain competitive.

**Keywords:** Bank, Business Model, Design Thinking, Lean Start-up

### Introduction

Business model innovation is a major task for today's bank management. However, working on and renewing business models is a relatively new concept within the financial services industry. Therefore, only limited experience is available in this regard. Typically, there is no predefined internal process existent that guides and supports the systematic innovation of a bank's business model. Therefore, it might be helpful to look at those companies who are particularly challenged to define their business. This applies to start-up enterprises such as fintechs. The requirements regarding a business model for start-ups call for experimental, hypotheses-based approaches, rather than traditional, analytical approaches.

### Background

The process to be developed here – i.e., the founding process of a company – is positioned on the business model level. Usually, a start-up company begins by searching for and creating new opportunities, which are generated from certain situations in the environment. The opportunities identified will then be transformed into a business opportunity. Two popular procedures for creating business models are Design Thinking and Lean Start-up. These strategies form the conceptual basis of many current business models of start-up enterprises. Since definitions of *Design Thinking* vary depending on the literature source used, in the following we refer to the understanding posited by the Product Development and Management Association. *Lean Start-up* was introduced in 2011 by Eric Ries by applying the lean manufacturing principles of Toyota to the customer development model. Analysis is required of which approach best fits our purpose, or whether both can be combined to develop an innovation process for business models in banking.

### Methodology for Developing the Innovation Process

Since the goal of this paper is to develop a process – i.e., an artifact – we use the Design Science Research Methodology (DSRM). DSRM consists of six successively ordered research activities. In order to evaluate the innovation process, we conducted expert interviews. Based on the criteria of DSRM and the objectives of our process, the achievement level of the artifact was reviewed in a large German bank.

### **Structure and Elements of the Innovation Process**

In this section, the resulting innovation process is explained. The process consists of two phases:

Phase 1 is called *Customer-centric Output Conception*. This phase is based on the first three steps of Design Thinking. The phase aims to ensure that, through the creative discovery of opportunities in combination with rigorous customer centricity, a high-value success potential is developed. This prevents existing knowledge about customers being used as the only basis for the further development of innovation. The selection of opportunities is performed using a first decision gate.

Phase 2 is called *Conception of the Market, Operations, and Revenue Model*. The selected opportunities (phase 1) are the basis for phase 2, which builds on elements of the Lean Start-up concept. Together with a rapidly built prototype, central hypotheses of the business model (e.g. regarding the needs of the customers) can be tested (e.g. in terms of interactive experiments with customers) during a validation period. The results of the validation provide the foundation for a second decision gate. After elaborating a business plan and potential consequences on the bank's business model a third decision gate follows.

### **Evaluation**

Generally, each form of academic proof or logical conclusion can be used for evaluating an artifact. Here, we used semi-structured expert interviews to analyze whether the objectives of the constructed innovation process were met. In our case, six carefully selected experts from one of the largest German banks were chosen. The experts confirmed, to the fullest extent possible, that the objectives had been achieved. Two reservations were noted: (1) in addition to market pull – our approach – there might be further perspectives, such as technology push and market observation; and (2) there might be other procedural models, apart from Design Thinking and Lean Start-up, that might also lead to business model innovation.

### **Conclusion**

This paper reveals that the analyzed start-up strategies – Design Thinking and Lean Start-up – can be applied to develop a process for business model innovation for traditional banks. Since start-ups follow the perspective of market pull – and consequently focus on customer needs – the innovation process developed here shows the same characteristics. Strict customer centricity is exactly what distinguishes start-ups, especially fintechs, from incumbent banks at the present time. Using the process shown here, traditional banks can use a creative tool for renovating their business models – a task that is of the utmost importance for today's top management.

## What Are You Talking About when You Are Watching Online TV Series: Parasocial Interaction with Topic Modeling and Media Success

**Jinju Kim**

Departament d'Empresa,  
Universitat Autònoma de Barcelona, Spain

**Jordi Lopez Sintas**

Departament d'Empresa, Universitat Autònoma de Barcelona, Spain

### **Abstract**

We describe the dimensions of viewers' parasocial interaction in social media regarding nine online Korean TV series to uncover the relationship between parasocial interaction and series popularity. We built a large textual corpus from online timed comments on the Korean TV streaming website VIKI and implemented topic modelling. Our findings suggest that TV series available in the social media context become popular because of the parasocial interaction between viewers and with media leading characters. The cognitive, referential and critical dimensions of parasocial interaction have the strongest influence on popularity, while behavior, empathy, and emotion are the least influential components. It seems that Korean TV series viewers value audiovisual productions that cause them to reflect, make judgements, and connect with events and personae that mirror their own lives and personal experiences.

**Keywords:** topic modeling, parasocial interaction, social media, online audience research, real time comments, social media communication, drama, TV series

## **Servant Leadership on Organizational Commitment and Organizational Justice in Educational Institutions**

**Hatice OKCU**

Anadolu University, Turkey

### **Abstract**

Teachers' perceptions and kinds of their behaviors who lead to social change, the most important cornerstones at function of educational organizations whose stuff and input and output are human beings and at the achieving these goals are important. The purpose of this study is to clarify the relationships between the variables of organizational citizenship behaviors of servant leadership behaviors of the principals at whom the teachers at private schools see and the effect on their performance, identifying by the means of the perception of organizational justice. The population of the study consists of the teachers working at private schools. The data was obtained with 75% of the return rate of face to face interview with the 400 teachers from 10 schools selected by the random sample method and applied via e-mail and the questionnaires which are formed by the scales provided validity and reliability in the literature. As a result of the findings, it is revealed that organizational justice shows mediator effect on servant leadership behaviors in its relation with both employee performance and organizational citizenship behavior.

**Keywords:** Educational organization, servant leadership, organizational commitment, organizational justice.

## Field of Application of Corporate Governance Principles in the Turkish Company Law (Joint Stock Companies)

**Associate Professor Dr. S. Anlam Altay,**

Université de Galatasaray, Faculty of Law, Commercial Law Department

### Abstract

Universal corporate governance principles were codified in Turkish law under Capital Markets Law, followed by Banking Law, and in 2012 by Corporate Law governing non-public joint stock and limited liability companies. Following its entry into force, setbacks were introduced. This presentation aims to holistically assess the introduction of corporate governance under Turkish Law. The first essential step towards adopting corporate governance was through UFRS standards. Imposing independent audit and transactional audit to all capital corporations was the second step. Third, Public Supervisory Board was established to supervise independent auditing. As a fourth step, the lawmaker adopted corporate governance as a manner of organization and functioning of the joint stock company bodies. The principles of equity, and true and fair view became fundamental constituents of the Law of Corporations. Principles of accountability and responsibility are reflected as fiduciary duties imposed on managers, and within rules governing liability of managers. Fifth, information society services are regulated. Consequently, each capital corporation shall establish a website containing specific information. These striking novelties in Turkish Law regarding corporate governance principles faced reactions regarding 1. Material costs for harmonization, 2. Probable effects of independent audit on company organization, and 3. Transparency. Such reactions resulted in the application of UFRS and independent audit, as well as information society services being reduced to specific companies. The purpose of this presentation is to determine the technical scope of application of Turkish corporate governance and assess the preferences in and the reactions to adapting corporate governance within a legal system.

**Keywords:** Corporate governance, financial reporting, audit, information society, liability of managers.



## Effects of Military Coup Attempt on Turkey's Economic Development

**Ahmet SERDAR**

Uludag University Bursa

### Abstract

As a developing country, Turkey needs stability on its macroeconomic figures such as sustainable growth, inflow of foreign investment, tourism revenue and budget deficit. On the other hand, it is obvious that military coups in the past affected development of the country negatively. In 2016, members of Turkey's armed forces tried to stage a military coup on July 15. The coup attempt was defeated, but had some negative effects on macroeconomic indicators which are affecting development of the country. But figures show that the last attempt is not so significant compared with military coups of 1960, 1971, 1980 and 1997. In this study, some macroeconomic indicators of Turkish economy will be analyzed over the end of the years 2015, 2016 and 2017. Within this midterm period numbers are going to be compared according with the indicators of 2015. Finally, last military coup attempt will be compared with the previous coups by comparing their effects on economic growth and development.

**Keywords:** Military coup, Turkey, Economy, Development

## Universal Standards for Developing Curricula for Migrant Children: a Model from Beijing

**Marcus L. Vanderjack**

Capital Normal University;  
Migrant Children's Foundation

### Abstract

As rapid urbanization and development push and pull migrant communities into the world's cities, we find a growing population of migrant children whose educational needs are complex, inconsistent between individuals, and evolving. For educators who develop curriculum for migrant children, the challenge of balancing migrant children's needs persists; there is a need for a clear curricular framework for which skills are most useful to migrant children. Such a tool benefits any educator tasked with planning an academic curriculum for migrant children, whether a volunteer at a remote NPO or a public school teacher whose school's demographics are changing. This paper is presented in three parts. The first is a condensation of recommendations from scholars of curriculum development, economists, and government agencies made to improve the education of migrant children at the curricular level. Part two, drawing from the conclusions drawn above, provides a curricular framework of scaffolded objectives based on non-cognitive skills related to discourse community development, critical thinking, and self-reinforcing motivation towards both learning and agency. The Migrant Children Curricular Standards (MCCS) are designed to help those who write curriculum for migrant populations, no matter their academic discipline, in order to suit the needs of migrant students. Part three demonstrates the usefulness of MCCS using the model of Beijing's largest NGO for migrant children, the Migrant Children's Foundation (MCF). MCF's English as a second language curriculum as an exemplar of how MCCS can help guide educators globally toward the end of effectively educating migrant children.

**Keywords:** migrant children, curriculum development, theory into practice, constructivism, equity, integration, China

## **Effective Ways of Assessment Which Motivate Students Nowadays (Case Study: “Ahmet Dakli” High School, Elbasan-Albania)**

**Dr. Isa Erbas**

**Adela Pajova**

Faculty of Philology and Education

English Language and Literature Department

Beder University, Tirana, Albania

### **Abstract**

We have all been students and we have all faced assessment, grades, exams etc. But nowadays there are different methods of assessment that teachers use. Some teachers use the traditional ones, they stay loyal to exams and grades, but others use group projects, portfolios, group discussions etc., which can be more interesting to students and they can find them easier, entertaining and motivating. The purpose of this short research paper is to investigate or examine some ways of assessment which are mostly used by teachers here in Albania, most concretely in one of Elbasan high schools, “Ahmet Dakli”. Attention has been given even to the student’s opinions toward the assessment that they encounter every day. So the study is further observed through questionnaires which allowed me to better arrive to the conclusion.

**Keywords:** Assessment, Motivation, Exams, Portfolios, Group Projects

## Implications of the Acquisition of Digital Skills for the Labour Position of Disadvantaged Women

Lidia Arroyo Prieto

Internet Interdisciplinary Institute (IN3), Open University of Catalonia

### Abstract

In an economic context in which digital technologies are becoming a key factor of wealth and economic growth (Castells, 2004; Tapscott, 1996; Fuchs, 2010), to assure a digitally skilled workforce has been a priority for the European Policies for job creation (European Commission, 2010, 2014, 2016; McCormac, 2010; Gareis, et al., 2014). The demand of digital skills in labour market is not only focused in ICT professionals with higher education, but also for low-skilled workers of all sectors (Valenduc, et al., 2004). In terms of women's employment, this scenario was seen as an opportunity to reduce the high female long-term unemployment because of new opportunities and also due to the importance of communications skills, associated with female abilities, in these new positions (Wooldfield, 2000). But workers with a high level of education have the benefit of taking advantage of the possibilities offered by the Internet to produce information and knowledge (Warschauer, 2004; Gurstein 2003; Sassi 2005; Di Maggio et al. 2004; van Deursen and van Dijk 2014). Moreover, gender inequalities are also reproduced in the Internet (Bonder 2002; Wajcman 2004; Castaño 2008; Wyatt 2008; Casula 2011; Simões 2011). Through a qualitative approach, this study aims to identify the implications of the acquisition of digital skills in terms of improving the job position of women who have participated in a basic digital skills training programme in Spain. The sample comprised 32 adult women who were active in the labour market, 17 of which were unemployed and 15 of which were employed. The results shows that women who participated in digital skills training programmes, do not identify an improvement of their labour position in terms of material conditions such as an improvement of labour conditions, finding new jobs or an increased income. However, it is detected an improvement of social recognition of their job performance in terms of prestige or making better known their work.

**Keywords:** gender, digital skills, labour position

## Taxing energy use in the BRICS countries – benchmarking South Africa

**Dr Lee-Ann Steenkamp,**

University of Stellenbosch Business School (South Africa)

### **Abstract**

An important pillar in the process of transitioning to a low-carbon economy is internalising the cost of carbon emissions. An environmental tax may be one of the most cost-effective ways to curb the negative side-effects of energy use. An example of an environmental tax is an energy tax, which may include carbon taxes. This paper examines the energy landscape and structure of energy taxation in each of the BRICS countries. These are nations that represent a large and increasing share of global energy use and carbon emissions. Although these countries differ in terms of their energy mix and energy intensity, the paper identifies some common features which could serve as a useful benchmark for South Africa. Both a desktop study and a quantitative study are performed. The desktop study entails a literature review of and reference to both foreign and local policy documents, as well as authoritative studies by the Organisation for Economic Cooperation and Development (OECD) and the International Energy Agency (IEA). The quantitative study consists of a high-level analytical review of certain key indicators of energy use and taxation in South Africa and the other BRICS member countries. It will be shown that South Africa ranks very poorly in terms of per capita carbon emissions. Consequently, this paper suggests that the country's proposed carbon tax could prove to be effective in changing consumers' behaviour and thereby reducing carbon emissions.

**Keywords** - BRICS, Carbon emissions, Carbon tax, Energy tax, Environmental Tax

## The Main Arguments: Improvement the Teachers' Education

**Keranmoy Chakma**

**Sunil Kanti Dewan**

Kapo Seba Sangha KSS

Rangamati

Bangladesh

### Abstract

Methodology: Quality Assurance in Teacher Education in the Digital Age – Issue and Challenges. Contribution to the field: It is common knowledge that the quality of the work undertaken by a teacher has significant effects upon his or her students, those who pay teachers' salaries- be it through taxes or through school fees- expect value for their money. Many countries have explored several avenues for measuring the quality of work of individual teachers, educational institutions and education systems. Some institutions attempted to explore the potentials of online learning and Virtual Class rooms. Energized by an affinity towards Social Constructivist principles, the field was destined to be a source of wisdom for students. But in many educational institutions, strict quality control standards and procedural norms did not exist. So it had not been possible to effectively exploit the potential of the modern general Pedagogy. The following 6 key areas strongly recommended 1 Curriculum Design & Planning 2. Curriculum Transaction & Evaluation 3. Research Development & Extension 4. Infrastructure & Learning Resources 5. Student Support & Progression 6. Management

**Keywords:** education, improvement, teacher

## A Cognitive Analyses of *at*: An Experimental Study in Iraq

Raghad Fahmi Aajami

English Language Dept., College of Education for Women, University of Baghdad, Iraq

### Abstract

The current study is focusing on the cognitive study of polysemy network of the English preposition *at* and its various meanings. This cognitive study offers a comprehensive view of preposition *at*. Iraqi second language (L2) learners fall in the perplexity because the multi-usages of this preposition. This incomprehension view of the preposition *at* motivates the researcher to analyze this preposition semantically according to the insights of the cognitive linguistics (CL) approach that is developed by Evans and Tyler (2003). The data analysis is based upon the use of quantitative method. Sixty-eight second year university students participate in this experimental study. The pre-test and post-test data are analyzed through the SPSS and the results show a progress more than  $(0.05 \leq)$ . The result of the questionnaire shows a prominent positive change in the students' attitude toward the (CL) approach and display the main source of difficulty that is related to the polysemy and diversity in the usage of this preposition. They also prove the effectiveness of (CL) approach in getting accurate comprehension of the English preposition *at*.

**Keywords:** applied cognitive linguistic, Iraqi undergraduates, cognitive semantics, English prepositions

## **Benchmarking ICT for Education in Japan: Best Practices, Trends, Challenges and Lessons Learned for Philippine ICT-Based Education & Development**

**Dr. Rhoderick V. Nuncio**

Professor of Philippine Studies  
De La Salle University, Philippines

### **Abstract**

This project stems from the noble idea that networking and mutual cooperation present in social media and Internet technology can be the same platform to help stakeholders and policymakers to learn from one another, specifically between Japan and the Philippines, towards creating and shaping the ICT4E mindset and programs for the benefit of learners. The research starts with examining the ICT4E vision and strategic plans of Japan by analyzing its contextual, technical, pedagogical and organizational initiatives to boost competitiveness and productivity. Japan has a long tradition of putting premium on its educational agenda through the years from the Meiji period up to the present “smart revolution.” Japan’s ICT4E initiatives can be classified into two stages—eJapan strategy from 2001-2013 and Smart Japan ICT strategy from 2014 up to the present. During the first strategy, capacity building efforts, curriculum design, teacher training, administrative support and provisions for a future learning environment are envisioned and implemented. The second strategy delves into embracing a smart revolution that is bolstered by the rise of smartphones, cloud computing technology and increased investment on ICT infrastructure. These initiatives however are also faced with new challenges and issues as ICT innovations and advancement accelerate and global realities are changing as well. The Philippines on the other hand is confronted by several issues and problems that upset the educational sector to embrace an ICT4E framework and strategic plans. One of which is the absence of a clear-cut national ICT4E vision. Another is the continuing political inabilities to sustain long-term educational agenda. With this sociopolitical climate, private schools and universities are left with no options but to take a “swim or sink” attitude in implementing ICT4E programs. The author has also put forward an affirmative response to initiate ICT4E projects through research and social development. Two De La Salle University Challenge Grant projects are mentioned in this paper to highlight the importance of an elearning outreach program for public schools and the necessity for a learning network paradigm to address digital divide and to make education free for all. The learning network necessitates both physical and online collaboration to address students’ needs, improve teachers’ capabilities and share resources, technologies and knowledge in order to transform the Internet as a viable and sustainable learning environment. This research project is designed to benchmark with Japan’s elearning projects and educational technology practices that can be used as model for best practices towards enriching and enhancing Philippine ICT4E programs. Finally, the paper lays down lessons learned, recommendations and aspirations that can be useful not only for Japan and the Philippines but to other countries as well that are doing the same advocacy towards utilizing ICT for education and development.

**Keywords:** ICT, Education, elearning, technology, strategy.

## A Business Model Innovation Through Canvas Model:the Case of “Perfect past Times Mall”

**Tuğba ÖZBEK**

Muğla Sıtkı Koçman University

**Serhat TÜRKEN**

Muğla Sıtkı Koçman University

### Abstract

A strategy of business is based on business system. Businesses create new business models by commercializing new ideas and/or technologies. Business model innovation is based on creating a new value by using the resources of the business and aims to improve business performance. Business model canvas is used as a tool to create business plan, and it is provided a general picture for business within nine basic structures. Today, past-time products or services and experiences reflect a trend which is attracting consumers by various motivations. Which experiences and products or services reflecting past times are called as “vintage” concept and this concept is combined with various commercial ideas, especially in the fashion sector. Moreover, the “retro” collections of famous brands, which reflect the past fashion style, increase the curiosity of vintage style because every vintage product reflects retro style. Vintage style consumption, which has been an increasing trend recently, has its own specific dynamics. Businesses need to position themselves in the direction of these dynamics. In this study, business model canvas of an enterprise that reflects vintage style will be examined. This enterprise is a fictional enterprise involving a complex structure and it aims to experience past or a certain period of the eras. Each unit in this complex contains a vintage concept and there are various products and services. In every unit, consumers who are interested in vintage style can adopt, experience and make purchases this products or services if they would like to. There are 7 units including restaurant, museum, hotel, boutique shop, cinema, bookshop-cafe and pub. Each of these units is designed separately to include the concept of “vintage” individually. Basically, it is provided an opportunity to experience the vintage style and to buy the products or services that belong to the spirit of the mall. This study is thought as important in terms of presenting an innovative business idea with a canvas model and examining all aspects of business model which contains vintage concept which is an increasing trend and inspiring businesses in creating business idea.

**Keywords:** Business Model Innovation, Canvas Model, Vintage Style

## Military Expenditures and Income Equality in Some Oecd Countries

**Filiz Giray,**

Uludag University

**Betül İnam,**

Uludag University,

### Abstract

Income inequality is an indicator of underdevelopment. Income inequality causes the distribution of unfair income. One of the major objectives of welfare state is to allocate the government expenditures for income equality. Developing countries compared with developed countries meet more serious unequal income issue. Government revenues have been distributed among public expenditures by making politicians. Taxes and public expenditures as public finance policy tools redistribute income in order to allocate income fairly in country. There can be trade-off between military expenditures and social expenditures which impact on income equality. In economy, it is commonly accepted that a direct linkage between income inequality and social expenditures such as education and health is available. It is a discussion subject whether military expenditures have a negative impact on income equality. There are few studies the relationship between military expenditures and income inequality supported by empirical findings. This paper aims to search whether there is any causality relationship among the military expenditure and income equality with comparison countries using data for some OECD countries during 2000s years. The relationship between military expenditures and income inequality is traditionally analysed through military expenditures as percentage of GDP and income inequality measurement as Gini-coefficient and summary indexes and social expenditures variables. The findings of this study suggest that the policy makers focus on the level of military expenditures to decrease income inequality.

**Keywords:** Military expenditure, Income inequality, social expenditures, welfare state.

## **A Critical Analysis on the Situation of Women Victim of Rape in Islamic, International and Iranian Legal Systems**

**Hajar Azari**

Assistant Professor, Faculty of Humanities,  
Tarbiat Modares University, Iran

### **Abstract**

Addressing the issue of rape and violence of any nature against women lies at the heart of any attempt at promoting gender equality. In this way, ensuring justice for women victims of rape has a symbolic significance in the struggle for gender equality. Women of every age group, vocation, ethnicity and religious background may be victims of rape. Interpretations of this crime in the legislative system and practical procedures of judicial institutions indicate a particular gender discourse in this field. The root of victimization in this discourse results from putting the blame on the female victims themselves. The relationship between the victim and offender is used to create an excuse to escape culpability for rape, e.g. when the victim and the rapist have had a previous sexual liaison or if the woman victim has had a previous conviction for a sex crime. Often, the current crime itself is not investigated without prejudice. Through this discourse, women victims are considered as a partner in crime instead of a victim, and this attitude has been the main reason for not recognizing the mass complaints of rape victims by the police and judicial system. Public opinion about rape is inevitably taken into account in the courtroom and often victims of rape do not see justice. As a result, often, incidents of rape remain unreported, both in developed and in developing countries. This paper has been done in a descriptive and analytical way and it critically examines the situation of rape victims under Islamic, international and Iranian legal systems. The first part of the paper examines Islamic legal perspectives on rape and the interpretation of Islamic law in Iran (regarding rape) as an example of Islamic courtiers. The second part considers the protection of victims of rape at the international level and the implementation of international law in domestic law that focuses on Iran as a case study. The third and last part examines the differences between Islamic law (Iranian version) and international law regarding rape. It discusses the challenge and opportunities of protection of victims (of rape) under Islamic law and international law. All these parts aim at clarifying how rape is dealt with in Islamic law and what difficulties victims face that originate from different Islamic perspectives on rape. The chapters on the international legal framework will enable us to determine how the protection offered by international law can be used domestically and how possible divergencies between both systems can be reconciled.

**Keywords:** Rape, Violence, women, victim, law

## Storytelling and the Inculcation of Virtue in Learners on Cognitive Science, Communication Theory and Virtue Ethics

**Nico Grönium**

Research Fellow

The University of Pretoria, South Africa

### Abstract

South Africa is in its 24th year of democracy and is beset with ethical challenges that threatens to derail the young republic. As always, educators have a primary role to play, especially with regards to the ethical education of the youth. While rule based ethical approaches (deontology) have become less popular due to the recognition of human beings and their ethical systems as products of their environment (e.g. German Historicism), virtue ethics has made somewhat of a comeback. Virtue ethics allows people to focus on the virtues valued within their community and the attainment thereof, rather than the implementation of universal rules. The interdisciplinary field of cognitive science, especially cognitive psychology, further supports the use of virtue ethics. Recent research within cognitive science has shown that much of our behavior is subconscious, guided by habit or pre-learned schemata as frameworks of expected behavior. This holds that behavior is not primarily guided by conscious obedience to a set of rules. In other words, we do not think and then act but rather act subconsciously and then think afterwards (deliberate on our behavior). Therefore, in order to change behavior we need to address the habits or schemata that guide behavior. Virtue ethics is especially useful in this regard because it places the focus on virtue and its attendant habits or schemata when changing behavior. The article then argues that educators can use storytelling (communication) to inculcate virtue in learners. The Elaboration Likelihood Model (ELM) better known within the field of strategic communication management in conjunction with narratology from the perspective of cognitive science are further fleshed out, resulting in a practical proposal regarding the communication of virtue to learners.

**Keywords:** Virtue, learners, storytelling, ethics, communication

## Monetary and Non Monetary Poverty in Albania

Ledia Thomo

Director of Social Statistics

### Abstract

The living conditions in Albania have been in continuing improvement and this is confirmed by the poverty reduction, as measured from the beginning of the century. But the overall situation seems to change, affected also by the international climate and the economic crisis, and poverty can be again a factor of concern. Hence, the importance of exploring their interrelating effects. This paper investigates which measures of poverty reflect better the needs of the society, especially in Albania. Based on the specific literature and the already used definitions of poverty, that have been applied to the Albanian case, the different measures of monetary poverty and non-monetary poverty are explored through the generation of a specific multidimensional poverty index for Albania - AMPI. Moreover, the extent of overlapping and correlation between monetary poverty measures and non-monetary ones shows that, at first there were more people suffering from non-monetary privations than from monetary ones. Yet, in time, more improvements have been achieved in the direction of non-monetary wellbeing that keep the trend even when the monetary poverty displays an increase, as is the case by the end of the study period. The evolution of the multidimensional index ensures the effectiveness of social policies focusing not only in material resources, but going along with tailored actions to improve basic services, access in health and education, as indicators of a minimum standard of well-being.

**Keywords:** poverty, multidimensional, index, monetary, privation

## Interdisciplinary History and Beyond: A Critical Reading in western Historiography

Ahmed Ibrahim Abushouk

Qatar University, Doha

### Abstract

The phrase “Interdisciplinary history” is an old concept in western historiography, as its origins can be traced back to the first two decades of the 20<sup>th</sup> century. When the German Historian, Karl Lamprecht (1856-1915) introduced the term “cultural history” as an umbrella label to describe his idea of a comprehensive approach to the study of the past. He defined the version of his cultural history as the comparative history of the factors of socio-psychic development. He then encouraged contemporary historians to transform psychology as a discipline into a collective social psychology where historians could focus on the study of groups and situations rather than single personalities. In this sense one may argue that his version was different in several important respects from that of his predecessors Jacob Burckhardt (1818-1897) and Wilhelm Heinrich Riehl (1823-1897) because Lamprecht incorporated in his intellectual scheme the latest scientific findings of disciplines such as psychology, sociology, anthropology and art history. Thus, he stressed a more systematic and scientific approach to interdisciplinary research in history and promoted cultural history as a genuine interdisciplinary enterprise. The main objective of this paper is to examine the development of the phrase “interdisciplinary history” in western literature, and highlight its relationship with other concepts such as “cultural history” and “new history”. The paper also investigates how the development of the phrase had motivated historians to call for an expansion of the scope of historical inquiry to be effected through the establishment of an intellectual alliance between history and the social sciences. Special attention will be paid to the collaboration between these disciplines in order to see to what extent it had contributed to the establishment of the Annals school of history that inspired the advocates of interdisciplinary history in West Germany, Eastern Europe, England, and the United States.

**Keywords:** Critical reading, history, western, interdisciplinary

## Public Health Aspect of Life Quality in Patients with Chronic Obstructive Pulmonary Disease

**Beti Zafirova Ivanovska**

Institute of Epidemiology and Biostatistics with Medical Informatics

**Sonja Topuzovska**

Institute of Medical and Experimental Biochemistry

**Belma Bilaloglu**

Institute of Epidemiology and Biostatistics with Medical Informatics

**Julija Zhivadinovik**

Institute of Anatomy

### Abstract

Chronic obstructive pulmonary disease (COPD) seriously affects the quality of life of patients due to shortness of breath, frequent exacerbations and associated comorbidities. The objective of this study was to evaluate the quality of life of patients with COPD. This was a cross-sectional observational study comprising 260 patients diagnosed with COPD according to GOLD initiative, at the Clinic of Pulmonology and Allergology in Skopje, using the St. George's Respiratory Questionnaire for COPD (SGRQ-C). The consistency of the questionnaire and the reliability of the responses confirmed that Cronbach's alpha coefficient was 0.83 for symptoms, 0.79 for activity, 0.87 for the impact and the total scale amounted to 0.78. The received scores of SGRQ-C questionnaire for men and woman, for the subscale symptoms, activity, impact and the total score did not differ significantly. The obtained values of the Pearson's correlation coefficient indicated that the age of the participants and the received scores for the three subscales (symptoms, activity, impact) and the total score had a negative linear correlation and the obtained values of  $p$  indicated statistically non-significant correlations. There was a determinant subliminal statistical significance among the values obtained for subscale activity, influence and the total score between smokers and non-smokers. Patients with COPD included in this study indicated higher scores of SGRQ-C questionnaire, thus presenting reduced quality of their life.

**Keywords:** public health, chronic obstructive pulmonary disease

## The Political Elements of a Political and Pedagogical Project

**Isadora Cristina de Melo Coan**

Master in Political Sociology,  
Teacher's degree in Social Sciences  
Universidade Federal de Santa Catarina (UFSC)

### Abstract

The Political and Pedagogical Project (PPP) is an important document in the administration of schools in the Brazilian educational system since the 1990's. The present work aimed to investigate the PPP of a public school in the city of Florianópolis/Santa Catarina in order to identify the meanings that the term "political" assume in this document. An examination of the correlations between the school project stipulated by higher levels of educational policies and the one constructed by the school was also conducted through the reading and analysis of national and state curricular guidelines. For this purpose, the notion of "education for citizenship", one of the basic objectives of the Brazilian educational system, was used as a comparative criterion. At the end of the analysis, an influence of the national and state documents in the production of the local school project was observed, mainly due to the shared vocabulary among these documents that establishes the legitimate meanings that should be included in the description and organization of education in its various aspects (cognitive, ethical, political). The "education for citizenship" appears to be attainable, in the PPP, through two main means: through pedagogical means, since the access to humankind's knowledge is the said basis for the youth's future performance in the public sphere; and through indirect political education, since basic political/democratic notions (freedom of speech, access to information, political participation) are present in the structure of the school in which the students interact daily.

**Keywords:** Political and Pedagogical Project; Curricular Guidelines; Education for citizenship.

## The Examination of the Profile of Leadership and Management in Healthcare Institutions in Kosovo

**Albina Bytyqi**

College Heimerer, Kosovo

**Bujar Gallopeni**

International Business College Mitrovica, Kosovo

### Abstract

Traditionally, the management of healthcare institutions and clinics in Kosovo come from clinical background rather not being familiar with and lacking know-how and skills in management and leadership, which would make possible to focus on organizational development and growth, proper staff management, management of institutional resources, having better client/patient-oriented focus, as well as engaging in better strategic planning and implementation. The aim of this exploratory study was to examine the current profile of leadership and management in healthcare institutions in Kosovo at primary, secondary and tertiary healthcare public sectors. Methodology: Secondary data were collected about the managers from 253 healthcare institution of primary, secondary and tertiary healthcare sectors. The data were about the managerial position (clinic manager or service manager), gender, age group, educational background, work experience, and healthcare sector, and were analyzed at individual level by further forming clusters of professions that dominate in leading respective institutions. Results and discussion: As assumed, the data showed that all included healthcare institutions in the study had employed managers with clinical background without proper profile of leadership skills and know-how. The only indication these managers have got management skills is work experience on the position, as a kind of on-the job training. Work experience was stressed much longer to service managers, while the clinic managers mostly have one or maximum two mandates (one mandate 4 years) as managers. The study further discusses findings against the manager profile promoted by the International Hospital Federation, and concludes also future research references in order to bring a better understanding and knowledge of leadership practices and behavior in healthcare institutions in Kosovo.

**Keywords:** healthcare, management, leadership, quality of service

## The CESSDA Data Management Expert Guide: a Free Online Guide for Social Science Researchers

Ricarda Braukmann  
& CESSDA Working Group Training

Data Archiving and Networked Services (DANS)  
Consortium of European Social Science Data Archives (CESSDA)

### Abstract

Within the Consortium of European Social Science Data Archives (CESSDA), a lot of knowledge about how to manage, store, organize, document and publish data in the social sciences has been gathered over the years. The CESSDA Data Management Expert Guide ([www.cessda.eu/DMGuide](http://www.cessda.eu/DMGuide)) is an online tutorial based on this experience. It combines the data archives' knowledge from engaging with researchers and answering their questions about Research Data Management (RDM). The guide is based on the research data life cycle and can be used by individual researchers as self-study, but also as part of an online or face to face RDM workshop. When it comes to RDM, many sources of information exist and finding exactly the information researchers need can be a challenge. The Expert Guide was designed to provide a comprehensive overview of all relevant aspects of data management within one online environment. The guide provides guidance for social scientists throughout all stages of their research while taking into account the diversity of the specific requirements that scientists may have to deal with. In addition, it features practical examples and checklists for further hands-on guidance and it provides information for creating and adapting a data management plan in the various stages of the research project, taking into account relevant issues within the social sciences (e.g. privacy issues, data documentation). In this presentation, we would like to introduce to the online Expert Guide and show how it can facilitate social science researchers to manage, organize and share their data.

**Keywords:** Research Data Management, Training, Online, Social Sciences

## The Abusive Character of the Contractual Clauses Currency Risk Clause

Assistant Professor Carmen Adriana

Gheorghe Transilvania University, Law Department

### Abstract

If a financial institution grants a loan in a foreign currency, it must provide the borrower sufficient information to adopt a cautious and informed decision. Thus, the professional must transmit the targeted consumer any pertinent information allowing the latter to assess the economic consequences of a clause upon his/her financial obligations. The requirement that a contractual term be clearly and comprehensibly drafted enforces, moreover, that the contract transparently expose the actual operation of the mechanism referred to by the respective clause. Possibly, the contract must also highlight the relation between this mechanism and the one provided by other clauses, so that the consumer be in a position to assess, based on specific and comprehensible criteria, the economic consequences that arise on his/her part. This issue needs to be examined by the Romanian court, taking into account all pertinent facts, including the advertising and the information supplied by the lender, when negotiating a loan agreement. Specifically, the obligation to verify whether the consumer was informed about all elements which may have an effect on the extent of his/her obligation, and which allow him/her to assess the total cost of his/her loan lies with the national court. Thus, on the one hand, the borrower must be clearly informed that, by concluding a loan agreement in a foreign currency, (s)he is exposed to a currency exchange risk which might be economically difficult for him/her to assume, in case of the devaluation of the currency in which (s)he receives his/her income. On the other hand, the banking institution must submit the possible variations of the foreign exchange rates and the inherent risks of contracting a loan in a foreign currency, especially if the borrowing consumer does not receive his/her income in the respective currency. C.J.U.E. emphasized that, if the banking institution did not fulfil these obligations and one can therefore examine the abusive character of the litigated clause, the task to assess, on the one hand, the possible non-compliance of the bank with the good-faith requirement and, on the other hand, the existence of a possible significant imbalance between the contracting parties lies with the national court. This assessment must be made in relation to the time of conclusion of the contract under consideration and taking into account especially the expertise and the knowledge of the bank on the possible variations of the exchange rates, and the risks inherent in contracting a loan in a foreign currency. In this regard, the Court stressed that a contractual term may involve an imbalance between the parties which might only occur during the execution of the contract. Furthermore, let us not forget that, only with the enforcement of the Directive 2014/17/ UE, the obligation (by art. 6. Cap.2) to ensure the financial literacy of the consumer was imposed on the States. "Member States promote measures that support the education of the consumers on the responsible loan- and debt management practices, especially regarding the mortgage contracts. Clear and general information is needed on the credit granting process, in order to provide guidance to consumers, especially to those who contract a mortgage for the first. Furthermore, information is needed on the guidance that can be provided to the consumers by consumer organizations and national authorities.

**Keywords:** Contractual clauses, currency, risk, character

## Albanian Political Parties “the Left” and “the Right”

Isida Hoxha

Universiteti Luigj Gurakuqi

### Abstract

This paper analyses albanian political parties in accordance with political parties, the left and the right, which define ideological changes of the two respective camps. Since the French Revolution in 1789 were risen the terms, the left and the right, as two opposite views, in connection with the political system where 'the left' was marked as a force that was looking for changes and concretely against monarchy, whereas 'the right' as a force that was looking for the protection of the existing system. If we refer to the historical context for the study of the left and the right dichotomy since the French Revolution and onwards, we could say that events like: The falling of the Berlin wall or the domino effect of the government's downfall in ex-communist countries justify the raising of interrogations if it has a sense continuing again with this ideological division and its effects. The views of the researchers through the used arguments, produces a disagreement between those who evaluated of not having anymore sense to speak about it, as Sartre, Fukuyama etc., in relation to those who protect its continuing not only in ideological level, but more in views and evaluations in leading the society, that are a result of this dichotomy. This study is important to analyse the albanian political parties during the electoral campaign, between the political discourse of the politicians in connection with the left and the right dichotomy. Therefore, the research questions of this study are: Do the ideologies continue existing apart from the changes? Does the political discourse reflect the ideological division, the left and the right? Methodology used in this study will be discourse analyses in the printed media which at the same time will be the main theory of this paper. I will choose the political press between the period may-june 2009, period that corresponds with the developing of the electoral campaign.

**Keywords:** discourse analyses, political discourse, the left and the right, electoral campaign

## The Use of Learning Methodologies for Children Returned from Emigration

**M.Sc. KLOTILDA JAUPI**

Director of "Gustav Mayer" High School, Tirana

**M.Sc. ARJOLA BYZYKA**

Director of Regional Directory of Education, Tirana

**M.Sc. ANILA ALLIU**

Specialist of Curricula at Regional Directory of Education, Tirana

### Abstract

**Purpose of the Study:** The study aims to identify the problems faced by migrant children in the last three years in Albania in compulsory education classes. Our target group of studies are children returning from emigration, teachers which work with them and aims to identify problems during the process of reintegration of migrant children into in the middle high school levels, linguistic and lexical difficulties, their progress or regress, the projections in the law for their reintegration, the treatment realized by the teachers in the use of teaching and learning methodologies, designing a specific plan for the purpose of capacity building and giving appropriate recommendations for their involvement. **The Methodology of Research:** The combination of qualitative and quantitative methods will enable theoretical and quantitative information to be provided through observations, focus groups, questionnaires with teachers and managers of the middle high school levels, in the city of Tirana. The quantitative data will be analyzed in SPSS. Also in this study will be analyzed the previous results of the students in the country in which they lived and the actual results. **Study Results:** The findings of this study show that children of basic education (grades 1-5) are more easily accommodated in the school environment and are more engaged during the class, compared with children of lower secondary school (grades 6-9). Teachers of these institutions strive to apply a variety of forms and techniques to increase the quality of learning for those children, they claim that they are unable to build a specialized plan for children returning from emigration, as they have lacked proper specialized trainings. According to the Decision of the Council of Ministers No.461, dated 9.6.2010 On the Approval of the Strategy "On the Reintegration of Returning Albanian Citizens 2010-2015" and its Action Plan", teachers should implement specific plans for the inclusion of these children in the PUE institutions by first making the equivalence of their schooling documents. Parents present high interest in inclusion, integration in raising the quality of children but they can not contribute in this direction. The study also highlighted some of the most common problems that migrant children present during the process of assimilation of knowledge in our schools such as: the difficulty in formal and verbal communication in Albanian language and their adaptation to the school environment, the lack of knowledge of the Albanian language of these children creates barriers and causes many shortcomings in the learning process.

**Keywords:** Reintegration, individualized education plan, methodology, lexical difficulties, comprehension, assimilation.

## How to Develop Iraqi EFL Students' Writing Skills

**Asst. Lecturer Sura Mutlak Nasser**

Department of English  
College of Education for Women  
University of Baghdad

### **Abstract**

Iraqi EFL students face difficulties in writing composition especially academic writing which effect negatively on their exam results. This study has been performed in the Department of English at College of Education for Women, University of Baghdad, in order to identify 1<sup>st</sup> year EFL students' incompetence in writing with a view to enhance their achievement by some weekly writing activities. This paper has been supposed that Iraqi EFL students face difficulties in writing paragraphs such as descriptive, process, opinion, and fact paragraphs. The paper aimed to identify those difficulties. Then the conclusion proved that the distinction is considerable. However, the researcher used a group sits for pre and post- test to assess the output of the means of students' results.

**Keywords:** writing, spelling, grammar, handwriting

## Discourses and Genre around Kindergarten Outdoor Activities

**Dr. Warda Sada Gerges**

Kaye College of Education

### Abstract

Optimal climate in kindergarten means a safe, supportive, egalitarian and aesthetic learning environment that promotes the development of the child. Outdoor activities is an important part of an optimal kindergarten climate, encourages children involvement and inspire children's open talks on various social issues (Appleby, 1978). According to Zeltzen (2000), a discourse is created when there is a spark between two minds. Investigation of Children discourses enables a rich learning about children habits, culture, customs, etc. This research, aims to investigate Bedouin kindergarten children discourses during and following outdoor activities. For this aim, 72 children's discourses were collected by observations and recordings. Analyzing the findings, led to three main genres: narrative, explaining and scientific discourses (Bloom Kulka & Hamo, 2010). Narrative or story discourses were dominant (48%). Children brought stories of family life and their daily life to connect with peers. The study also shows that children (36%) tend to give an explaining discourse to compose a talk with their peers. Only 18% of children discourses were classified as scientific discussions, which include also narrative and explaining discourse characters in which children developed on mutual ongoing discourses.

**Keywords:** Outdoor activities, Optimal kindergarten climate, Children discourse, Narrative discourse

## Some Protolinguistic Aspects of the East Slavic Students Studying Spanish as a Second Language

**N.Lukashenko**

University of Valladolid

### Abstract

The main aim of this paper is to present the results of the research into the main errors and protolinguistic aspects of the interlanguage used by L2 Russian, Ukrainian and Byelorussian university students acquiring Spanish in spoken and written performance. This study allows teachers to design pedagogical activities to improve the linguistic skills of students. The methodology was focused on Error Analysis, Protolinguistic aspects and qualitative data analysis. Protolinguistic features, as established by D. Bickerton, are studied on the basis of the most common errors committed in oral and written performance to identify what are the main problematic issues and how to predict and avoid them. The main results show that common errors among L2 East Slavic students acquiring Spanish in second and third years belong to grammatical categories, semantic structures and spelling in written performance. In comparison with the second year, the errors decreased in the third year – from 49.8% to 28 % in grammatical errors, from 10% to 2.8% in errors relating to semantic structures and from 10.2% to 8% in spelling errors. The solution is not easy but it is necessary that the teacher must be attentive not to use or not to provoke reductionism or give too much information to students. On the one hand, you need to focus on real problems, the most common structures and create situations in which the language is developed in a dynamic process. It is also very useful to invite native speakers. On the other hand, protolanguage is an incomplete individual system, that is why every student should be treated individually.<sup>1</sup>

**Keywords:** Some Protolinguistic Aspects of the East Slavic Students Studying Spanish as a Second Language

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<sup>1</sup> **The most common strategies used by students during the acquisition of Spanish as a L2 are:** interference created by the L1, creativity learning a new concept, the generalization of studied rules by analogy, hypercorrection because of the most useful language pattern, the absence of the necessary form in L1, interlanguage fossilization and self-correction.

## Navigating Violence in the Face of Vulnerability: Women in the Villas of Buenos Aires

**MSc Maral Shafafy**

University of Amsterdam

### Abstract

Greater Buenos Aires is one of the most unequal cities in the world. The prevalence of violence, both urban and gender-based, is concentrated in the most vulnerable parts of the city. Women who live in poorer neighbourhoods experience poverty in more durable ways than men, but also face violence of different forms and extremities than women in wealthier neighbourhoods. In the Villas of Buenos Aires – informal settlements marked by poverty and violence - women are nevertheless actively engaged in determining their future in the face of this violence and conditions of constraint. Yet little is known about how they do this and how meaningful their actions are in terms of challenging the social structure and moving on to a better social position. Using six biographical accounts of violence, this research sought to answer the question, “what are the different forms of social navigation women in Villas resort to, to mitigate violence in the face of structural vulnerability?” The research was carried out over a period of four months in the southern zone of Buenos Aires and emerged as part of inductive ethnographic fieldwork in the Villa. The research demonstrates that the Villa is a distinct social space, one in which experiences are shaped by both external and internal hierarchies of power. The biographical accounts of these six women show the different ways in which the Villa can be lived in. To mitigate violence, each woman, enacts a form of navigation that moves in line with her social position in the Villa and the particular characteristics of society there. In this light, the research illustrates that women who have greater social and economic means have greater ability to make more meaningful challenges to violence. The results nevertheless also demonstrate that the forms of navigation women make to mitigate violence are more often the product of contingent moments of opportunity, rather than being planned or orientated towards a long-term idea of the future. The research therefore challenges the notion of a ‘relational’ form of agency, by emphasizing the inevitable impact of women’s social position in shaping their actions. In constructing this nuanced and structurally orientated account of violence, the research hopes to answer to “de-politicised” narratives of gender and violence in the mainstream domain of development studies. Keywords: Women, Violence, Social Navigation, Agency

**Keywords:** navigating, violence, vulnerability, women, villas, Buenos Aires

## The Opinions of Non-ELT Pre-Service English Teachers on Teaching Practice

Yelda Orhon

Pamukkale University

### Abstract

The purpose of this qualitative research study is to reveal the opinions of non-ELT pre-service teachers about their teaching practice. In an attempt to expand our knowledge about the current teaching practice course for the students of English Language and Literature (ELL) departments, the opinions and the needs of non-ELT pre-service teachers of English were investigated in this study. Participants included a total of 12 pre-service teachers, 8 female and 4 male, studying at the ELL department of a state university in Turkey. Participants took part in the study voluntarily. In order to collect data, an online open-ended questionnaire consisting of 10 questions was developed. The questionnaire aimed to gather information on the following specific issues regarding the teaching practicum: the areas they need the guidance of their mentor, the areas which they are good at, the areas in which they need improvement as a prospective teacher, the most effective courses they took for their teaching practicum, the courses they wished they had taken beforehand, and their suggestions for improving the teaching practicum. Data analysis was done through content analysis and two other researchers were consulted to achieve 90% intercoder reliability. The results revealed that non-ELT pre-service teachers mostly needed guidance in lesson planning and instructional methods and techniques; and most of them wanted to improve their class management skills as prospective teachers. Many of the participants felt they were most effective in areas like interaction with the students and teaching skills. In addition, most of the participants believed that for their teaching practicum the most effective course they had taken during their pedagogical formation was material design, and they wished they had taken courses related to young learners, technology use, teaching culture, and effective speaking skills. Also, they suggested the duration of the practicum be expanded. Based on these ideas, suggestions were put forward to improve the existing teaching practicum for the students of ELL departments.

**Keywords:** teaching practicum, non-ELT pre-service teachers, teacher education, teaching practice evaluation

## **A Review on Performance in Non-Governmental Organizations (NGOs)**

**Hasan Metin, PhD**

### **Abstract**

This descriptive study provides a comprehensive literature review about performance management and measurement in non-governmental organizations within contingency approach. Effectiveness and sustainability are examined as the dimensions of the performance within the study, while their conceptualization within third sector are provided afterwards. The study emphasizes the unique character of the NGO (third) sector of relying on the volunteer effort that the conceptualization of performance for NGOs mostly differs from the profit seeking organizations. Moreover, there are resemblances in the conceptualization of performance both for profit seeking and non-profit organizations such as obtaining the previously determined objectives. Consequently, performance management in NGOs is a very complicated task and there is not one way of doing it. Scholars emphasize the non-financial ways of measuring performance for NGOs, because the financial approach of performance measurement would not give correct results due to commitment characteristic the NGO volunteers.

**Keywords:** Contingency Approach, Effectiveness, NGOs, Performance, Sustainability

## Perceived Work Experience of Dutch Young Professional Dental Hygienist

Yvonne A.B. Buunk-Werkhoven, RDH, PhD

SPOH ARTS – International Oral Health Psychology, Amsterdam, The Netherlands.

Stephanie E.M. Oudeman, RDH, MSc

Education of Dental Hygiene, HAN University of Applied Sciences, Nijmegen, The Netherlands

### Abstract

**Aim:** This pilot study examined the perceived work experience, in the work situation of Dutch young professional dental hygienists. **Methods:** An online questionnaire was provided via social media (Facebook and LinkedIn) to Dutch dental hygienists, who just graduated or work as a clinical practitioner for a maximum of five years. Perceived work experience was measured using two scales: the Utrecht Burnout Scale (UBOS-C), and the short form Utrecht Work Engagement Scale (UWES-9). The UBOS-C includes three dimensions of burnout: Emotional Exhaustion (EE), Depersonalization (DP), and Personal Accomplishment (PA). The UWES-9 is a hypothesized three-factor structure of work engagement with the factors Vigor (VI), Dedication (DE) and Absorption (AB). For both scales, statements about how one feels at work were answered on a 7-point rating scale (0 = never to 6 = always). **Results:** In total 73 young professional dental hygienists (8% male) with a mean age of 26.5 years (SD = 3.4) and an average weekly working period of 32.9 hours (SD = 5.9) responded. Three-quarters are employed and most of them work in a team of dental professionals in a clinical practice. The internal consistency of all scales was in line with both manuals of the UBOS-C and UWES-9 (.65 and .93). The mean level of burnout was  $M = 1.53$  (SD = .79) and for work engagement the mean level was  $M = 4.30$  (SD = 1.14). The mean scores of the UBOS-C dimensions were as follows: EE:  $M = 1.98$  (SD = 1.27), DP:  $M = 1.17$  (SD = .85), and for PA:  $M = 4.72$  (SD = .78). The burnout levels for the dimensions EE and DP were low, and for PA it was very high as compared to the manual norms. Furthermore, the mean scores of the UWES-9 dimensions were for VI:  $M = 4.14$  (SD = 1.27), for DE:  $M = 4.61$  (SD = 1.30), and for AB:  $M = 4.14$  (SD = 1.15), indicating a moderate level of work engagement. A significant negative correlation was found between work engagement and burnout ( $r = -.792$ ,  $p < .001$ ). Compared to part time workers, significantly higher scores on DP and lower scores on PA were given by fulltime workers. Conversely, part time workers experienced a significant higher mean level of work engagement on the full scale and on the dimensions DE and AB compared to full time workers. One out of six (16.4%) reported to have had prior experience with burnout and scored significantly higher on the mean level of burnout and EE, than dental hygienist who did not have this experience. **Conclusions:** These exploratory findings show that Dutch young professional dental hygienists are not at risk for burnout, and appear to have a moderate level of work engagement. Working part time seems to be related to a significantly higher level of PA and VI than working full time. Prior burnout experience leads to a "high" level of burn out and especially a "high" level of EE. A high level of work engagement coincides with a low level of symptoms related to burnout. We would like to thank Kim Marinussen and Mandy Rosenbrand for their support in the data collection.

**Keywords:** dental, hygienist, work, professional, work engagement, burnout