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## Glimmer and Heart in 'Critical Museum Pedagogy': Museum Education

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### Abstract

The aim of this paper is to open what museum pedagogy can offer to its audiences and how we can define audience work in museums in generally. Museums have diverse professional experts doing their share in preparing exhibitions. Depending on museums, expectations and experiences can be very extreme from openness to a very traditional way of planning from old presumptions. I will research what role museum pedagogy has in contemporary audience work in a historical art museum.<sup>1</sup>

**Keywords:** Glimmer and Heart in 'Critical Museum Pedagogy': Museum Education

### Introduction

Glimmer is the passion when you do things with the audience. Heart is the soul and spirit why you do things. When you talk about audience work in the museum, you have to define the balance according to customer service, organizing mass events or educational work. 'Critical museum pedagogy' means Education in Museum that provides challenges, change us and gives us experiences.<sup>2</sup>

Museum pedagogy is in danger in disappearing as an educational concept and been replaced with a general client work. The common idea is that museum pedagogy as a word creates easily an image of dusty, silent, and serious moment when the audience is forced to follow a lecture or a guided tour. On the contrary, there has been and still is a rich and mixed group of professionals who takes care of museums' educational task. It is mostly planning guided tours, workshops and special programs to diverse audiences. It is obvious that programs for young children and experienced adults need many kind of knowledge from managing contexts and lading a group. People in charge have teacher, educational curator or artist backgrounds. The contact between the audience and educational staff has been strong and natural. There has been a chain of goal of changing in thinking, using diverse methods and realisation in an exciting and meaningful way. I call this 'critical museum pedagogy' which is the spark and heart of educational work at the museum.

Let us go back to the roots of museums. Museum is a memory organisation for its visitors. Professor Tomislav Sola has clarified heritology and mnemology. Heritology means all preserving and mediating phenomes like museums. Mnemology is a wider, more immaterial concept and means preserving and mediating memory/memories. Sola's main starting point is "a new museology", in which, like in eco museum, would not be any limitations in between the institute and its environment, staff and audience, objects inside or outside the museum.<sup>3</sup>

Professor Janne Vilkuuna has named two main points in cultural heritology, a memory and social activity:

"Development of memory created a common heritage of community. When the community developed to a society, has all collected traditions been classified to libraries, archives, museums and other institutions. When developing the culture we need language and communication.<sup>4</sup> Memory organisations in English are MLA (Museum, Library, and Archive).

Museums have changed their way of acting with audiences. The 'audience work' can include from guarding museum halls to very carefully planned museum pedagogy. But not necessarily to pedagogical thinking. Programs can be happenings to

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<sup>1</sup> After working 30 years with this subject the author decided to open the museum context with its contemporary audience. She is doing her thesis about elderly people and their museums experiences and engagement to a museum at the Sinebrychoff Art Museum in Finland. Hannula has worked there as a Head of education and Public relations. The Sinebrychoff Art Museum belongs to the Finnish National Gallery like Ateneum and the Contemporary Art Museum Kiasma

<sup>2</sup> Hein 2004: John Dewey 1938:13-14)

<sup>3</sup> Heinonen & Lahti 2001, 19-20

<sup>4</sup> Vilkuuna 2007d, 12-13

collect a lot of visitors but not exactly to giving any personal experience. That's why I want to separate 'critical museum pedagogy' as its own sector to show what it could and should be. In this society the same responsibilities are waiting for us in different forms. There is not only one audience, there are many audiences who want to influence on museum's practices.

To combine critical museum pedagogy and audience work today we need to renew our thinking. There is not only one direction to teach how the exhibition is made. There are several creative ways to open ideas to audiences. Instead of hearing a museum staff can listen to each other and start a dialogue with its audiences. Listening and responding are sparks and hearts in critical museum education which belong to audience work. We can also invite elderly people to become regular visitors. Professor Antti Eskola has been worried about elderly persons' limitations in experiencing outside their homes and how does it effect on their healthy. In Finland, the aging present a wide range of economic, social, and cultural implications, and demands multiple solutions, concerning the welfare and participation in cultural activities. In my lecture, I investigate a philosophical concept of "recognition", in context of cultural services and life-long learning in a special senior citizen group at Sinebrychoff Art museum. How to belong to a new place? How to be able to see things differently? How to become a regular visitor by given a customer value. My special research focus is the third age in which my approach concentrate especially on go-go or slow-ago periods.

To be homeless has created comforting expressions, like "My home is where my heart is" or to be home sick. A "Home" mentioned by seniors can have multiple meanings. Every museum has its "DNA". At Sinebrychoff Art Museum the roots are in passion to collect art to the family's own house and donate it further on to Finnish people. So, we know the museum as a home museum. Visitors have enjoyed *Genius loci*, the spirit of the place. The museum reminds of well-kept home. Can one transfer "a museum look" at home, to watch things with different eyes? Familiar objects and sceneries bind us to the past everywhere we go.

I have gathered a Senior Citizen Club to the museum. The participators have repeated constantly "the good spirit and the atmosphere in meetings". Some of the informants mentioned the museum as "their place" or "as if coming home". FL Anne-Mari Forss has in her book *Aesthetic of a place* examined phenomes of *a place observed by senses, historic and social outreach of a place, chronological concept, fantasies, atmosphere and genius loci concept*. This concerns entire experience of a place, which cannot be produced beforehand. Edward Relph says: "It has to develop, let happen, grow and change with the people who live, work and care about them"<sup>1</sup>.

Home has an emotional aspect to it: it connotes belonging, attachment, and these emotional aspects turn home into an ideal, one that, in turn, create expectations, or even norms, to what home should entail and even lead us to normative behaving. <sup>2</sup> Age, sex, position...

Hanna Johansson and Kirsi Saarikangas talk about home as an open space, which has been formed by multiple human practices. According this concept the home is an open process with multiple layers. Therefore, a home can be a cultural, historical construction, which hide several meanings, which are contextual depending on circumstances, people and cultural norms. Norms and meanings changes, so do functions of home, too. <sup>3</sup>

Carl Jung was travelling with Sigmund Freud in United States in 1909 and he developed and archetype of a House. He dreamed about a house, of his own house that represented himself. He did not know the building but was there as finding something. Upstairs there was rococo, in the middle medieval rooms and in the cellar roman catacombs. When analysing his dream, Jung understood that it was outside his experience world and must be born from unconsciousness, which is common to a completely human kind. The house is actual representing a human mind. <sup>4</sup> Heathcote explains that, in spite our house or home has been made or how lousy architecture might be, they still can be the last sources of historical memory and symbols of language, to those that connect us to our ancestors. We may forget the meanings and make our own representations but they still enrich our environment. <sup>5</sup> Heathcote sees a house like a body that can be undressed from its tapestries, can be made up and fixed. <sup>6</sup>

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<sup>1</sup> Relph, 1993, 38 ; Forss 2007, 125

<sup>2</sup> Jäntti 2012, 78

<sup>3</sup> Jäntti 2012, 90

<sup>4</sup> Heathcote 2012, 9

<sup>5</sup> Heathcote 2012, 11

<sup>6</sup> Heathcote 2012, 16

According to recognition theory, it is not possible to signify one idol adulthood or healthiness. Liisa Nieminen has made a statement of age-separatism. <sup>1</sup> Senior citizens are often doing voluntary work and changing their role from participator to producer. Ages according to Professor Antti Eskola: the third age is between retirement and older hood. These people can afford, are physically fit and they have time to express themselves. <sup>2</sup> Eskola talks about the activity theory, which is opposite to giving up socially. According to his theory, a good older hood is not withdrawing, passivity and tiredness although it is influencing how to build your own aging and environment. <sup>3</sup> Go-go- and slow-go-groups are now the generation that has lived rock'n roll coming, made day care system and created the youth culture. <sup>4</sup>

Eskola developed an idea of a public home, which means an open space near the home area where a person can move naturally. It is the opposite idea to a private and closed home with objects and memories. One can see spaces functionally and make the interesting by looking at them through different glasses. What are places that can offer some extra value?

The public conversation of the third and the fourth age is around cultural participation, health care, home services and other social issues. It concerns very much Human rights to social protection and Lifelong learning. The main motive has been to describe possibilities to improve the quality of life or keep your body fit longer. Markku T. Hyyppä has written about culture's influence to gain longer life. It is not that simple.

Constitutional law gives us basic rights in connection to public sector. The government and communes have responsibilities to back up basic rights, basic services and human rights (PL 22 §).<sup>5</sup> Public sector has to enhance equality. Especially according to PL 16.2 § in art and culture the public sector has to enable equal possibilities to participate and develop oneself considering the talented and ability in wider perspective, in spite of economic situation.<sup>6</sup> PL 16.2 § includes learning and producing culture or enjoying culture. <sup>7</sup> The government creates opportunities by supporting culture institutions. <sup>8</sup> It means the recognition of lifelong learning as a fact. <sup>9</sup> Museum institution has PL 20.1 §, responsibility of culture heritage belongs to everybody. Constitutional law defines the tasks of museums. 16.2 and 20 § (article).

Article 23 – the right of elderly persons to social protection.

The European Social Charter was established to support the European Convention on Human Rights, which is principally for civil and political rights, and to broaden the scope of protected fundamental rights to include social and economic rights. The Charter also guarantees positive rights and freedoms, which concern all individuals in their daily existence, also when their body starts to claim.

Article 23 – The right of elderly persons to social protection With a view to ensuring the effective exercise of the right of elderly persons to social protection, the Parties undertake to adopt or encourage, either directly or in co-operation with public or private organisations, appropriate measures designed in particular:

- to enable elderly persons to remain full members of society for as long as possible, by means of: a) adequate resources enabling them to lead a decent life and play an active part in public, social and cultural life; b) provision of information about services and facilities available for elderly persons and their opportunities to make use of them;
- to enable elderly persons to choose their life-style freely and to lead independent lives in their familiar surroundings for as long as they wish and are able, by means of: a) provision of housing suited to their needs and their state of health or of adequate support for adapting their housing; b) the health care and the services necessitated by their state;

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<sup>1</sup> Nieminen 2014, 76

<sup>2</sup> Mikkola 2014, 19-22

<sup>3</sup> Eskola 2016, 90

<sup>4</sup> Kalliomaa-Puha 2014, 323-324

<sup>5</sup> Perusoikeuksista tarkemmin ks. Hallberg 2011b, 29-58. PL 22 §:n mukainen perusoikeuksien ja ihmisoikeuksien turvaamisvelvollisuus merkitsee perusoikeus- ja ihmisoikeusmyönteistä lain tulkintaa. Lakia sovellettaessa on pyrittävä mahdollisimman hyvin toteuttamaan perusoikeussäännöksen tavoitteita. PL 22 § täydentää yksittäisiin perusoikeussäännöksiin liittyviä julkisen vallan aktiviteettivelvollisuuksia ja sen merkitys on lähinnä TSS-oikeuksien turvaamisessa ks. Tuori ja Lavapuro (2011), 809-810 ja 815-818, ks. myös Sakslin 1999, 228-229

<sup>6</sup> Ojanen 2003, 32-33

<sup>7</sup> Rautiainen 2007, 98-100. Oikeuden sivistykseen Rautiainen kiteyttää oikeudeksi koulutukseen ja kulttuuriin

<sup>8</sup> HE 309/1993 vp, 64. Valtion on valvottava, että ikäihmisten kulttuuriset oikeudet toteutuvat myös kunnissa. Ks. Tuori ja Lavapuro (2011), 818-820 ja Kuntien kulttuuritoiminnasta annettu laki (728/1992)

<sup>9</sup> Arajärvi 2011, 58

– To guarantee elderly persons living in institutions appropriate support, while respecting their privacy, and participation in decisions concerning living conditions in the institution.

In my research, I approach recognition with the idea of Jari Pirhonen. In his dissertation *Good Human Life in Assisted Living for Older People: What the residents are able to do and be* he describes the circumstances of older people in a care house.<sup>1</sup> There is a theory of recognition but also a theory of not to recognise when you see a person through operative and practical routines, as a client.

Based on this study, it seems that the "recognition" makes a big difference how you treat your visitors –are they customers or persons. I have made ethnographic studies of collaborating with senior people and compared them with visitor questionnaires during ca. fourteen years. I hope the ideas presented could explain diverse possibilities for making a good life in cultural institutions and assist social policy planners and executives in creating policies and practices that help people after retirement to maintain their dignity and civil personality.

What kind of stories does Sinebrychoff Art Museum offer to its' visitors? – What makes them to commit regularly at the art? What makes them to give up? Can museum visits keep senior citizens functional ability on or maybe improve it? How can one support senior citizens identity according to recognition theory?

What comes instead of work? How does one want to use a leisure time to support identity according to recognition?

Jari Pirhonen has researched if Martha C. Nussbaum's capabilities approach could secure dignity for older people in long-term care, despite the per capita decreases in resources. How do public institutions invite and make make their services accessible also for older people living at home, respect their personality, aging and dignity in cultural participation. " Age – who defines my age; moving – who or what stops me leaving home; values - waste or guarantee for society; decisions – who tells what to do or not; defining – what is retirement; emotions – where am I recognized?

Neurology and scientist Markku T. Hyypä has evidently shown results that a culture person lives longer. To Hyypä culture means a wider range of activism, not only theatre, museums or concerts. Moving and social contacts make people feel better. That is why public sector should open more spaces all over the places, especially on countryside, where isolation is a big danger. Joy and play keep us going and administration should take it seriously. We need more than food and shelter in spite where we come from or what age we are.

However, though a person in her/his third age feels healthy and is capable to exit the house, there can be excluding experiences. There is a danger of social exclusion if cultural construction is too narrow. In Lifelong, learning physical healthy should not define your possibilities to learn. One should create an enthusiastic environment where everyone feels to be welcome, appreciated member. One should also notice the cognitive level; teach new, alternative skills in an appropriate way. Here is a quote of a senior lady who enjoyed learning new skills:

"It has been a big gift to us...to have all these possibilities, equipment's that we could not buy ourselves. Then we have learned new skills. It has been very delightful. You can still at the age of 70 learn something and get enthusiastic...when we did this reflecting star, a hand work like a piece of jewellery, hanging on my coat and protecting in darkness."<sup>2</sup>

Expressions such as *to feel at home* refer to certain ease in being. This is what we wish to gain. How easily we classify things, people countries, habits...in my opinion it is very easy to feel at home in Portugal or in New York. It is an opinion. When we think facts – how many people there are retiring in the future, what can they do to feel at home outside the house – there must be something done.

Statistics tell us that a division between sex and age in Finland between 2016/11 – 2017/11 was:

over 65-year old was in 2016 ca. 650 000 (20,9%)

women 342 000

Seniors increased 4 % in 2017, there was 675 000,

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<sup>1</sup> <http://urn.fi/URN:ISBN:978-952-03-0416-4>

<sup>2</sup> Pia 180515

women 354 000.<sup>1</sup>

We are looking forward increasing senior population who have a good healthy even longer. How to share good things and can one improve the quality of life of senior people?

Critical consciousness is determined by Paolo Freire. He talks about the active learner, critical consciousness is integrated in reality. Finnish schools have renewed their curriculums to be able to explore cultural institutions, research phenomena. Cultural institutions can offer the place of creativity, art education for all ages, curriculums.

Cultural institutions can offer local and global collaboration, context in a positive manner. All this need professional planning and knowledge of quality.

Museum educators are chosen to sense needs of their visitors. If the museum visit is positive it will be remembered long after!<sup>2</sup> There is not the right age and the best way to learn. That's why museum should offer minds on- and hands on tours, workshops, programs for all ages. It gives customer value and appreciation for visitors. One of the biggest changes has been the change of direction from audience to museum. Sandell (2002) has written in his book *Museum, Society, Inequality*:

*"Within museum context, social responsibility requires an acknowledgement not only of the potential impact on social inequality, but also of the organizations' obligation to deploy their social agency and cultural authority in a way that is aligned and consistent with the values of contemporary society."*

Visual literacy, reading image, is one of the keys to enjoy art. The audience has great difficulties in recognizing or understanding visual literacy because the collection does not bear a continuous one-to-one relationship with the source-material.

Senior citizens are on focus. With new Museum card they can participate programs. There are still many people staying at home. In Finland we are starting a new Project with the idea of Home outside the House. Art piquenique is an idea to combine gathering, healthy food and artistic inspiration. It is a Project made together with an institute that have professional people involved.

Critical museum education is service that takes care, plans carefully and starts from the beginning and keeps on lifelong learning.

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## Imperatives of Customer Orientation: Perspectives for Organizational Behavior in Terms of Customer Satisfaction in the German Non-Profit Sector

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### Abstract

Educational providers, like most other organizations, have recognized the relevance of customer-oriented approaches to survival among competitors. Increasing numbers of scientific papers have evaluated that students are important customers, who can be attracted and retained with suited arguments and practices. In this context, the topic of customer orientation (CO) is gaining importance in business and in science. For this many non-profit organizations (NPO) in the educational sector are facing the challenge to fulfill customer needs and business targets as well. Under this premise, this paper assumes that customer satisfaction (CS) represents one of these critical success factors, from which customer-oriented and organizational behavior (OB) can be derived and determined. Based on this, the primary objective of this research is to determine different imperatives on CO of the German education sector. Therefore, this research summarizes the requirements of a preliminary qualitative study based on the Kano Methodology in regarding to CO in terms of CS. Investigation of the topic CO in this research is carried out in the following logical sequence: After introducing the relevance and need of new approaches in customer oriented management, the fundamental theory and consequences on CO is provided. Therefore, the theoretical basis for CO is explained and reasons to understand CO as a management challenge are given. For this purpose, imperatives of CO were determined by 35 customers of different education programs in form of in-depth interviews. As a result of the preliminary study, a total of 15 different requirements for the CO in terms of CS in educational non-profit organizations (ENPO) could be determined and divided into the five imperatives organization, staff, digitality, courses, compatibility.

**Keywords:** customer orientation, customer satisfaction, educational sector, imperatives, kano-method, non-profit organizations

### Introduction

The global developments of recent decades have strengthened the interdependencies of the world in the economic, financial, political and cultural spheres (Shen et. al., 2000). The resulting changes, such as disruptive technologies and changes in social values, have led to a withdrawal of the German state from its tasks (Tuckman, 1998). This has shifted ENPOs in a particularly difficult situation, which increasingly requires economic determinants and the ability to change (Arefi et. al., 2012). In addition, the future perspective shows that a "struggle" for market shares and / or customers in the education sector is further intensified. Given this evidence, the finding, acquiring and retaining of customers is increasingly seen as a success factor (Brady et. al., 2011). Therefore, understanding customer requirements and continuously adapting customer processes to these factors is central important for many educational institutions. For this many ENPOs are facing the challenge to fulfill customer needs and business targets as well.

In this context, the topic of CO is gaining importance in business and in science. The basis for a CO is the OB which determines and reflects the design and implementation of products and services (Haas, 2008). For companies, this means aligning the entire value chain with the customer and systematically checking and optimizing it from the customer's perspective. Based on this premise the need of OB towards CO become also urgent for non profit organizations to ensure competitiveness. However, to enable and manage customer-oriented behavior, measurable procedures must be implemented to make CO assessable and comprehensible. According to Kennedy et. al. (2003), CS is a key indicator for determining OB and ensuring competitiveness. Thus, the measurement of CS as an instrument for tracking CO and additionally a strategic imperative.

Against this background, the effectiveness of CO for profit organizations in terms of satisfaction issues have been well documented in the literature. In the non-profit sector, several organizations were positively evaluated in relation with

performance issues in fundraising, employee satisfaction and reputation (Kara, Spillan, & DeShields, 2004). Given this relevance, the aim of this article is to present the results of qualitative research in order to derive imperatives for customer-oriented behavior for ENPOs and to make a contribution in the area of OB. Hereby a relatively small part was contributed by the articles of Siu & Wilson (1998) and Huang et. al. (2011). However, both works concentrate only on organizations in the higher education sector and were examined a long time ago. Overall, the majority of research on this topic is based on quantitative studies. In this context, the research by Danjum, Ibrahim (2012) can be used to highlight the connection between digitalization and CS. For this article, between Mai and September 2018, 35 in-depth interviews were conducted and evaluated. This work deals primarily in OB, but also in marketing, psychology and management issues.

## Theoretical Background

In recent years, the discussion of questions of CO has become a relevant topic in non-profit practice and in research. Increasing number of scientific studies dealing with the importance of customer-oriented behavior within NPOs. One of the reasons for the increasing importance of CO is the growing individualization of customer values (Flint et. al., 2002). With differences in detail, most of the explanations in the literature share the understanding of CO as the behavior of organizations manifesting in behavior towards satisfy the needs of customers (Donavan et. al., 2004). According to Henderson (1998) CO is the most recent and progressive objectives regarding any marketing plan for organizations. In order to make this CO possible, each planning is aligned in such a way that it meets the customer's needs or expectations on the basis of services or products (Nwankwo, 1995). In reference to Andreassen et. al. (2008), the focus in CO is generally on the service, but it is also defined as the degree to which the service provider is responsive to solving customers problems and meeting their needs. This orientation means behavior that is supposed to help the person to whom it refers (Macedo et. al., 2006). The structuring of the research on customer needs is based on a frame of reference that follows in the sense of a process-oriented approach and assumes moderating influences on the relationships between the expectations. After that, CO acts as a mediator through which multiple drivers (e.g., non-profit characteristics) can lead to outcomes (e.g., mission fulfillment), with context variables that can compound or mitigate those relationships.

Given this evidence, organizations should increasingly focus not on internal tasks, but on OB towards customers and their expectations. Thus the customer and the customer's needs are the focus of the organizational management. It can be stated that CS is the result of consistent CO, i.e. the alignment of all company activities with customer needs. According to Homburg & Bucerius (2008), CO is even a necessary requirement and behavior for generating CS. Based on this, CO can be seen as a cause and an instrument for CS management. The relationship between CO, CS and company success is shown in figure 1.

Like figure 1 shows, a high CS represents a fundamental requirement for a successful customer retaining for many organizations. The resulting advantage can lead to a long-term stable customer relationship for many organizations.

Bruhn (2009) distinguishes between institutional and personal CO. Institutional CO concerns the overall organization. The organization is linked and aligned with an appropriate culture in terms of its structure and processes. This institutional CO can be seen as an opportunity for organizations. Especially ENPOs can develop this CO from the outset, so that a customer-oriented corporate identity is created.

Personnel CO means the creation and sale of company products in direct customer-employee contact, whereby employee behavior is an essential characteristic of CO. This aspect is particularly relevant for several organizations in the service sector, where employee behavior becomes part of the service. In order to identify customer wishes for successful CO, it is necessary to use customer analysis as an identification tool. This distinction by Bruhn (2009) has a central importance for the paper, as the imperatives of CS was researched and derived in the context of CO.

## Methodology

In recent past, the special significance of CS measurements in terms of OB has been consolidated in the science and practice of organizations. Matzler et. al. (2007) refer in particular to the potential of customer management in the NPO sector. Although this is not a sufficient condition for an organizational success, it can be seen as a necessary criterion for understanding the wishes of customers and consequently "responding" or acting accordingly. The concrete measurement methods used vary depending on the country, economic sector, institute and field of work regarding their complexity and information content (Matzler et. al., 2007).

The Kano theory offers an approach for measuring CS, which is widely recognized in marketing research regarding the explanation and conclusions of CO (Tontini et. al., 2013). The Kano method is based on the "Theory of Attractive Quality", which serves as a measurement approach for the identification and classification of performance characteristics. Kano developed an approach to categorize satisfaction factors. If one of these factors is fulfilled or not fulfilled, this leads to CS or dissatisfaction. To proof these factors for their validity, Kano developed a questionnaire that enables the satisfaction factors to be categorized. In the relevant literature different advantages are listed by the use of this Kano method (Lingenfelder et. al., 2000). For example, organizations receive differentiated information about which requirements have the greatest influence on satisfaction. Witell et. al. (2013) examined the reliability and validity of the Kano method and assessed it as satisfactory. However, there are some difficulties with the practical application. The questionnaire becomes very long, if many characteristics must be queried. Therefore, it is recommended to identify essential main factors within the scope of a qualitative study to derive a useful allocation and determination of factors based on it. This approach is particularly important for educational institutions, as the services are dynamic compared to products. Consequently, education providers could gain detailed knowledge about their services from this method and receive an effectiveness and efficiency contribution in their activities.

To implement this methodology, the first step was to identify all relevant customer requirements for the service. Beside own considerations it is meaningful to determine these requirements by means of qualitative customer surveys. Qualitative studies in NPOs to examine satisfaction determinants are rare. According to Donovan et. al., (2004) this is because the participants do not always have their exact expectations of an educational service, and the survey on the satisfaction of a service is more abstract and complex than with conventional products and their functions. According to Griffin & Hauser (1993), 20 to 30 individual explorations are sufficient to record almost all relevant customer requirements. However it is problematic, that by the question about the requirements to the service and/or after the problems with the service only current needs are determined. Only a systematic and detailed analysis of all requirements provides information about latent customer needs and problems. In this way, the necessary starting points for product improvements can be identified, which in turn lead to an increase in CS. In this context, Sauerwein et. al. (1996) formulate various questions that can provide valuable assistance in the search for current and latent customer requirements: What does the customer associate with the use of the product/service? What problems, annoyances, complaints does the customer associate with the use of the product/service? What criteria does the customer consider when selecting the product/service? Which new features of the product/service could better meet the customer's expectations? What would the customer change about the product/service? Matzler et. al., 2007 propose to combine several qualitative survey techniques in order to identify all relevant product requirements reliably. On this basis, 35 interviews were conducted with participants in educational programs of various educational institutions from May to September 2018. In the extraction phase, all interviews were evaluated. In order to be able to determine imperatives on the basis of the interviews, all variables were first examined and then sorted according to similarities. In the second step, categories for delimitation were analyzed and imperatives were determined. In order to be able to determine imperatives on the basis of the interviews, all variables were collected and weighted in terms of frequency. In the third step, imperatives were derived and determined. This approach offers the advantage that similar answers could be summarized and coordinated. Disadvantage of this approach results in particular in the strong simplification and the possibly subjective disadvantage of individual answers in the interview. To reduce this risk, the answers were additionally prioritised according to frequency according to Matzler et. al., 2007. The evaluation of data were used with the microsoft program Excel and illustrated by Gephi. Subsequently, in the preparation phase, the information was subdivided and sorted into relevant and secondary information for the research object. In this way, relevant factors can be derived and determined which are oriented towards answering the research questions. In the evaluation phase, similar factors could be classified and imperatives identified.

#### Imperatives of CO

Given this evidence, there are six imperatives for the German educational non-profit organizations. To be truly customer oriented, an ENPO must consider each imperative. According to Brady et. al. (2011) imperatives are a form of challenge or command. Hereby an appeal can be understood. The following imperatives are linked and classified according to the frequency of responses. The following figure 2 shows the connections of individual factors important from the customer's perspective as well as their imperatives. The size of the factors and imperatives shown results from the frequency of the answers given.

#### Imperative 1: Base your CO on organizational requirements

The first imperative is the organization itself. The organization as the place where the service is provided was identified by many participants as an essential factor. Requirements regarding the technical equipment as well as the cleanliness of the

premises could be reconstructed. In particular the organizational conditions were named by 80% of the participants and play a decisive role in the area of satisfaction and CO. Surprisingly, compared to other studies such as Sauerwein et. al. (1996), parking spaces or location were assessed differently and considered underrepresented as important. In addition, the majority of the participants named useful contacts to companies. The term "usefulness" was used to refer to contacts with companies from which appropriate professional opportunities could arise about the program. This also seems to have been important against the background of the choice of a course. It can also be pointed out that participants of economic courses have expectations regarding company contacts.

Imperative 2: Predict the best way to grow customer relationships with your employees

The importance of employees in the service sector is not new in the scientific discourse. From the point of view of the non-profit sector, it can also be stated that the accessibility and friendliness of employees can be identified as requirements. Other factors, such as the provision of information, appear to be of importance. In this imperative it can be pointed out that customers need a personal contact person. In this meaning contacts can be obtained and personal concerns clarified. Furthermore, a smooth administrative process is depending from employees and regarded as important. This connection can also be traced by means of the study by Grauhaar et.al, in which similar customer wishes are handled directly by the employee.

Imperative 3: Provide a future-oriented education

This imperative refers to the relevance and meaningfulness of educational offers. The focus of this research is on the extent to which educational offers can meet professional requirements and the extent to which participants can apply their knowledge in practical everyday life and make it useful. Furthermore, the imperative also focuses on the quality of the selected educational programs and the extent to which the teaching of the lecturers is assessed. This research is particularly important about the service offered, since the service is created in direct contact with the customer. In this context, there are already several research projects in higher education that aim to improve the quality of courses. However, just some difficulties are also apparent in this imperative. On the one hand, participants have to think abstractly and on the other hand, a future consideration of occupations and business models is not possible against the background of structural changes. Overall, no long-term statements can be made.

Imperative 4: Enable a compatibility and balance between private and professional career

In addition, the interviews revealed a further essential imperative. This concerns the compatibility of work and private life. This allows customers to combine their training programs with other private issues. The basis for this can be derived from Tontini et. al. (2013), which, from the point of view of compatibility, highlights a megatrend in the sense of value change. Here it can be stated that, in addition to psychological contacts, participants also ask for care options that can enable or simplify the compatibility of family and career. Around 60% of the participants surveyed see this as an opportunity to increase CS. In addition to the potential, it also becomes clear that this compatibility always functions only as a snapshot and does not directly benefit any measures to reconcile family and career.

Imperative 5: Use new media to improve your offerings

Surprisingly, the majority of the interviewees mentioned the progress and the complex of topics of digitalization in fifth place. This may be due to the fact that there is still no overwhelming opinion and implementation strategy in the education sector. An important factor in this context is the issue of e-learning, where the majority of participants also want access to learning platforms. Here it can be emphasised that participants would also like to access learning materials outside the education provider and that the use of new media is also desired in teaching. Furthermore, it could be established that the media competence of approx. 30% is regarded as essential and that there is still potential to exploit it.

## Discussion

Based on the previous results, the aim of this paper was to identify imperatives that can serve as avenues for future research. With regard to the customer-oriented imperative, several essences can be derived. First of all, the interviews showed that customer-oriented behaviour is of essential importance for customers. Here it can be determined that CS can be made possible and promoted by appropriate behavior. Especially with the imperatives to the employee as well as the organization there are promising potentials which can still be used. Furthermore, it can be stated that customers of educational programs regard the educational provider as a company. From my point of view, this perspective is of fundamental importance, as it makes it clear that ENPOs are seen in the same way as companies, but that there are still

many differences in their implementation. But if customers already see the educational institution as a service company, then even ENPOs can and perhaps have to be more profit oriented and therefore more customer oriented.

In addition to this essence, criticism can also be levelled at the previous expressiveness. As already mentioned, the imperatives of course relevance as well as the compatibility of educational program and private level pose major problems in the conceptual design and survey. Since both customers and educational institutions cannot make any valid statements about the future, it is difficult to find suitable approaches here. Furthermore, the compatibility of work and private life is always a challenge for society as a whole and not only for NPOs. All in all, it can be stated that the survey of these imperatives can only serve as a snapshot and that actions in this regard must be critically assessed. Not only supposed cost arguments but also effectiveness analyses are necessary. As a result of this, it can be stated that customer-oriented behavior is clearly made more difficult due to the problem of feasibility. With regard to the development of CO in OB, cultural determinants must also be taken into account in addition to structural and procedural questions. As already shown in other studies, the cultural question in the organizational context poses a great challenge to many companies in the change process, since the change must also be lived and implemented by the employees.

### Conclusion

The main focus of current research is the effect of CO on short-term economic intentions. This strong focus on these intentions may occur because in contrast to long-term effects the implementation issues might be more difficult. In the non-profit area this issues become more and more important. Thus, ENPOs must on the one hand question their traditional structures and at the same time promote customer-oriented behavior. This area of tension presents the NPOs with major challenges that have not been part of their previous business and thinking. However, this result and further studies on this topic show that rethinking is worthwhile and contributes to securing one's existence. Closing this issue could provide an answer not only to the question of whether CO differ from traditional behavior in terms of their effective behavior but also to the question of whether CO are able to fix long-term issues for their organizations. Based on this qualitative study, I identified potentials for management and implementation issues. CO has been presented in the present work as an approach that, from a theoretical point of view, may be particularly well-suited to dealing more complex challenges. Regardless of environment changes, difficulties could also be identified, especially in the implementation of this concept for ENPOs. It can be concluded that customer oriented behavior regarding organization, employees, courses, compatibility and of digitalization should be determined and influenced by the ENPO. This study has demonstrated that despite a relatively large base of existing research on the influence of CO, several issues exist. Closing these gaps could make an important contribution to science and practice in the context of OB and non-profit-management for educational institutions.

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Figures

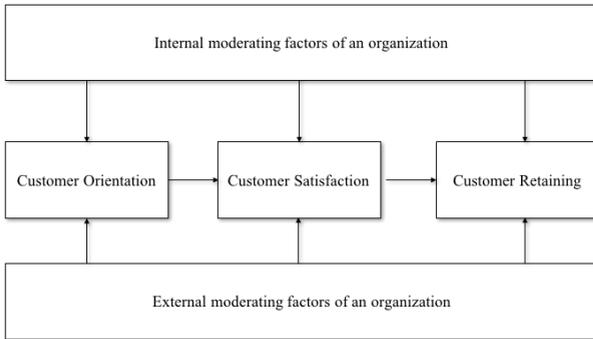


Figure 1: Success chain of customer orientation (according to Homburg/Krohmer, 2003, p. 103)

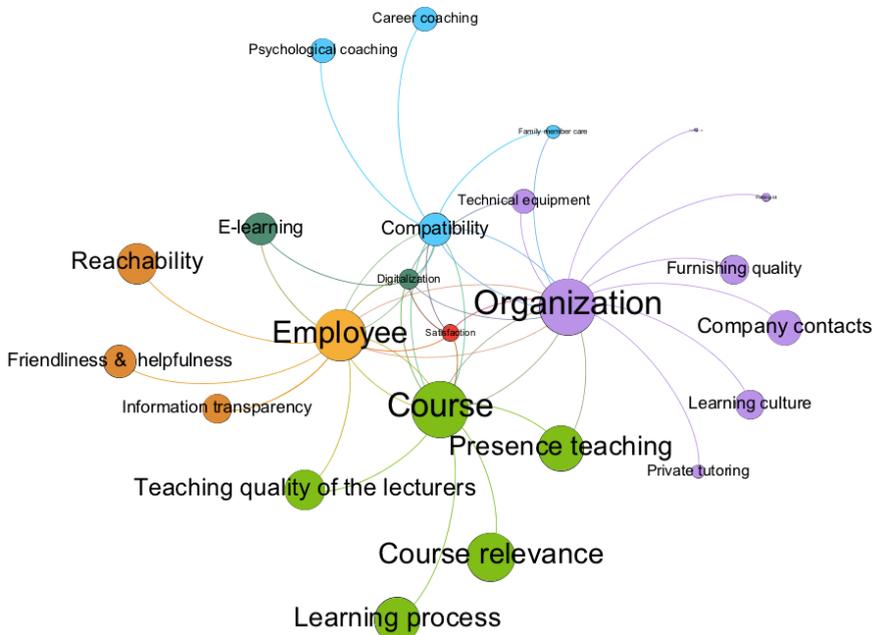


Figure 2: Imperatives of customer orientation

## Mircea Eliade: The Literary Experiment Which Reactivates the Mythical Consciousness and Soteriological Function of Fiction

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### Abstract

This essay starts from the premise that Mircea Eliade's fiction is a literary experiment which interrogates – by means of the symbolic inspiration characteristic of sapiential texts – the phenomenology of the supersensible, its religious and mythological representations as *pre-events* of consciousness. I investigate the poetics of this literary experiment from the perspective of the 'instauration hermeneutics' of the French school of the history of religions (also known as the 'Masters School'), a multidisciplinary heuristic model in which images and symbols streamline the special language of mythical discourse. I argue that the literary experiment conducted by Mircea Eliade, both in prose and in drama, produces an alchemical alloy between the mystical fable and the mythical discourse; it operates with the data of the phenomenology of the sacred to restore the soteriological function to literature. We can find these constitutive principles of literature both in sacred texts and in oriental aesthetics, in the Indian *Natyashastra* ('Treatise of Dramatic Art') quoted by Mircea Eliade in his *Mystical Births*.<sup>b</sup>The subtle world to which the sapiential text refers correlates spiritual experiences, captures 'nonfigurable transcendence', 'the epiphany of a mystery', and operates with symbols and images, with noetic signs which embody a referent that cannot be captured linguistically. The questions I am trying to answer through these hermeneutical exercises are: What does this mythical literature imitate? What is the object it reflects? Does mythical fiction forge a pattern of representation?

**Keywords:** literary experiment, religious phenomenology, myth, history of religions, image, symbol, mystical fable.

### Introduction

The literary experiment conducted by Mircea Eliade both in his prose writings and in his drama reasserts the soteriological function of fiction; it champions the phenomenology of the supersensible as the object of representation, whose religious and mythological representations it regards as pre-events of consciousness. The world to which the text refers correlates spiritual experiences, captures 'nonfigurable transcendence', 'the epiphany of a mystery', and operates with symbols and images, with noetic signs which embody a referent that cannot be captured linguistically. This 'wholly new type of fiction' which Eliade announces in his short story 'Adio' ('Farewell')<sup>1</sup> produces an alchemical alloy between the *mystical fable*<sup>2</sup> and the mythical discourse; it operates with the data of the phenomenology of the sacred, which it interrogates by recourse to the symbolic inspiration characteristic of sapiential texts. In the particular case of Mircea Eliade, the poetics of this literary experiment cannot ignore the practices of the 'instauration hermeneutics' of the French school of the history of religions, which Philippe Borgeaud has dubbed the 'Masters School'.<sup>3</sup> Mircea Eliade brushes shoulders with the likes of Georges Dumézil, Claude Lévi-Strauss, Jean-Pierre Vernant and Roger Caillois, especially due to his *Patterns in Comparative Religion (Traité d'histoire des religions)*<sup>4</sup> and *A History of Religious Ideas (Histoire des croyances et des idées religieuses)*.<sup>5</sup>

Drawing on Borgeaud's remark, I would note that Mircea Eliade's work successfully produces an 'instauration' hermeneutics able to decipher the phenomena and experiences of the sacred as hierophanies, i.e., structures which make up the

<sup>1</sup> Mircea Eliade, 'Adio' ('Farewell'), in *Proză fantastică (Fantastic Tales)*, București, Editura Fundației Culturale Române, 1991.

<sup>2</sup> In Michel de Certeau's sense in *La fable mystique*, Paris, Éditions Gallimard, 1982.

<sup>3</sup> Philippe Borgeaud, 'la fameuse constellation francophone des maîtres de nos maîtres', in *Exercices d'histoire des religions, Comparaison, rites, mythes et émotions*, Textes réunis et édités par Daniel Barbu et Philippe Matthey, Leiden and Boston, Brill, 2016. p. 65. (Borgeaud was Mircea Eliade's student at the University of Chicago.)

<sup>4</sup> Mircea Eliade, *Tratatul de istorie a religiilor*, București, Humanitas, 1992 (*Traité d'histoire des religions*, Paris, Payot, 1949).

<sup>5</sup> Mircea Eliade, *Istoria credințelor și ideilor religioase*, București, Univers Enciclopedic, 2000 (*Histoire des croyances et des idées religieuses*, Payot, Paris, 1976, 1978, 1983).

language of the divine. Following the investigation methodology of the French school, Eliade does not ignore contextual interpretation: he studies the religious phenomena in relation to the geographical spaces and the cultures and civilizations to which they belong. Nonetheless, he always interprets them as participants to a universal, transhistorical pattern of thinking, thus aligning them to myth, which records the events of an originary time.

According to Philippe Borgeaud, the history of religions as proposed by F. Max Müller, Lévi-Strauss, Mircea Eliade, James Frazer, Emile Durkheim, Marcel Mauss and Roger Caillols, focuses on the problematic of alterity and the mentality of the *other*<sup>1</sup> to afford an understanding of religious experience. The comparative study of myths and rites attempts to capture the diverse thought systems whereby world religions construe the ontology of a people, its prehistorical metaphysics, as Eliade called it, thus paving the way for the multidisciplinary study of religious phenomena. The notion that the human spirit follows everywhere the same thinking principles tallies with Jung's theory of archetypes, with his concept of collective legacy as it is manifested in ritual structures and mythical patterns worldwide. The history of religions constructs its concepts, its theoretical categories that a scientific discipline needs, determined as it is to distance itself objectively from the confessional dimension of religion.

Drawing upon Emile Durkheim and Rudolph Otto, Mircea Eliade elaborates conceptually the sacred–profane paradigm. A few critical categories of his method of investigation of religious phenomena and ideas are worth mentioning here: *coincidentia oppositorum*, the *numinous* and *mysterium tremendum et fascinans*. The third category describes the paradoxical condition of the human being on encountering the sacred, which s/he feels at once attracted to and frightened by. The other two categories can recuperate the sacred from under its profane camouflage and re-order the sense of history. Eliade outlines the morphologies of the sacred – in his *Traité d'histoire des religions* (1949), *Das Heilige und das Profane* (1957) / *Le Sacré et le profane* (1965) and other works – by deploying the concept of *hierophany* in a universal syntax which highlights the polysemy of these 'mythical complexes'. By approaching them in a metaphysical discourse that endeavours to explain the archaic semantics of experiences globally, Eliade actually invents, Philippe Borgeaud argues, a 'meta-theology'.<sup>2</sup>

Crucial to Mircea Eliade's system is the concept of *centre*, one of the key concepts of mythical thought, because this *metaphysical locum* carves out, from the body of space, the *axis mundi* which connects heaven and hell, light and darkness, spirit and matter in complementary binomials, thereby revealing the deep unity of pairs of opposites. For Eliade the sacred and the profane are substantial categories: their value does not alter, for it is not context-dependent; at most, the sacred may only be concealed and become unrecognisable. Eliade regards the profane as a limitation imposed on the manifestation of the sacred. The sacred exists in itself; it precedes and transcends existence, whose central landmark it constitutes, for the sacred orders the universe.<sup>3</sup> According to Eliade, myth retrieves the traces of the sacred from any repeatable experience, from the beginning of the world to the present, and thus uncovers an exemplary model – a genuine, sacred model. Accordingly, Eliade firmly believes that a creative hermeneutics can decipher the ur-language of divinity lost in the ruins of the profane and can therefore retrieve the sacred from any human experience, however insignificant.

To Mircea Eliade the myth offers not only an avenue of philosophical reflection on fundamental events, if travestied allegorically, but also a face-to-face encounter with the powers of the sacred diffused through the humbleness of profane incarnation. Eliade is firmly opposed to those theories which contend that humans are not permitted to encounter the sacred. His own theory of the sacred draws on the perspectives opened up by the cosmic ambit of Eastern Orthodox Christianity in South-Eastern Europe. In the latter, the *sophrosyne* concept provides for the humans' encounter with God in the trivia of mundane life and for the shocking revelation that whilst God can belittle Himself ever so much, human beings

<sup>1</sup> Philippe Borgeaud, *op. cit.*, p. 13.

<sup>2</sup> *Ibidem*, p. 45: 'L'œuvre d'Eliade, de ce point de vue, est symptomatique. Elle est construite sur le postulat que l'être et le sens échappent au temps, que le sacré est à rechercher au niveau des archétypes, en deçà de la diversité profane des contextes culturels. Eliade fait de la comparaison un instrument très libre vis-à-vis de l'histoire, mais indispensable à la construction de ce qu'il appelle une ontologie archaïque, en fait une théologie de toutes les religions, à l'usage et compréhension des seuls historiens des religions, une sorte de méta-théologie, échappant à l'histoire.'

<sup>3</sup> Philippe Borgeaud, *Exercices d'histoire des religions, Comparaison, rites, mythes et émotions*, p. 274: 'Cette croyance selon laquelle le mythe dans sa plénitude, et plus encore le symbole – signe muet d'avant toute parole – précède l'histoire comme du sens toujours déjà posé là, avant tout événement, mais auquel l'évènement (et non seulement la fiction narrative) doit être référé pour exister, pour prendre sens, se retrouve jusqu'à aujourd'hui dans nos études, via Eliade mais aussi, plus curieusement, via Lévi-Strauss. Il s'agit d'une conception ancienne, classique et douée d'une persuasion très efficace. Elle considère le mythe comme un récit traditionnel, dont l'enjeu et les conséquences dépassent l'individu qui le raconte, et dont le contenu entre-tient avec la pratique sociale et la coutume collective un rapport d'autorité et d'exemplarité. Cette conception du mythe sera celle de Malinowski, d'Eliade, et encore un peu, malgré la critique du fonctionnalisme, celle de Lévi-Strauss.'

can never reach God's grandeur. Certainly, one must add here the influence on Eliade of Hindu religious thought, for which the sacred is retrieved from the body of the *Great Mother* in any form of her infinite manifestation.

It may be argued that both the scientific and the fictional works of Mircea Eliade reinvest the world with its mythological dimension. This is so because the myth preserves its initial functions even in the context of a decadent history, so that the *Logos spermatikos* still abides in a world gone awry. Mythical fiction can still retrieve from sacred memory the three anthropological structures of the imaginary: the schema of ascension, of cyclic repetition and of mystical encryption. Gilbert Durand has aptly described the collaboration between myth, history and reason, through which myth can reconnect historical time and the values of the sacred. For Durand, myth as a product of history can bestow a sense on the latter through images. Myth has a signal pedagogic role in society, as through the magic of its images and its persuasive force the myth initiates the neophyte. Its epic schemata of the spiritual quest, with their ever-present journey motif, will confront the hero with the adventures characteristic of any foundational event. By the end of his journey, the hero will have learnt how to reconstitute the lost unity both within and without. Thus, myth reconnects the torn halves of history, teaches the analogical mechanisms of the up and down or closed and open. It recuperates meaning.

This is why, however distant the beginning, the imaginary *illud tempus*, myth permeates the structures of the collective imaginary in a fashion that safeguards both itself and the imagination. This is what Gilbert Durand articulates by recourse to the image of the mythical tree, a *unitas multiplex*<sup>1</sup> whose formal triad repeats the schemata of symbolic thought: the roots stand for the imaginary *illud-tempus* of fecundity, directly connected to the archetypal zone, an analogon for the eidetic dimension; the trunk represents history, whose unfolding transforms the content of the first level into various models of humanity which permit the inspired transfer of seep to the foliage; the foliage is a metaphor for fiction, for the original and multiple outcome of the creative spirit.

The exclusive society of Eranos – formed by Gaston Bachelard, Henri Corbin, C. G. Jung, Gilbert Durand and Mircea Eliade – upheld the 'Platonic belief in the primordial realism of the image' and championed the reconstitution of 'mythical figures' in the 'faces of one's work'.<sup>2</sup> What the members did, therefore, was to reclaim indirect knowledge, characteristic of symbolic imagination, which operates with symbols when the sign can only refer to a meaning, but not to sensibilia: 'the symbol, like allegory, makes the reference of sensibilia shift from the figurative to the signified; however, it is, due to the nature of the unaccessible signified, also an *epiphany*, i.e., the advent, through and in the signified, of the unspeakable'.<sup>3</sup>

The indirect knowledge to which mythical thought resorts too focuses on the realm of the unconscious, the metaphysical, the supernatural and the superreal: 'These elements that are absent or perceptually elusive will by definition constitute the privileged subject of metaphysics, the arts, religion and magic'.<sup>4</sup> Thanks to the semantic 'imperialism' of the symbolic image, to its infinite suggestive capacity, myth can capture 'nonfigurative transcendence', 'the epiphany of a mystery'. The symbol as noetic sign refers to 'an unspeakable and invisible signified', thus embodying a referent that cannot be captured linguistically. Symbolic thought characteristically operates when human consciousness cannot intuit something objectively and therefore represents it symbolically, which is the so-called 'symbolic pregnancy', an attribute of meaning-generating thinking. On the other hand, archetypes are argued to function as 'psychic factors', i.e., robust powers of the unconscious which act like the gods of Greek mythology, who controlled and decided one's fate; they have the force of the Moirai or of Karma. Jung realises that one can improve one's fate if reason construes the meaning of existence in all serenity, to render dyadic beings archetypally whole anew, in full rational accord with the 'test of reality', in his master's words.

Mircea Eliade argues the necessity that the cogito interpret and streamline the special language of mythical discourse, to transform it into efficacious knowledge, into an initiation exercise. The sacred is retrieved from the very living body of the profane, where it lies camouflaged under disabused self-forgetfulness. As seen in the analysis of the collective unconscious through sociological hermeneutics or through psychoanalysis, the main role of symbolic imagination is euphemization, viz., the amelioration of the human condition in the world. Like Mircea Eliade, Gaston Bachelard believes that symbolic imagination can inaugurate a new humanism, one open to a consciousness able to reactivate myth. Eliade too regards daydreaming, myth, dreaming and mystery capable of recuperating the lost unity of being. Myth, in particular, can remind

<sup>1</sup> Gilbert Durand, *Mythes, thèmes et variations*, Paris, Desclée deBrouwer, 2000.

<sup>2</sup> *Ibidem*. p.12.

<sup>3</sup> Gilbert Durand, *Aventurile imaginii. Imaginația simbolică. Imaginarul*, traducere de Mugușă Constantinescu, Anișoara Bobocea, București, Editura Nemira, 1999, pp. 16-17 (*L'Imagination symbolique*, Paris, PUF, 1964; *L'Imaginaire. Essai sur les sciences et la philosophie de l'image*, Paris, Hatier, 1994).

<sup>4</sup> *Idem*.

contemporary people of the dreaming capacity of their ancient forebears, of the ontology of their collective imaginary. The sacred can be wrested from the profane through the recuperation of one's being by the dreamer.

Hermeneutic exegesis will retrieve the signs of the sacred from the temporarily disenchanted, profane world. How can such true, and fully rationally conducted, reading obtain? It obtains through the interpretation of religious images and symbols with hierophanic role; such signs reveal epiphatically the survival of the sacred. If we wonder to which world the sacred belongs, we are confronted with a paradoxical case: it belongs to both worlds – to the world above, to which the epiphanic role of symbols refers, but also to this world, where symbols operate as signifiers. The reality of the sacred, that undefinable 'something else', Eliade contends, acts as a self-limitation to permit the manifestation of the sacred within the profane, which the former thereby permeates with its dazzling power. In doing so, however, the sacred ceases to be absolute any more. Yet this is indeed a *mysterium tremendum*: that the sacred condescends to limit itself.<sup>1</sup> Thus, the Infinite One shrinks to microscopic dimensions to make up anew the 'cosmic mass', in Teilhard de Chardin's description of 'cosmic religion'.<sup>2</sup> Religious images and symbols become efficient through creative interpretation. In the phenomenal world the sacred may manifest itself even in a mould stain, as one of Eliade's characters says, because the sacred manifests itself as a force and power which, in Julien Ries' words, means 'reality, perennity and efficiency'.<sup>3</sup>

In *Occultism, Witchcraft and Cultural Fashions*, Mircea Eliade articulates the presence of the sacred in the world by deploying Teilhard de Chardin's phrase 'spiritual power of matter' to describe a lively universe, pregnant with meaning and infinite in time.<sup>4</sup> As heralds of the divine, hierophanies reach out to the transconscious. One central function of these heralds is to initiate the neophyte by generating an ontological breach. Eliade proposes two explanatory paradigms to describe the human being's relation with the given world: that of the religious individual, for whom the body, house and universe are aligned along an *axis mundi* where the sacred manifests itself; and that of the non-religious individual, who refuses the transcendent, but rather accepts the relativity of the world and thus questions the meaning of existence, which s/he mostly denies.<sup>5</sup>

In conclusion, it may be argued that the 'instaurative hermeneutics' elaborated by Mircea Eliade states the existence of a general mythology, insofar as it posits the existence of mythical thought (which can still solve out the crisis of historical time), just as it acknowledges the existence of culture-bound mythologies. Furthermore, although the mythological reinvestment of the world is possible, to rediscover the survival of the sacred one must read the world with loving eyes – one needs an integrative hermeneutics.

Proposed by Mircea Eliade in his short story 'Adio' ('Farewell'), the 'wholly new fiction' he envisaged outlined an artistic experiment that would operate with the categories of a phenomenology of the sacred. Such fiction capable of assuming mystical existence performs a literary exercise that can unpack the arcane secrets of myth and the occult. The findings of this spiritual quest cannot but be transmitted in an indirect language, which Eliade had already addressed in his essay 'Allegory or Secret Language' of 1938.<sup>6</sup> This type of initiation story triggers the adventure of language and generates what Michel de Certeau calls, in *The Mystic Fable*, an 'intellectual fantastic'.<sup>7</sup> The author asks the readership to participate directly in the mystery in order to comprehend the message encapsulated in the title-word 'Adio' ('farewell', literally 'adieu'), the only word uttered on the stage by an initiated actor. Far from signifying separation ('farewell'), the word may actually be construed as indirect language, as reading *à dieu*, a form which camouflages the scenario of a return to the sacred.

<sup>1</sup> Mircea Eliade, *Mituri, vise și mistere*, traducere de Maria Ivănescu și Cezar Ivănescu, București, Editura Univers Enciclopedic, 1998, p. 168 (*Mythes, Rêves et Mystères*, Collection "Les Essais", LXXXIV, Paris, Gallimard, 1957).

<sup>2</sup> 'The Mass on the Top of the World'; see Mircea Eliade, *Occultism, Witchcraft and Cultural Fashions: Essays in Comparative Religions*, Chicago and London, Chicago University Press, 1976, pp. 11-13.

<sup>3</sup> Ries, Julien, *Sacral în istoria religioasă a omenirii*, traducere de Roxana Utale, Iași, Editura Polirom, 2000, p. 59. (*Il sacro nella storia religiosa dell'umanità*, Milano, Jaca Book, 1981).

<sup>4</sup> *Occultism, Witchcraft and Cultural Fashions: Essays in Comparative Religions*, Chicago and London, Chicago University Press, 1976, p. 12.

<sup>5</sup> Jules Reiss, *op. cit.*, p. 70.

<sup>6</sup> Published in *Revista Fundațiilor Regale*, V.3 (March), pp. 616-632, reprinted in Mircea Eliade, *Lucrurile de taină (Things Mysterious)*, București, Editura Eminescu, 1996. Analysing *The Song of Songs*, *The Divine Comedy* and troubadour poetry, Mircea Eliade highlights three levels of interpreting sapiential texts: historical, tropological and anagogical.

<sup>7</sup> De Certeau, Michel, *The Mystic Fable: The Sixteenth and Seventeenth Centuries*, vol. 1, translated by Michael B. Smith, Chicago and London, University of Chicago Press, 1992, p. 60.

A certain *modus loquendi* becomes apparent, one able to unravel the countless shifts in meaning. Fiction turns into the space of speaking, a makeshift home that sapiential discourse requires, and the text mediates between the theory and praxis of speaking, between discourse and fable.

We can find these constitutive principles of literature in oriental aesthetics too.<sup>1</sup> Such is the case of Abhinavagupta's commentary on the *Natyashastra* (or *Natyasastra*, 'Treatise on Dramatic Art')<sup>2</sup>; in *Mystical Births*,<sup>3</sup> Mircea Eliade quotes Abhinavagupta and his *Tantraloka*.<sup>4</sup> A reference text of Tantric aesthetics, *Natyashastra* (c. 200 BCE – CE 200), attributed to the sage-priest Bharata, was lost until its accidental rediscovery in 1865; it was published in 1880 and then in 1926, this time alongside Abhinavagupta's commentary. Briefly, this handbook for the producer of stage plays focuses on the worshipping of the deity, which the actor and audience undertake together in the act of reception, as the supreme form of aesthetic experience, or *rasa*. The secret convergences between the profane and the sacred are thus revealed in the act of artistic creation. The common grounds of oriental aesthetics, as encapsulated in the *Natyashastra*, and the new aesthetic experience proclaimed by Mircea Eliade could, therefore, refer to the role of art to reconnect, in fiction, that which has been separated, 'diabolized',<sup>5</sup> through forgetting, in the realm of profane (and profaning) knowledge. A new style, a poetics, is created; it is a set of rules, of rhetorical procedures intended to isolate – from the body of the world – the mystical body<sup>6</sup> of sacred memory through which one can journey home.

Specific to this poetics is the *rhetoric of insistence* by means of which the hermeneutic-narrator draws attention to his (*sic*) indirect language through signposting such as 'You know what I mean', 'You've got my meaning'. Here is an example: 'By continuing to behave like a Don-Juan, the lieutenant behaves like an Adonis. *You know what I mean*: he is already detached in his soul (...). The lieutenant can only be described in terms of negative theology.'<sup>7</sup> The text reconstitutes the founding authority of myth; however well camouflaged in discourse, its symbolic images guide the spiritual quest. Another rhetorical operator of this type of text is the *allegoria in factis*, which connects references, not signifieds, for it assumes the existence of some kind of relationship between events or facts. From this point of view, the novella *La țigănci* (*At the Gypsies*) could be interpreted through the scenario of the *Bardo* state which *The Tibetan Book of the Dead* describes as an intermediary stage between awareness of life and awareness of death.

Any vatic poetics is known to operate with symbolic images. Sapiential texts demonstrate that 'symbolic inspiration' which permits them to mediate knowledge through a recuperative hermeneutics. Integrated within the phenomenology of the sacred, the symbol operates as the predicate of hierophanies or theophanies. Paul Ricoeur calls such 'authentic symbols' *regressive-progressive*, because they both disguise and reveal their significance.<sup>8</sup> The Cartesian *dubito ergo cogito* episteme is replaced here by a *credo*, 'I believe and I am allowed to understand; I understand, therefore I know; I know, therefore I believe', which also circumscribes the hermeneutic circle operative in Eliade's texts. The adventure of the artefact requires that the image pass from a referential role to a poetic one. As regards the latter, certain techniques are particularly useful in constructing the fantastic, such as equivocality of meaning, or the allusion that the world of the text belongs to another episteme than the rational one. Thus, within a morphology of camouflaging the sacred under the profane, *the tram, the motorbike or the lorry* can operate symbolically as vehicles for passage, *the bridge can replace the*

<sup>1</sup> Sergiu Al-George, in *Arhaic și universal, India în conștiința românească* (*Archaic and Universal: India in Romanian Consciousness*), București, Editura Herald, notes the influence of Shaivite Tantric texts, hence of Abhinavagupta, on Rudolf Otto's definitions of the sacred.

<sup>2</sup> *Natyashastra*, traducere de Amita Bhowe și Constantin Făgețan, București, Editura Științifică și Enciclopedică, 1997.

<sup>3</sup> Mircea Eliade, *Nașteri mistice*, traducere de Mihaela Grigore Paraschivescu, Humanitas, București, 1995 (*Naissances mystiques. Essais sur quelques types d'initiation*, Collection "Les Essais", XClII, Paris, Gallimard, 1959).

<sup>4</sup> Abhinavagupta, a philosopher and mystic born in c. 950 to a Brahmin family from Kashmir, configured the Tantric system as sacred teaching, *shastra*. Apart from religious poetry, his work includes: 1. commentaries and books on Tantric doctrine, most important of which is the encyclopaedic treatise *Tantraloka*, published in twelve volumes in the Kashmir Series of Texts and Studies, and its synopsis in the Italian translation (published in 1960 in the same series) of Raniero Gnani; 2. literary criticism and commentary on the *Natyashastra*; and 3. explanatory texts on the philosophical school of recognition.

<sup>5</sup> See also *Mythes et littérature*, Frederic Monneyron et Joel Thomas, Paris, Presses Universitaires de France, 2002, p. 27.

<sup>6</sup> Throughout this essay I use the term *mystic* in Mircea Eliade's sense, as that which eludes immediate apprehension, which is mysterious, emblematic, archetypal, therefore repeatable, and accordingly true, hence, implicitly, sacred.

<sup>7</sup> Eliade, Mircea, 'Podul' ('The Bridge'), in *Proză fantastică* (*Fantastic Tales*), vol. 3, București, Editura Fundației Culturale Române, 1991, p. 68.

<sup>8</sup> Paul Ricoeur, *Freud and Philosophy: An Essay on Interpretation*, translation by Denis Savage, New Haven and London, Yale University Press, 1970, p. 497 (Paul Ricoeur, *De l'interprétation. Essai sur Freud*, Paris, Seuil, 1965).

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*archetypal 'narrow gate', the elevator can camouflage ascension, while the Securitate police investigators conceal the image of 'world memory' (Mneme).*

The one that introduces new enunciation techniques into the text is the *hermeneut narrator*. He (*sic*) initiates the adventure of reading and warns about the order of symbolic events, the reading key as well as the multitude of meanings. A good case in point is the novella *Pe strada Mântuleasa* (*The Old Man and the Bureaucrats*, literally 'On the Mântuleasa Street'), in which the old protagonist, Zaharia Fărămă, produces countless possible scenarios, viz., labyrinthine itineraries, until he introduces a no entry sign. The long-sought *treasure* awaits a clever reader to unravel its secrets. Although indirect language may seem to approach the signifier of the sacred, nonetheless it undermines any such progress precisely through yielding to multiple interpretations. The rhetoric of excess or semantic brazenness is the signature of inspiration or of a disseminated sacred.

The linguistic inventiveness of such initiation stories relies on the resemantization of a series of terms which organize the discourse to suggest likely interpretive courses. Thus, the discursive technique favours the signifier to the detriment of the signified, rendered opaque; it obliterates the denotative value of words and generates their secret resemantization, signalled by the same rhetoric of insistence. Certain words are noteworthy in this respect: *heat, melancholy, restlessness, forgetting, the lotus, the street, the cave, the bird, the arrow, flying, the Great Flight, almost a pilot*, a.s.o. We can find *almost a pilot* in the short story 'Șarpele' ('The Serpent'): 'My name is Sergiu Andronic and I am a pilot, or *almost a pilot*.'<sup>1</sup> The repetition of the noun 'pilot' modified by the adverb 'almost' signals the technique of insistence. On the face of it, 'almost' denotes an approximation, virtually a recanting of the early statement 'I am a pilot'; in fact, the adverb demonstrates the resemantization of Keywords. Here is another example where the text actuates the reader's 'syndrome of suspicion', for it requires that every word be reinterpreted:

'Are we descending?' Adrian asked one of them, somewhat surprised.

'You could say so. Would you rather we were ascending?'

'Ah', Adrian shrugged it off, 'it's hard to say. Who would dare, once asked if they wanted to ascend, who would dare answer: No?' One of the ladies burst into laughing and looked at him subtly amiably.

'This means you haven't heard the legend', she told him. 'You either say "down" or say "up" ...'

'We're either climbing up, or down', her neighbour interferred good-humouredly, 'it's the same thing...'

'Because the elevator stays the same', the lady continued, 'in all fairness and detachment, as if it were a charade. Only the direction changes...' Adrian flashed a happy smile.<sup>2</sup>

Another rhetorical tool that signals bypassing the everyday order of things and semantic exile is the oxymoron, undergirded as it is by *coincidentia oppositorum*, the dialectic relationship between *the sacred* and *the profane* in Mircea Eliade's work. Michel de Certeau regards the oxymoron a deictic trope, for it signals that which it doesn't name, i.e., it refers to a third, absent term. Eliade structures most of his texts as an oxymoron: the religious hermeneutics he deploys defines the profane as a limitation of the manifestation of the sacred.

Initiation is often marked by references either to a scriptural corpus (The Old Testament, The New Testament, *The Upanishads*, *The Vedas*) or to Eliade's own scholarly texts. These canonical texts create, through analogy, symbolic alliances which are to be uncovered through hermeneutic reading. However, the more elusive the meanings, the better explored the anagogical level of the text and the closer the readers find themselves to the silence of experience. The process thus sets up a distinction between bookish knowledge and experiential knowledge.

By the same token, the poetics of unlikeness undergirded by a fracture which separates it from the world, closes out any interpretation that lies within the ambit of rational language and thought, to start off the adventure of reinterpretation. The wisdom enunciated thereby is encapsulated in 'neither/nor', in the unlikeness to anything in the visible world. The madness of such wisdom 'overturns the edifice', irritates, seduces or defies: the phrase '*neti neti*' ('neither this, nor that') questions the legibility of the world. Indirect language insinuates an inadvertency – What is This? – only to recant subsequently: the

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<sup>1</sup> Mircea Eliade, 'Șarpele' ('The Serpent'), in *Proză fantastică* (*Fantastic Tales*), vol. 3, București, Editura Fundației Culturale Române, 1991, p. 161.

<sup>2</sup> Mircea Eliade, 'În curte la Dionis' ('In Dionysus' Yard'), *op. cit.*, p. 180.

bridge is no bridge, the cavalry lieutenant is no lieutenant. The technique of negative theology disturbs one's cognitive comfort zone and teaches that unlikeness grounds the spiritual quest:

'Thus should one describe things', I thought to myself. 'One should also use another language than everyday language. The language of theology, for instance, or of metaphysics.' I thought to myself: 'a cavalry lieutenant described in terms of negative theology becomes himself a mystery, a paradox. Coincidentia oppositorum, Nicolas of Cusa would have said'. I liked my line of thought. I had suddenly acceded to another world, to a universe of essences and archetypes.<sup>1</sup>

Initiation is not a science to learn from books; it is inscribed directly in one's heart by infinite divine wisdom, for it is inspiration, it is overwhelming experience. Those who hear it keep a low profile: they are poorly clad, lowly people adrift in the crowd, people on the bottom rung of the social ladder, such as Fărâmă or the dramatist in 'Adio' ('Farewell'); the latter, asked what number three in his play means, confesses he has never thought about it. Yet these are the characters who beckon the reader over to the realm of miracle, who trigger the transformation and the space and time gap, who orient the pace of the story to reach the beauty of the treasure hoarded at the heart of one's heart. Fiction thus returns to its soteriological role, *rasa*. The text problematizes the excess of super-rational characteristic of the human condition, stresses the interrogatory mode to the detriment of the answering mode.

If we admit the surreal as the ultimate reference of these texts, then we must answer the question: is or isn't the initiation discourse mimetically obedient to the surreal, or is it merely a discourse that transfigures it? Or could it be that there doesn't yet exist a model of representation capable of rendering this 'nonfigurable transcendence'? What does such fiction, which orients the represented space metaphysically, imitate? Mircea Eliade's drama deploys the theatre's signifying powers to orient to a trans-spatial realm, to a sacred memory where meaning becomes complete metaphysically. Eliade's theatrical experiment has been called in various ways, such as *living theatre*, as Monique Borie has.<sup>2</sup> Yet, however we classify aesthetically Eliade's theatre, its semiotic system renders the script akin to mythical ideologemes, whose representations instrument a symbolic apparatus. This owes to a large extent to the very theatrical semiosis, which can refer meaning to a mystical realm, for the magic of the theatre entails the possibility of liberating experiences.

This is why Mircea Eliade's theatre may be argued to go beyond the experiment of *living theatre* and towards the kind of theatricality envisaged by Bharata in the *Natyashastra*.<sup>3</sup> Eliade builds his plays' plotlines on the mystery–revelation or enigma–illumination polarity, while he organizes their dramatic narrative around a chronotope which orients meaning. The result is a theatre that joins symbiotically sapiential inspiration and the magic of *hic et nunc* initiation. The surviving sacred is retrieved from the symbolic signs whose magic efficacy is restored: the cave, the pyre, the column. Such images map a chronotope; they align the allegorical narrative to a mythical time by engaging the text's secret ideology.

In his theatre, Mircea Eliade is somewhat more demonstrative than in his prose fiction; here, the initiation function becomes transparent maybe also because the theatre engenders a much more straightforward semiotic communication than prose does. The task of revealing this process rests with the 'reader/spectator' analysed by Patrice Pavis.<sup>4</sup> The dramatic economy of Eliade's theatre refers to an *illud tempus* and organizes ritually the unfolding of scenic sequences. Its discourse intersects with a ceremonial that promises initiation, *à la* Artaud, Grotowski, Brook, Craig or Barba, as Monique Borie aptly notes, yet also introduces an as yet unexplored niche, in which initiation seems to be occurring right on the stage, similarly to what *Natyashastra* (aka the Fifth Veda) describes as the art of the theatre.

Central to Eliade's theatre are extratextual inferences, which extend the text's polyphonies. His 'Coloana nesfârșită' ('The Endless Column') refers, if indirectly, to the teachings in *Mahamudra*, a meditation practice of Tantric Buddhism associated with teachers like Tilopa, Naropa and Milarepa:

The Girl: Spiral after spiral, and thus you work your way, lightly, floating, floating effortlessly and yet without flying, as birds fly, and then you get, Master, you get to the centre of the labyrinth, and you can see the great light (*Brâncuși rests his head on his arms and falls asleep*), the great light of which Buddha speaks, Master, Buddha and Milarepa and others, and then you understand what you have long known, what you have known from *The Upanishads*, when you first read that invocation

<sup>1</sup> Eliade, Mircea, 'Podul' ('The Bridge'), in *op. cit.*, p. 34.

<sup>2</sup> Monique Borie, 'De l'herméneutique de la régénération par le théâtre', in *Cahier de L'Herne: Mircea Eliade*, Paris, Éditions de L'Herne, 1978, pp. 117-135.

<sup>3</sup> *Natyashastra*, *op. cit.*

<sup>4</sup> Pavis, Patrice, *Études théâtrales, in Théorie littéraire. Problèmes et perspectives*, sous la direction de Mark Augenot, Paris, Presses Universitaires de France, 1989, and *Le théâtre contemporain*, Paris, Nathan, 2002.

that you have subsequently repeated time and again: 'Take me from non-being to Being, take me from darkness to light, guide me from death to immortality'.<sup>1</sup>

In 'Iphigenia', Eliade alludes to the mythical theme of cosmogonic sacrifice<sup>2</sup>:

Iphigenia: For it is not the same to die an accidental, untimely death and to die a sacrificial death for the redemption of the others,<sup>3</sup>

and in 'Oameni și pietre' ('Men and Stones') to the Orphic mission of poetry:

I once believed I had a mission... (casting Petruș a guilty look), or, better said, Adria persuaded me that I might have a mission: to reveal something, to reveal something to people worldwide, to people past and present... Such as Shakespeare did...

Only when stones move and heavens come to life, they alone..., with no human soul in sight...with nothing else... then, maybe then will I start to see...and believe.<sup>4</sup>

The text glosses the mystery of reconstituting the body of light within the darkness of the cave, the myth of eternal return, and the art which can indicate the way of mystical communion with the sacred concealed in humans and stones. The unconscious ideological structure of the text, which Umberto Eco calls its anagogical level,<sup>5</sup> the metaphysical *locum* where meaning germinates, is closely connected with a community, with a cultural field, with a horizon of expectation generated by the author's work. To return to Mircea Eliade's fiction, to his 'wholly new fiction' proclaimed by the text's personae as *quid-pro-quos* of the author, we can notice that this fiction fully surrenders to myth, that it reconstitutes the originary course of fiction, only in reverse, viz., from a profane time to a sacred time. This return to origins, in Western modernity, is undertaken via the Orient, ancient Greek theatre, and medieval or Elizabethan theatre. The aesthetic retrieval of archaic cultures, of myth, of historical India, it is believed, may regenerate the theatre. Mircea Eliade's drama tallies with this paradigm. His theatre plays' rapport with Tantric aesthetics, with Indian dramatic art as sacramental act, mitigates the difficulty of reception and offers a new key to reading drama.

What does this theatre imitate if it shuns representing reality aesthetically? What is the object which myth reflects? How can this object be represented on the stage? No one can answer such questions definitively, insofar as, on the one hand, myth itself is a discourse whose reality cannot be outlined visibly and, on the other, the story underpinning it cannot be told, in that it is a story words cannot circumscribe, but especially because myth tells about worlds barely sensed, inter-dicted. Worlds without beginning and end.

Mathilde Girard and Jean-Luc Nancy, in *Proprement dit, Entretien sur le mythe*, theorize on the problematic of the undefinable by recourse to the concept of mimesis 'sans modèle'.<sup>6</sup> They note the impossibility of identifying a model for myth and obviously for mythic fiction. Mircea Eliade may have wished to write a 'wholly new fiction' precisely because he had intuited the lack of a model of representation in the case of myth, which he regarded as an absolute model for human thought that refers to primordial, repeatable experiences conducive, in psychoanalytic terms, *to the self*, 'where the cold light of consciousness and the emptiness of the world extends as far as the stars'.<sup>7</sup> Mythical theatre would stage the universalia of Plato's aletheic space.

<sup>1</sup> Mircea Eliade, *Coloana nesfârșită (The Endless Column)*, București, Editura Minerva, 1996, p.132.

<sup>2</sup> Mircea Eliade, *De la Zalmoxis la Genghis-Han*, București, Editura Științifică și enciclopedică (*De Zalmoxis à Gengis-Khan. Etudes comparatives sur les religions et le folklore de la Dacie et de l'Europe orientale*, Paris, Payot, 1970). Eliade links the theme of sacrifice to the Dacian cultural model, where death is awaited serenely, but also to cosmogonic myths, where any institution is grounded in ritualic immolation of the negative sacred, viz., the analogon of chaos, from whence the universe will proceed, pp. 189-190.

<sup>3</sup> 'Iphigenia', in Mircea Eliade, *Coloana nesfârșită (The Endless Column)*, București, Editura Minerva, 1996, p. 48.

<sup>4</sup> 'Oameni și pietre' ('Men and Stones'), in *Coloana nesfârșită (The Endless Column)*, București, Editura Minerva, 1996, p. 90.

<sup>5</sup> Umberto Eco, *Limitele interpretării*, traducere de Ștefania Mincu, Daniela Crăciun, Constanța, Editura Pontica, 1996 (*The Limits of Interpretation*, Bloomington and Indianapolis, Indiana University Press, 1990).

<sup>6</sup> Girard, Mathilde et Jean-Luc Nancy, *Proprement dit, Entretien sur le mythe*, Paris, Lignes, 2015.

<sup>7</sup> C. G. Jung, *În lumea arhetipurilor*, traducere de Vasile Dem. Zamfirescu, București, Editura Jurnalul literar, 1994, p. 53 (*The Archetypes and the Collective Unconscious*, in *The Collected Works of C. G. Jung*, Vol. 9, Part 1, edited and translated by Gerhard Adler and R. F. C. Hull, 2nd edition, Princeton, Princeton University Press, 1968).

As regards the latent meaning of discourse, *muthos*, in the sense of *in statu nascendi*, i.e., unburdened by the seep-draining historical time, myth becomes efficacious once returned to. This is so thanks to myth's capacity of germinating semantically at an infinity of levels<sup>1</sup> the forms of ideal beauty – that formless, sapiential beauty which eludes sense perception.

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<sup>1</sup> Mathilde Girard, Jean-Luc Nancy, *op. cit.*, p. 4: 'le *muthos* n'est pas univoque, ne propose pas une information. Il est essentiellement équivoque ou plurivoque. Jean-Pierre Vernant écrit: "Le mythe met donc en jeu une forme de logique qu'on peut appeler, en contraste avec la logique de non-contradiction des philosophes, une logique de l'ambigu, de l'équivoque, de la polarité. Comment formuler, voire formaliser ces opérations de bascule qui renversent un terme dans son contraire tout en les maintenant à d'autres points de vue à distance? Il revenait au mythologue de dresser, en conclusion, ce constat de carence en se tournant vers les linguistes, les logiciens, les mathématiciens pour qu'ils lui fournissent l'outil qui lui manque: le modèle structural d'une logique qui ne serait pas celle de la binarité, du oui ou non, une logique autre que la logique du logos.'"

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## 'Good' and 'Bad' Perceptions of Corruption

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### Abstract

Corruption is a very complex phenomena that is considered to be widely spread in Albania. This phenomena appears in different forms and has a big impact on economic and social development, standard of living, democracy and good governance. Corruption damages the trust of citizens so the fight against corruption is one of the main challenges of every democratic government. This paper aims to analyze citizen's perception on administrative corruption in Albania and also the anticorruption measures that the government has undertaken to fight corruption. Citizen's perception depends on many factors: education, age, gender, whether you live in a big or a small city, working in public or private sector etc. These elements have been analyzed in order to attest if there is any correlation between them and change of public perception on corruption. Citizen's perception is also important for the proper implementation of the anticorruption strategy and its action plan.

**Keywords:** *administrative corruption, citizen's perception, anticorruption strategy, measures*

### Introduction

Corruption is a major obstacle to the development of democracy, good governance, fair competition and sustainable economic, social and political development of a country. It seriously impedes economic development, creating an inequality system, nepotism, destroying people's trust in their state. According to the United Nations<sup>1</sup>, corruption is one of the major factors hindering the development of democratic institutions, slows down economic development and makes governments less sustainable. Different studies aim to measure and assess the causes and consequences of perception of corruption and its various forms. In countries with a democratic tradition, where the rule of law prevails, corruption is a controlled phenomenon, but certainly not eliminated. In countries with weak democracies systems, corruption can take worrisome dimensions. The main role of institutions in democratic societies is to reduce the insecurity of citizens through the creation of sustainable structures for decision-making. Institutions should cooperate to regulate and facilitate the daily activity of citizens. In the group of these formal rules are the laws, bylaws, regulations, memorandums of cooperation, codes of ethics, etc. Good governance is based on people's trust, integrity, transparency, rule of law, division and balance of powers, coordination between institutions and the inclusion of all the key factors of society. Before identifying measures or institutions that reduce corruption, we need to give a definition of corruption phenomenon and identify types of corruption. To define corruption is a lot of effort because corruption is a concept that is part of economic, political, psychological and social sciences. The word corruption is derived from Latin and the correct meaning is disarray, malversation. A simple definition of corruption is the misuse of power for personal gain. The World Bank<sup>2</sup> defines corruption as one of the 'biggest obstacles to economic and social development. It undermines development by distorting the rule of law and weakening the institutional foundations on which economic growth depends', while Transparency International<sup>3</sup> defines corruption as 'abuse of trusted power for private gain'. 'Private benefit' should be broadly interpreted to include the benefits to the employee, his/her family members, close friends, the political party, the charity, the hometown, a corporation or another entity, in which the official or his family or close friends have a financial or social interest. Regardless how corruption is defined there are several factors that influence citizens' perception. For this reason, in this paper will be analyzed how corruption is perceived in Albania in 2018 and is this perception influenced by gender, age, level of education of other factors.

<sup>1</sup> [http://www.unodc.org/pdf/crime/corruption\\_hungary\\_rapid\\_assess.pdf](http://www.unodc.org/pdf/crime/corruption_hungary_rapid_assess.pdf)

<sup>2</sup> <http://www.worldbank.org/en/topic/governance/brief/anti-corruption>

<sup>3</sup> <https://www.transparency.org/what-is-corruption#define>

## Literature review

There are several factors that influence corruption perception and researchers have analyzed the impact of these factors in corruption perception. Lambsdorff (1999) argues that corruption perception indexes are good indicators of the real level of corruption and they allow researchers to estimate different models with other macroeconomic or socio-demographic data. In their research Glaeser, Gyorko, Sarks (2005) concluded that with the development of individuals, both in terms of education and income, the levels of corruption decrease. Melgar, Rossi and Smith (2010) found out that being a woman, the education level, the marital status, the attendance to religious services, being self-employed and the opinions towards the political system, among others, are factors that modify the probability of perceiving corruption. Women perceive higher corruption than man cite Gottfredson and Hirschi (1990) in their study. They also argue that men have lower ethical standards compared to women. But Cabelkova underlines that gender and age have a minimal influence on corruption perception. Sutton and Farrall (2005) also found differences in how the two gender groups perceive an act of crime where men in comparison to women were found to be less fearful of the judiciary punishment and more acceptable to the criminal acts. Torgler and Valev (2004) found out that citizens of different age groups do perceive corruption differently. The study finds older people to be less likely to commit a crime as compared to younger people. They also said that people from younger generation are more likely to perceive corruption as a justifiable act. Hirschi and Gottfredson (2000) stated that age is one of the influencers in criminology and there exist a negative correlation between the age and the willingness to break law for personal benefits. Cicek (2018) argues that women in comparison to men in Estonia are less tolerant towards such acts. The average number of tolerance towards corrupt acts for women is lower than that of men. Also, women in comparison to men perceive higher levels of corruption. Also Cicek explains that age has a big impact in corruption perception. Older people perceive corruption in Estonia to be at a higher level in comparison to younger people. Regarding the level of education Cicek found out that individual with higher educational degree perceive corruption to be at lower levels in Estonia.

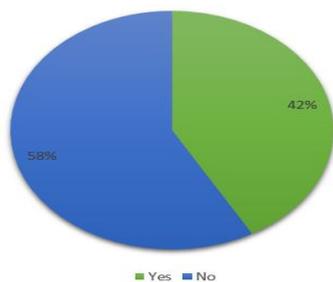
## Methodology and data analyses

For analyzing corruption perception in Albania and the factors that influence perception, a survey was conducted. 697 individuals participated in this survey. According to the survey data, more females than males responded, respectively 63% females and 37% males. Age is also an important data for understanding the results. The vast majority of respondents are in the age group 25-50 (77%). Regarding the level of education 13% of the respondents have doctoral degrees, 59% have master, 23% have university degree and only 5% have high school. 38% of the respondents are employed by the private sector and 35% by the public sector. This is a very important indicator because we have almost equal representation between public and private sector. Student represent 10% of respondents, entrepreneurs 9%, unemployed 5% and 3% did not answer this question.

## Corruption perception

The questions made in this survey aim to gather not only corruption perception but also citizens behavior regarding corruption in order to make an analyses between citizens perception and their behavior. For this reason after gathering the information regarding age, gender, level of education and employment the question that was the first to be introduced is: Apart from official fees did you have to give an extra payment or a gift to a public employee? From the analysis of the data presented in Graph 1, 58% of the respondents did not provide additional fee or gift except official tariffs during contact with public institutions. While 42% of respondents have paid additional fees or have given gifts in addition to official fees.

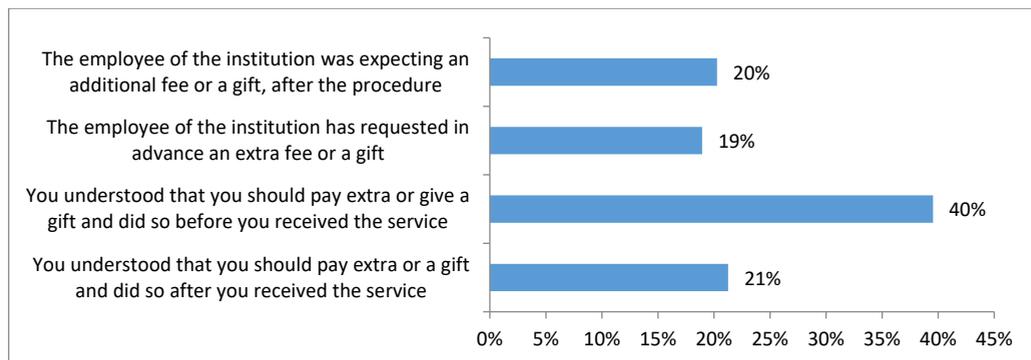
**Graph 1:** Additional fee or gift



Source: Author's calculations

The vast majority of respondents (40%) have chosen as a reason for granting additional fees or giving gifts, the fact that they understood that they should pay extra fees before receiving the service. The second reason with the highest percentage of responses (21%) is the fact they understood they should pay extra or give a gift after they receive the service. 'The employee of the institution was expecting an additional fee or a gift after the procedure' was selected as a reason by 20% of the respondents and 'the employee of the institution has requested in advance an additional fee or a gift' was selected as a reason by 19% of the respondents.

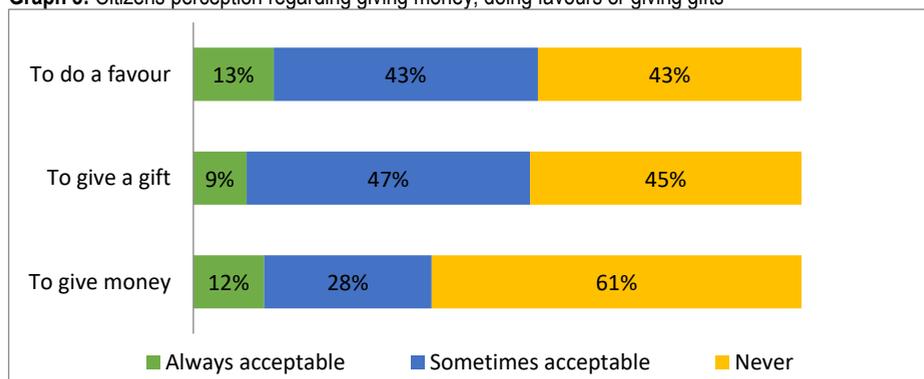
**Graph 2:** Reasons for granting additional fee or gifts



Source: Author's calculation

From the data presented in graph 3, it can be seen that in Albania 43% of the respondents perceive doing favors as non-acceptable, 45% perceive giving gifts as non-acceptable and 61% perceive giving money as non-acceptable. The respondents perceive that giving money, giving gifts and doing favors is sometimes acceptable respectively 28%, 47% and 43%. Only 12% of the respondents answered that giving money is always acceptable, 9% said that giving gifts is always acceptable and 13% said that doing favors is always acceptable.

**Graph 3:** Citizens perception regarding giving money, doing favours or giving gifts

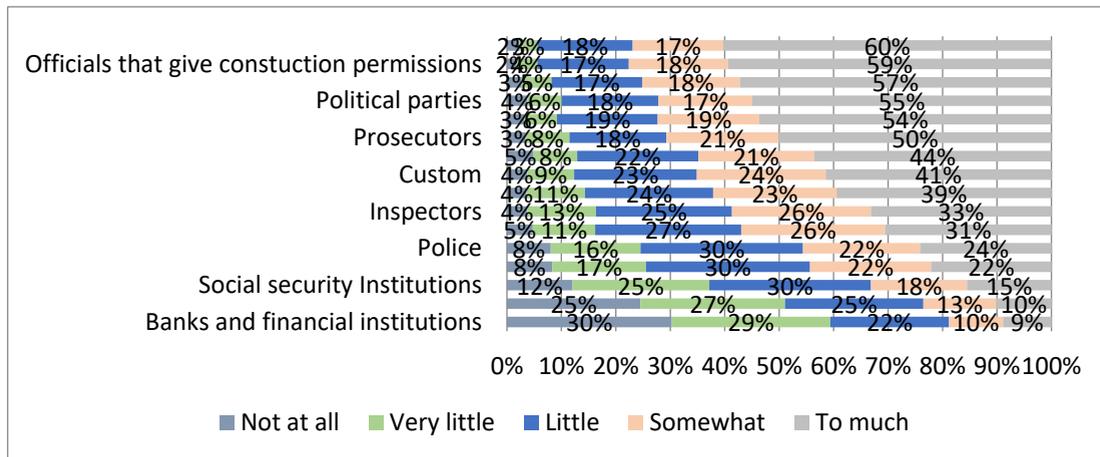


Source: Author's calculations

Graph 4 shows the respondents' perception on the spread of the phenomena of giving and receiving bribes and abuse of power for personal gain in different institutions. The assessment for each institution is carried out on a scale, where 1 (minimum) means there is no corruption and 5 (maximum) there is widespread corruption. Institutions where corruption is perceived that is widely spread are officials who give public tenders, officials issuing building permits, courts, political parties, politicians at the level national, regional or local and prosecution. While tax institutions, inspectors and the health care system are rated with high corruption respectively by 39%, 35% and 31%. On average, 20% of respondents say there is corruption in each of the institutions listed in the chart below, while on average two out of ten respondents think there is little corruption. Three of the institutions that are selected with the lowest level of corruption are banks and financial

institutions (29% very few corruption and 30% no corruption), private companies (27% very few corruption and 25% no corruption) and social insurance institutions (25% very few corruption and 12% no corruption).

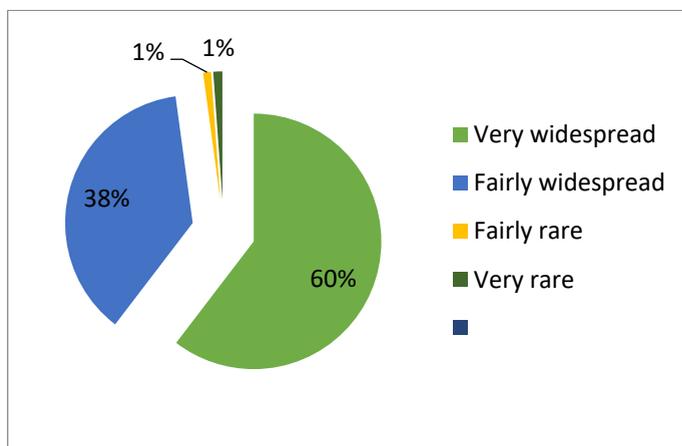
**Graph 4:** The spread of the phenomena of giving and receiving bribes and abuse of power for personal gain



Source: Author's calculations

Regarding corruption perception in Albania, 60% of the respondents admit that corruption is very widespread and 38% fairly widespread. Graph 5 shows that corruption is considered fairly rare and very rare only by 2% of respondents.

**Graph 5:** Citizens perception for corruption



Source: Author's calculations

From the analyses of the survey data regarding the correlation between age and corruption perception in Albania, it was concluded that **age is a determinant factor on corruption perception**. There is difference in corruption perception between different age groups. Group age 50-75 is the group with the higher percentage of people that think that corruption is a very widespread phenomena (74%). But it is important to mention that even the percentage of the respondents from group age 18-25 and 25-50 that think that corruption is a very widespread or fairly widespread phenomena are more or less the same.

Table 1: Corruption perception and age

		Corruption perception				Total
		Very widespread	Fairly widespread	Fairly rare	Very rare	
Age	18-25	62%	38%	0	0	100%
	25-50	60%	38%	1%	1%	100%
	50-75	74%	24%	1%	1%	100%

Source: Author's calculations

Beside age, another factor that was analyzed is gender. Different studies have shown that females do not perceive corruption in the same way as men do. But in this survey the results are not the same. In Albania the percentage of females and males that think that corruption is very widespread are almost the same (respectively 52% and 50%). There is no difference in corruption perception between males and females. **Thus gender is not a determinant factor in corruption perception in Albania.**

When it comes to discuss the education background of all respondents, the data analyses shows that **education is a determinant factor.** There is a significant difference in perception between respondents with a PhD degree and those with master degree or university degree. People with a PhD degree perceive higher level of corruption than the others.

Table 2: Corruption perception and education

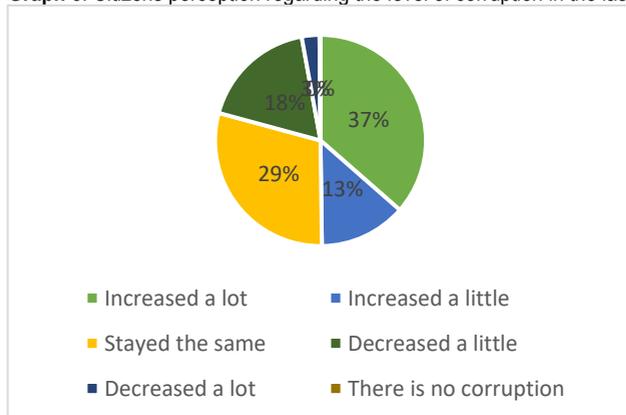
		Corruption perception				Total
		Very widespread	Fairly widespread	Fairly rare	Very rare	
Education	High School	63%	27%	0	0	100%
	University	67%	32%	0.5%	0.5%	100%
	Master	59%	38%	1%	2%	100%
	PhD	83%	16%	1%	0	100%

Source: Author's calculations

Employment and corruption and their public perception were part of the questioner. The data indicates that corruption is perceived differently from private sector employees compared with public sector employees. The majority of private sector employees (66%) perceive that corruption is very widespread while 44% of public sector employees think like this. No one from public sector thinks that corruption is fairly rare or very rare while 10% of public sector employees think that corruption is fairly or very rare. **Therefore employment is a determinant factor in corruption perception.**

In this survey it is also analyzed the people's perception regarding the situation of corruption in the last three years (2016-2018). It resulted that 37% of the respondents thought that corruption has increased a lot in the last three years and 13% have responded that corruption has increased a little. Corruption is perceived as *the same* from 29% of respondents. About 18% of respondents answered that corruption is reduced a little and 3% think that corruption is reduced a lot. Only one of the respondents answered that there is no corruption.

**Graph 6:** Citizens perception regarding the level of corruption in the last 3 years



Source: Author's calculations

The correlation was analyzed also for corruption perception in the last 3 years and demographic factors. When discussing age, 51% of the people of group age 50-75 think that corruption has increased a lot and only 2% think that corruption is decreased a lot or a little. While 35% of group age 18-25 and 34% of group 25-50 think that corruption is increased a lot in the last 3 years. More than 50% of the respondents of age 18-25 think that corruption is decreased a lot or a little. **The most important finding is that no one thinks that there is no corruption. In conclusion to the above, age is a determinant factor for corruption perception.**

On the other hand gender has no influence on corruption perception. Males and females in Albania think the same. In the table it is notable that the percentages are the same for all the alternatives. Consequently this makes **gender a non determinant factor for corruption perception.**

**Table 3:** Corruption perception and gender

							Total	
		Increased a lot	Increased a little	Same	Decreased a lot	Decreased a little	No	
Gender	Male	36%	14%	30%	17%	3%	0	256
	Female	36%	13%	30%	19%	2%	0	441

Source: Author's calculations

Interesting findings came out when the connection between employment and corruption perception were analyzed. As it is shown in the table below 37% private sector employee think that corruption is increased a lot in the last three years and only 18% of public sector employee think the same. 26% of public employees think that corruption has decreased a lot or a little and only 19% of private employees think the same.

**Table 4:** Corruption perception and employment

							Total	
		Increased a lot	Increased a little	Same	Decreased a lot	Decreased a little	No	
Employment	Private	37%	13%	31%	17%	2%	0	100%
	Public	18%	14%	32%	22%	4%	0	100%

Source: Author's calculations

From the data it was concluded that private sector perception regarding corruption is not the same with public sector. **Hence employment is a determinant factor for corruption perception in Albania.**

### Conclusions

The aim of this study was to analyze citizens' perception on corruption and the demographic factors that influence such perception. From the survey resulted that less than half of the respondents gave bribes or gifts for receiving a public service. The main reason for giving bribes was the fact that they understood that should pay extra fees before receiving the service. The institutions that are perceived as the most corrupted ones were courts, political parties, politicians at the national, regional or local level, prosecution offices and officials that control public tenders. The less corrupted institutions were considered banks and private companies.

Corruption is perceived as a very widespread phenomena that has increased significantly in the last three years in Albania. Males and females have almost the same perception regarding corruption, but such balanced perception do not appear on the other demographic factors which were part of the study. There seems to be a clear division on perception among those with different educational backgrounds, those who work for public and private enterprises and who belong to different age groups. To conclude the demographic factors that have impact on corruption perception in Albania are age, education and employment while gender is a non-determinant factor for corruption perception.

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## **Business Ethics and Corporate Social Responsibility in Algeria: What Are Their Realities? Case of the National Painting Company (ENAP) and the Company Schlumberger Algeria**

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### **Abstract:**

Business behavior involves legal rules, ethical codes of conduct and principles of social responsibility. In other words, corporate behavior is based on all these components and involves law, ethics and CSR. It is important to also recognize that this behavior must be ethical but must also be considered ethical - perceptions are very important. According to David Crowther and Guler Aras, corporate behavior is important to the success of the business both financially on the relationship between corporate and business interests. We cannot define the behavior of companies without ethics and CSR to refer to this behavioral aspect. Above all, CSR can be an opportunity to rethink the organization of the company in a broader economic and social ecosystem where modes of "partnership governance" of business relationships, large and small are also an asset. This article deals with two cases of companies that have activities in the industrial sector: The National Paint Company called ENAP in Algeria and the company Schlumberger Algeria.

**Keywords:** CSR, business ethics, Algeria, ISO 26000, industrial enterprises.

### **Introduction**

Currently, there is a visible shift in the industry from omitting the notion of <social> to using the term <corporate responsibility>. This change of language expresses the intention to broaden the understanding of CSR and includes not only responsibilities for society, but also the environment and human rights. Due to the complexity and multi-dimensional issues related to CSR, a single and generally accepted definition of CSR is lacking. However, there is a growing awareness and interest in CSR, and some common principles are now being recognized. The concept of CSR varies according to the actor who defines the notion; International organizations, businesses, NGOs, activists, consultants and lawyers have a very different understanding of CSR.

Some companies with socially responsible programs are generally limited to large companies, subsidiaries of multinationals or large nationals (Saldaña, 2010, Market & Garcia, 2007), but the trend towards companies is beginning to adopt these programs (Meyskens and Paul, 2010).

The main purpose of this article is to show the reality of social responsibility and business ethics in companies, exactly in industrial companies, which is why we studied the case of the ENAP company (Algerian company) and the company Schlumberger Algeria and we asked the following question for this research paper: what are the realities of CSR and business ethics in the two companies cases we studied?

### **Methodology: designs and methods**

A design provides a framework for the collection and analysis of data, methods are methods to systematically and carefully collect and analyze data with the purpose of gaining information needed to answer research questions. For this article, case study design was selected as the purpose of the research was to better understanding of CSR design.

We chose the qualitative approach as method because the CSR is a microeconomic concept that constitutes the modalities of the company's response to societal interpellations - its practice within the company itself - by producing strategies, management systems, change management and methods of control .

## **The theoretical framework: business ethics and corporate social responsibility**

The historical roots of CSR are frequently linked by researchers to the work of Adam Smith, one of the eighteenth-century initiating economists. Adam Smith suggested that by inspiring the pursuit of productivity and allowing people to freely control employment, supply and capital, capitalism is able to generate more social welfare than other economic systems. While the social outcomes of capitalism are mainly based on profit, some scientists consider that aid principles are fundamental to socio-economic development. The argument is that richer individuals and profitable private enterprises must support a poorer part of a society, thus becoming promoters of social welfare. (Mishin, 2013)

the CSR concept evolved beyond its boundaries and involved in a much more extensive dialogue between the governments, corporations and the people. CSR refers to indirect consequences of sudden and steep rises in revenues from extractive industries for the host country and society, such as the effect of oil revenues on corruption, human rights controversies and lack of democratic progress in developing countries. Micro Corporate Social Responsibility refers to the immediate effects on local communities of the activities of a company, employment, labor conditions, local education and healthcare. (Ghoble, 2011)

Corporate social responsibility does not have uniform universal application standard, as the

variables that serve as input for the implementation of its activities vary across social, political and economic classes of the globe. The International Organization for Standardization however, is developing an international standard to provide guideline for the adoption and disseminating social responsibility-ISO 26000-Social Responsibility. This has its thrust as encouraging voluntary commitment to social responsibility as it provides common guidance on concepts, definitions and methods of evaluation of corporate social responsibility activities- International Organization for Standardization (2009). (A.E.Ndu & B.A.Agbonifoh, 2013)

The company that aspires to be socially responsible should consider some factors when designing its own social responsibility strategy. Regarding this, there are five most cited models in the literature that propose how to measure it: Carroll (1979), the Organization of the United Nations (1999), the Commission of European Nations (2001), the Mexican Center for Philanthropy (2010) and the standard ISO 26000: 2010 (2010). (Lambarry, Fuentes, Trujillo, & Rivas, 2015)

Currently, there is a visible shift in industry of omitting the notion 'social' and using the term

<corporate responsibility>. This change of the language expresses the intention to broaden the

understanding of CSR and include not only responsibilities regarding society, but also the

environment, human rights, etc. Other alternative terms that are nowadays in use include

<sustainability> or <sustainable development>, <business ethics>, <corporate social performance> and <corporate citizenship>. In 1979, Archie B. Carroll proposed a four-part definition of corporate social responsibility embedded in a conceptual model of corporate social performance (CSP): The social responsibility of business encompasses the economic, legal, ethical, and discretionary expectations that society has of organizations at a given point in time. (Gurzawska, Cardone, Porcari, Mantovani, & Bey, 2015) While the use of terms such as <CSR> and <Sustainability> is relatively new. (Frynas, 2009)

Professor Wallich (Manne & Willich, 1972) define CSR in broad terms: I take responsibility to mean a condition in which the corporation is at least in some measure a free agent. To the extent that any of the forgoing social objectives are imposed on the corporation by law, the corporation exercises no responsibility when it implements them. He wrote that the exercise of CSR involves three basic elements. Three basic activities seem to be involved in the exercise of corporate responsibility: the setting of objectives, the decision whether to pursue given objectives and the financing of these objectives. (Carroll, 1999)

In recent years, customers, employees, suppliers, community groups, governments, and some share-holders have encouraged firms to undertake additional investments in corporate social responsibility (CSR). Some firms have responded to these concerns by devoting more resources to CSR. Other companies' managers have resisted, arguing that additional investment in CSR is inconsistent with their efforts to maximize profits. (Williams & Siegel, 2000)

<<We must now focus on what can and what should be done, not because we can be certain climate change is happening, but because the possibility can't be ignored. If we are all to take responsibility for the future of our planet, then it falls to us

to begin to take precautionary action now.>>(BPC Chief Executive, John Browne) (Hove, Menestrel, & Bettignies, 2002) Because of the uncertainty surrounding the nature of CSR activity it is difficult to define CSR and to be certain about any such activity. It is therefore imperative to be able to identify such activity and we take the view that there are three basic principles which together comprise all CSR activity. These are:

Sustainability;

Accountability;

Transparency. (Crowther & Aras, 2008)

The social responsibility orientation of firms is related to strategic social planning. Positioning is related to value creation for the multinational firm. Three principles must be considered in processing the social responsibilities of international business firms. The first is an awareness of the historical and institutional dynamics of local communities. The second is the necessity of good communication with local constituencies. The third is the degree to which the firm's operations safeguard and indeed improve the social and economic assets of local communities. When double rising of oil and electricity, enterprises are facing anti-stressful environment and starting greening of business processes to save energy and reduce carbon. In the case of countries around the world increase the importance to environmental issues, companies use green manufacturing process will be the future trend. Also many consumers are paying attention to environmental protection, and more willingness to buy more environmentally friendly products in manufacturing process. (Tai & Chuang, 2014)

### General principles of CSR according to the international standard ISO 26000:

In November 2010, the ISO published a standard entitled "Guidelines on Social Responsibility" after 5 years of drafting and the participation of 400 experts. It has been referenced under the name of ISO 26000. The idea of developing an international standard on CSR was born from the observation of the divergence and the multiplicity of visions relating to this subject. Article 4 of ISO 26000 sets out the seven general principles of social responsibility on which it is based. It is:

- Accountability;
- Transparency;
- Ethical behavior;
- Recognition of the interests of stakeholders;
- The principle of respecting the law;
- Behavior international standards;
- Respect for human rights. (Mankouri & Bendiabdellah, 2015)

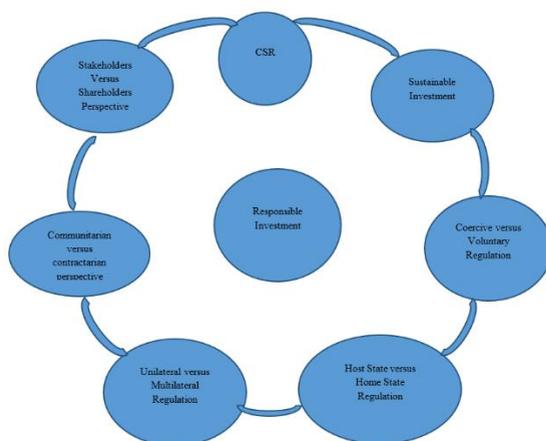


Figure 1, source: (C.Ajibo, 2015)

Despite the divergences in word characterization, the normative content of all remains the same: responsible investment practices vis a vis outside constituencies. For instance, the words 'communitarians' and 'stakeholders' loosely denote

constituencies affected in one way or another by the corporation operating in the sphere of their surroundings. The focal point of this discourse remains however responsible foreign investment conduct - manifestation of corporation outward concern to stakeholders being invariably labelled the concept of CSR.(C.Ajibo, Responsible investment in the petroleum sector: the case of the Petroleum Industry Bill (PIB), 2015)

### **Business ethics:**

One of the challenges the evolution of business ethics has had to respond to in the past few years is how to apply the philosophical theory of ethics in practice, how to integrate ethical principles into everyday business life and achieve real and favorable effects. An instrument called ethical institutionalization has emerged to promote this process. Applying this instrument, companies show their intentions to provide a proper framework for ethics development, establish different ethics institutions and, in addition, introduce them and operate them. Introduction of an institution often constitutes a part of an ethics programme. (Szegedi, 2011)

**Mainstreaming CSR education:**One of the main criticisms of business school education is that the socially irresponsible and ethically dubious assumptions of certain core doctrines, theories and concepts dominate the curriculum and discourage awareness of CSR and ethical behavior among managers and corporations. (Matten & Moon, 2004)

IPIECA member companies identified a need for general guidance on how to train managers and staff about human rights, especially in countries that have poor human rights records. In

response, IPIECA member companies shared human rights expertise, practices and policies to develop an industry-wide template.

IPIECA is the single global association representing both the upstream and downstream oil and gas industry on key environmental and social issues, including: oil spill response; global climate change; fuels and products; health; biodiversity; social responsibility; and sustainability reporting. Founded in 1974 following the establishment of the United Nations Environment Programme (UNEP), IPIECA provides a principal channel of communication with the United Nations. IPIECA Members are drawn from private and state-owned companies as well as national, regional and international associations. Membership covers Africa, Latin America, Asia, Europe, the Middle East and North America. Through a Strategic Issues Assessment Forum, IPIECA also helps its members identify emerging global issues and evaluates their potential impact on the oil industry. IPIECA's programme takes full account of international developments in these issues, serving as a forum for discussion and cooperation, involving industry and international organizations.

The result was the publication of the *Human Rights Training Toolkit* in 2006. The *Toolkit* is a training template designed to be customized by companies in accordance with their existing human rights policy and applicable domestic laws and regulations. The *Toolkit* consists of a presentation, workbook, trainer's manual and a resource guide. Core issues covered include:

labor rights;

indigenous rights;

security and law enforcement arrangements;

dealing with corruption and transparency; and

Stakeholder issues.(International petroleum industry environmental conservation association )

Business educators walk a road where ethical signposts are unclear, new scandals lead to new

laws, and society's increased expectations change the parameters for what we teach. In this environment, how we sensitize our students (i.e., how we teach our students about business ethics and social responsibility) becomes central to the influence we might have in shaping their thinking. As the basic pedagogical approaches we use are retooled, the premises of our instruction are reconsidered, and the sources of our assumptions are questioned (see, e.g., Koehn, 2005). Helping students become more socially responsible and ethically sensitive is a substantive part of our responsibility as we prepare a new generation of business practitioners. We face a difficult struggle, for even as we offer new approaches for dealing with changing business environments, less responsible individuals and businesses learn new ways to prosper through immoral means (Callahan, 2004). (Robert A. Giacalone, 2006)

### **Discussion: results and discussions:**

We did a study at the level of the National Painting Company -Algeria (ENAP), (The National Painting Company called ENAP is a result of the restructuring of the National Society of Chemical Industries (SNIC) and became operational on January 1<sup>st</sup>, 1983. ENAP was transformed into a SC in March 1990 with a social capital of 100 million AD which rose in 1995 to 500 million and 9 billion AD in 2012 distributed in 90 000 shares of 100,000 AD each held in full by the Algeria Chemical Specialties Group - ACS sc.

The purpose of the Economic Public Enterprise (ENAP) thus created is to manage, operate and develop the production and marketing activities of Paints, Varnishes, Inks and Emulsions, Resins, Glues and Derivatives, and more generally, all commercial industrial operations. or financial, securities or real estate assets that may be directly or indirectly related to the corporate purpose or likely to favor its extension or development). The management of the work environment is essentially based on the prevention of the occupational risks that can be generated by the production processes. It is in the form of the series of quality procedures QP 6.400 which consist of three procedures of system QP-6401, QP -6402, QP-6403 deal with this theme. These general dispositions are based on the following approaches:

- the protection of workers;
- the safety of the installations and the work;
- Waste and the work environment.

In addition, the 6.420 series procedure, which is based on the safety of installations, equipment that can generate industrial risks (material damage, production stoppages, explosions, fires, floods, etc.) are subject to regulatory controls and audits. These are the following equipment: -Washing appliances, in particular: hoists, monorails and forklifts.

- Pressure vessels, in particular compressors and boilers.
- Electrical installation.

In addition, appropriate maintenance is carried out by the specialized structures of the company, to ensure the operation of this equipment under normal conditions of safety.

And the 6.430 series procedure which is based on the Waste / Environment - Industrial Hygiene, the factors related to the industrial hygiene (noise, lighting, dust, chemical gases or vapors, etc.) are apprehended and / or identified at their appearance by the security agents of the different structures of the company.

On the basis of their reports, the Hygiene and Safety Commission of the Enterprise / Unit (HSCE / HSCU) ensures the management and the follow-up of the achievements of the recommended actions.

Since we also did a second study at the level of Schlumberger company Algeria (Schlumberger is a multinational oil services and equipment company with 100,000 employees worldwide, including 1 200 in France, Schlumberger Algeria is in fact a branch of the Group. Schlumberger has a registered capital of 566 million US dollars with a total workforce of 432 employees and contractors.), Schlumberger is committed to minimizing its impact on the environment. They were doing this by preventing pollution, reducing emissions, consuming fewer natural resources and minimizing waste, wearing any personal protective equipment required by the job at hand, not doing work without adequate training, and stopping work at all moment if the conditions are dangerous and report immediately any danger lead to a supervisor.

Driving is the riskiest business in Schlumberger. All employees whose jobs involve driving must adhere to travel management and <safe driving> specific requirements. Schlumberger requires all occupants of the vehicle to wear seat belts. Use of mobile phones or electronic devices while driving is not allowed, even if the device is hands-free. The driver must bring the vehicle to a complete stop before using such a device.

A conflict of interest is a conflict between the personal interests and interests of Schlumberger or a client. A conflict may arise if they have personal, social, financial, political or other interests that could interfere with responsibilities as employees of Schlumberger. For example :

If a family member works in an organization that competes with Schlumberger.

If they have an active interest in an organization that does business with Schlumberger, including customers or suppliers.

If an employee is an administrator, officer, agent or consultant of a company that rivals Schlumberger.

If the company provides a loan to an employee.

Employees must put Schlumberger's business interests first, disclose any conflicts and avoid situations that create the appearance of a conflict of interest. Advance written prior of the appropriate area or segment the controller is required before the employee can continue to work while a conflict of interest exists.

Accepting or giving business gifts or hospitality should never suggest an ability to influence business decisions. Gifts are items or benefits for which the recipient does not pay the fair market value. Hospitality includes meals, entertainment and sporting events.

They do not obtain a commercial advantage through bribery, irregular payments or any other illegal means. Schlumberger has a zero tolerance for corruption. The direct or indirect offer, payment, solicitation is strictly prohibited. Schlumberger is competing aggressively but fair. They do not win business or maintain relationships with customers by acting illegally or unethically. Each member deals fairly and openly with customers, suppliers and competitors. One of Schlumberger's strengths is the diversity of the workforce. Employees of many nationalities and backgrounds work together to achieve common goals. As a global company, it promotes fair employment practices and provides equal opportunities for all employees.

Schlumberger employees are expected to treat each other professionally and with mutual respect. They must also display respect when interacting with customers, contractors and other people affected their operations. Schlumberger does not tolerate any form of harassment or other offensive action.

They contribute to the social development of their communities by supporting initiatives that improve the education of young people and living conditions. They promote the economic development of these communities by recruiting, hiring and training where they work, promote from within, and by complying with local content rules.

Schlumberger supports the aspirations of the International Bill of Rights and encourages work that increases the contributions that companies can make to preserve and respect human dignity.

### **Conclusion:**

Corporate social responsibility is a matter of guaranteed financial and social benefits, sources of business opportunities and competitive advantages, the primary objects targeted by the latter are not marketable. The first step is to ensure that companies take into account the external and social effects of their activities.

To assume this responsibility, the company must respect the laws and the collective agreements. To achieve this, the company must have engaged in close collaboration with stakeholders, a process to integrate social, environmental, ethical, human rights and consumer concerns into its business activities and its basic strategy.

There are several companies such as the company ENAP and Schlumberger Algeria that have demonstrated that it is possible to be economically profitable and advanced socially and environmentally friendly through a path laid out.

We can say at the end of this study that these two companies have a program that allows the application of social responsibility in the broadest sense, respecting professional ethics.

### **Citations mentioned in paragraphs:**

According to Hove, Menestrel & Bettignies (2002), <<We must now focus on what can and what should be done, not because we can be certain climate change is happening, but because the possibility can't be ignored. If we are all to take responsibility for the future of our planet, then it falls to us to begin to take precautionary action now.>> (p. 11).

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## Characters: The Population Within Narratives - A Theoretical Update

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### Abstract

This paper re-examines one old, yet powerful concept of art and life, 'character', whose conceptual structure is so diachronically stratified that its metacritical condition still needs to be examined. By virtue of artistic tradition, 'character' and 'narrative' are intrinsically articulated: when we structure narratives, characters seem to be a 'spontaneous' thematization. Two theoretical attitudes are decisive in this respect: the post-Aristotelian 'syndrome' which defines them as mimetic representations, and the counterattack of all narratological schools and poststructuralism, which empty them of their psychological content (seen as an ideological residue) and exalt their syntactic dimension. At the present moment, within the methodological coordinates of discourse analysis and cognitivism, we understand that 'character' covers factual and fictional worlds alike, for it is produced under the same logic and system of rules in both worlds. Whether in fiction or in real life, characters mediate our comprehension of factual and fictional scenarios; they are vehicles for beliefs, mentalities, behavioural patterns, interactional schemata and mental models, in vast networks of meanings that frame our worlds and combine the personal and the unique, on one hand, and the shared and the social, on the other. My investigation will not only reconstruct the archaeology of this concept, but will also provide updated theoretical information on 'character', in an attempt to prove its relevance as a constructive tool for our mental models.

**Keywords:** character; narrative; mimesis; schemata; mental models

### Introduction

My paper glosses upon a concept with a complicated and versatile metacritical destiny: 'character'. If other concepts with similar value seem distant, hidden in metaphysical spheres, this one is intuitive and easily apprehensible. We are familiar with it from childhood: in our early years, the characters in tales and bedtime stories are real and consistent, educating us and nurturing us culturally; later, all adult lives – factual or fictional –, all experiences and the media too are full of characters. That being said, the ubiquity of the character's instantiations and its compact polysemic meaning may discourage a new investigation. However, after we try to trace back its complex and ambivalent evolution, we see that this seminal concept is still problematic, as its collection of semantic traits cannot be reduced to one lowest common denominator.

The point of departure of my theoretical paper is a set of questions of a very general nature: How do we understand the concept of character now? What are the most prominent definitions? Is there a 'progress' in the ways we see it or do we only reuse the canonic meanings? And, most importantly, is the concept of character an adequate, effective instrument for the present and emerging modes of fictional or factual narratives or is it only a historic curiosity, kept in the museums of Theory? These questions have already been contemplated by an impressive number of literary theorists and philosophers; so, the rich bibliography dedicated to this problems as well as the intuition educated by life allows us to believe that the concept of character will be present in the metacognitive toolboxes of future generations.

Generally speaking, a taxonomic synopsis of this concept should emphasize the philosophical perspectives that found its understanding, the current definitions and methodological approaches and, last but not least, its most problematic pragmasemantic traits.

First and foremost, two are the philosophical modes that institute the concept of character: essentialism and conditionalism. We know that until the 20th century, the traditions of thought used to relate fictional characters to the essentialist conception of literature and art illustrated by Aristotle, a conception according to which certain artefacts and the entities within have a kind of 'aura', on the basis of the famous contract of mutual irresponsibility (or willing suspension of disbelief). In other words, the narratives and the characters within them were defined at the level of invention, as pseudo-worlds and pseudo-persons, represented in a transparent language. Characters were, from this perspective, person-like beings – so their anthropomorphous substance came first. It is merit of the 20th century to have defined the concept of 'character' in terms

of conditionalism, emphasizing diction (if we use Gérard Genette's notion). From the conditionalist perspective, characters are made of signs, a rhizome of signifiers, free of mimetic coercions or psychological illusions. The conditionalist theories are decisive for the ways we view this concept now. According to Russian Formalism, structuralism, semiotics or discourse analysis, characters are primarily a syntactic ensemble. Some theorists – Michel Foucault and Jacques Derrida among them – even had an extreme anti-psychological position, criticizing the anthropomorphic premises and refusing all forms of mimetic assimilation.

It is not wise to prolong the feud between essentialism and conditionalism. We can neither understand the fictional characters as replicas of actual beings, nor reduce them to empty signifiers. The most efficient theoretical choice is a compromise solution: we should accept that characters are ensembles of signs (structured by authors) that need to be comprehended and interpreted through an anthropomorphic filter. Characters should be enlivened, woken up from their textual torpidity and given a (pragmasemantic and symbolic) destiny in the process of reading. The conditionalist premises are legitimate, but no one can digest them completely: in spite of all efforts to devoid character of its psychological content, it is obvious that the character is a 'spontaneous' thematization in all human narratives. Characters simply 'ask' us to treat them as actual persons, even though they are made of signs; they thus force an analogy between dissimilar beings (viz. , real and fictional).

Secondly, the concept of 'character' is shaped in the critical crucible of four interdisciplinary methodologies in the Zeitgeist. (1) Hermeneutic approaches equate characters with representations of human beings, in a specific historical and sociocultural coordinates. (2) Psychoanalytic approaches focus on the 'inner life' of characters. (3) Structuralist and semiotic approaches regard characters as sets of structured signifiers. (4) Cognitive theories link the semiotic realization of the characters with models of the human psyche.<sup>1</sup>

Thirdly, the current investigations of the concept of character cover roughly five areas: 1. the ontology of character and their life in the narrative words; (2) the specificity of their existence in different genres or subgenres, e. g. prose fiction, film, drama, comics, videoclips etc; (3) the 'identity' of characters, projected in broader (extratextual) socio-cultural contexts (e. g. gender, stereotyping etc); (4) the reception of characters, including the various forms of cognitive affective responses, comprehension, identification, interpretation, moral evaluation etc; and (5) the emergence of new species of 'narrative' characters (e. g. hybrid, multimodal, transtextual etc).

A recap of all theoretical specifications of the concept in question goes far beyond the intentions and possibilities of a simple research paper. There are so many reconsiderations of doctrines, reelaborations and metaleptic changes, that the option for one definition or another becomes, in the end, a matter of taste. This is why I shall point out only some important tangent points of the recent critical approaches, trying to include the most important reelaborations in a 'group photo'.

All 20th century (conditionalist) approaches are deeply interested in the ontologic conditions of the characters. Characters are, from the conditionalist perspective, bricolages of traits attached to a proper name (as Roland Barthes said). When we compare the fictional populations to real people, we see that the bricolated signs we call 'characters' approximate a person, draw a body and a face, and simulate an inner life, an intentional mind or a behaviour. But the differences in status are obvious. First, fictional characters owe their existence, their 'truth', to the worlds they live in. Second, their existence is ontologically incomplete, as texts (the worlds they live in) are inherently incomplete. Real human beings cannot be reduced to their linguistic representations, for they are not the result of what is said about them; in philosophical terms, they are complete. Fictional characters, on the other hand, depend on what is said about them; they are arrested in some narrative. If – as it happens – the textual world does not contain a certain piece of information about a character – the number of children Lady Macbeth had – the information remains unavailable.

That being said, we still notice that the boundary between the fictional and factual characters cannot be drawn clearly, as is the case with the actual and possible worlds. Conjecturally, we might even adopt the radical relativism of Nelson Goodman, who believes that fiction and nonfiction are alternative versions of the world, or the modal realism of David Lewis, who contends that possible worlds are as real as the actual world. Consequently, we see that fictive and factual characters follow parallel paths when they are represented or understood linguistically. It is a universally acknowledged truth that most real people in our lives suffer from the same syndrome of representational insufficiency.

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<sup>1</sup> See Eder, Jens, Jannidis, Fotis, Schneider, Ralf (ed.) (2010). *Characters in Fictional Worlds. Understanding Imaginary Beings in Literature, Film and Other Media*. Berlin /New York: De Gruyter.

Another interesting tangent point is the characters' 'identity', or, to be more exact, their 'social identity'. As we know, 'identity' – a concept not to be discarded quickly – is the horizon that allows individuals to co-exist. 'Identity' is a paradoxical entity, a source of conflicts and illusions, a dynamic system of representations that define us as unique beings. Just as social beings are plural and mobile, emerging with the others in the actual world, characters do not live on their own. In most narratives, they are at least two and frequently, many more; they form a population in the most canonical (sociological) meaning: they are a collection of 'humans'. The system of their relationships is a constellation determined by their actantial functions and roles, importance, properties, interactions, intentions, power, values or participation. Undoubtedly, it has been argued, the character constellation of a text is an abstraction; the dynamics of the character relationships should be understood as a succession of changing scenic configurations – scenes in drama, chapters in novels, sequences or shots in film or videoclips. But their game of make-believe cannot be understood without the social encyclopaedias of actual beings. When we read a narrative, it is our social knowledge – the information we possess about social roles, groups and categories, rules and patterns of social behaviour and interaction, images of human nature, stereotypes and prototypes etc – that shapes the narrative worlds and its inhabitants.

Sociocognitivism has reshaped the concept of character, testing its epistemological and methodological efficacy in new contexts. Teun van Dijk is reputedly the theorist who has successfully translated and made compatible concepts from the linguistic paradigm in the language of cognitivism. His method, called sociocognitivism, is presented in several books, the latest being *Discourse and Context* and *Discourse and Knowledge*. We should say that van Dijk is not particularly interested in a critique of the character – defined, in the simplest terms, as a text-based construct of human mind, but his ideas have important consequences upon the concept.

First of all, van Dijk recalls an idea present in many contemporary texts of cognitive linguistics, sociology and anthropology: characters are carriers of mental schemata, i. e. , matrices of thought and behaviour that organize the categories of information and the relationships they maintain. These mental schemata are inherently blended, because blending is an intrinsic property of all cognitive products. Van Dijk's theory puts into perspective the formulations of Gilles Fauconnier and Mark Turner in their emblematic work *The Way We Think: Conceptual Blending and the Mind's Hidden Complexities*, according to which this mental process has a decisive role in human existence. Conceptual blending is a silent, discrete process permanently active in our minds, that choreographs all the semantic constructions such as categorizations, analogies or the construction of the unreal, to name but a few. We pointed out earlier that a character is a blend of signifiers, a rhizome that brings into play different regimes of signs; in a story, the character is never 'purely' narrative, but a blend of narrative sequences (which assign the actantial roles in the textual syntax), descriptive sequences (which contain the attributes) or dialogue sequences (which set the enunciators' profile). At the same time, the character is a blend of signifieds: the signifiers never come 'empty', because they are never a simple series of steps in a linguistic algorithm (not even in the most radical autotelic experiments). The 'meaning' of a fictional or nonfictional character, blended and plural by definition, is an enigma posed to a potential interpreter, who is required to use the personal cognitive encyclopaedia in order to solve it. The inferential activity of the interpreter – encoded as a strategy in the text, as we have learned from Umberto Eco – is once again essential, and that is why semioticians like Philippe Hamon speak of an *effet-personnage*. In short, the interpreter follows the various procedural indications (or strategies and techniques of definitization, if we use Ruth Ronan's label) and deciphers the formalized mental schemata by infusing them with meaning; this meaning comes, as Teun van Dijk stresses out, from context. A text and, subsequently, all its incapsulated individuals construct their meaning by means of many contexts, all carrying ideological, doxastic information and combining the unique and the personal with the social and the shared.

An important question arises from these theoretical formulations: How culture-specific is our aesthetic response? May different representations of the same mental schemata lead to cultural conflicts? The truistic answer is, unfortunately, yes, as too often seen in our recent history. The mental schemata vectorized by characters may be (and have been) read antagonistically, depending on potentially conflicting sociohistoric circumstances, cultural models and mentalities.

The epistemological consequences arising from these ideas are manifold and complex, and they are substantially documented in the metacritical texts of Patrick Colm Hogan, Frederick Luis Aldama, Lisa Zunshine, Uri Margolin, Jonathan Culpeper and Marie Laure Ryan. I would briefly discuss here only one implication, related to the speed and the accuracy of decoding mental schemata. We all know that fictional entities serve for both philosophers and less reflexive individuals the purpose of illuminating the properties of complete entities and actual worlds. The concept of character is a powerful metacognitive instrument *per se*, which mediates our better understanding and evaluation of our life and identity. It is particularly useful in its literary manifestations, because it provides an immense repertory of mental scripts and schemata to be used for a better understanding of our actual life. This extraordinary archive of wisdom opens in front of everyone

who has the disponibility and pleasure and, most importantly, *time* to contemplate a fictional world. We have acknowledged that a fictional text may trigger a cultural conflict, but, at least, when we read literature, when we are introduced to a literary character, we have time to think and discern and work with moral values like tolerance or respect. But the situation waxes alarming when we look – as Arjun Appadurai does in his exceptional study *How Histories Make Geographies* – at the emerging ‘pseudo-narrative’ genres whose status is non-fictional, but which acquire fictionality very rapidly: blogs and social networks are just two possible examples.

Our cognitive and affective responses to characters are irreducibly complex. When we consume art and literature, we develop rich feelings for the characters we interact with. Theorists use concepts such as ‘identification’ (sympathetic, admiring, ironical etc. ) or, recently, ‘engagement’, ‘involvement’, ‘parasocial interaction’ etc. Typification, i. e. , the process of creating typical (social) constructions based on standard assumptions, is central to the process of comprehension and interpretation. If we wonder how culture-specific this process of typification is, the answers can be again very disconcerting. Generally, we comment upon human nature in terms of ‘archetypes’ – i. e. , sets of transcultural and transhistorical attributes – and ‘stereotypes’ – i. e. , ideological indexation of social groups; if archetypification unites cultures and individuals, the stereotypification is too often derogative and harmful. Narrative characters play a major role in the distribution of these stereotypes, disseminating and too often inflaming the clichés, national, ethnic and gender prejudices. When literary texts display them explicitly, the biased stereotypical expressions can be identified and neutralised; but when they are subversively adisguised, they can be easily and indiscernibly internalized.

The problem gets more complicated – as Appadurai explains – with the emergent media (with narrative content) and the new populations of characters, so numerous that they tend to displace the old inhabitants of the fictional worlds. While literary characters are ‘slowly’ built in the readers’ minds, the characters in photos, posters, comics, films, videoclips or videogames request a quick imaginative reaction, leaving the recipients little time to rationalize the stereotypes. The emerging codes of representation change not only the semiotic condition of characters, but also their impact, their participation in our lives. When multiple codes are combined (as is the case with films, videoclips or digital artistic experiments), characters develop superior degrees of sensory presence or concreteness. They arrive in our lives and minds at a fantastic speed of transfer, on paths of circulation that did not exist before, they are obsessed with instantaneity and ubiquity. Their greater power to mesmerize and viral dissemination may be poisoned gifts – they may stir cultural conflicts. That is why we should be cautious and continue the conceptual investigation of (fictional / factual) narrative character, as a strategic form of intercultural prophylaxis.

Post scriptum, we should only say that it is difficult to predict the the future of the concept of ‘character’ and its artistic instantiations. My short exposition proves that the concept in discussion is indeed antifragile (as Nicholas Taleb would say), open to semiotic change and metamorphosis, ready for a multidimensional reinvention.

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## Cultural Impact and an Intimate Partner Aggression in African Societies: A Comparison of Rwanda and South Sudan

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### Abstract

The study investigated the role of cultural impact on South Sudanese and Rwandan women who nowadays reside in the diaspora in Finland and Belgium. It explores the cultural violence against women before and after the 1994 Rwandan genocide against the Tutsis, and after the independency of South Sudan. This argument is presented through an analysis of existing literature and documents; and through interviews with 341 respondents (166 men and 175 women) belonging to the Rwandan diaspora in Belgium and in Finland; and 420 participants (302 females and 118 males) married, divorced, single mothers in South Sudan. The results show that women and girls in South Sudan continue to be at risk of violence from cultural impact more than Rwandan women. Poverty, education, and insecurity play a huge role in promoting aggression against South Sudanese women.

**Keywords:** Cultural, Intimate Partner Aggression, woman, African societies, Rwanda, South Sudan.

### Introduction

Every Society or group of people in the world has its own social way of life, guided by the cultural norms and beliefs. The cultural norm regulates and controls the behavior of people (Wadesango, Rembe & Chabaya, 2011). In the twenty-four years ago, Rwanda has become infamous for political turmoil and ethnic conflict (Gall, 1998, p. 360; Hinga, Kubai, Mwaura, & Ayanga, 2008, p. 49). South Sudan as a new country, violence against women is still rampant in the homes and the refugee camps (Elia, 2007). Historically, and culturally, the African women have always been oppressed, discriminated against because of the notion that they would become only wives and mothers (Adekunle, 2007, p. 8; Rosaldo & Lamphere, 1974, p. 24). For instance, in Rwanda, women have received very little education in pre-genocide. Girls made up 45% of primary school students, but by secondary school, boys outnumbered girls 9 to 1. By university level, that disparity had risen to 15 to 1. Thus, Rwanda has many illiterate women who did not have a chance to go to school. They have to be at home doing hard labor and looking after cattle (Rosaldo & Lamphere, 1974, p. 34; Human Rights Watch 1996; Rwomire, 2001, p. 101 & Katongole, 2002, p. 178). In South Sudan, women are forced into marriage, marrying when they are very young, have sexual harassment, and they do not have their own properties, and they cannot get child custody (HSBA, 2004). Throughout the world, cultural traditions pose obstacles to women as less important than men, less deserving of basic life support, or of fundamental rights that are strongly correlated with quality of life, such as the right to study and the right to political participation (Nussbaum & Glover, 1995, p. 2; Vorster, 2004, p. 177). In addition, cultural norms and attitudes in many African societies such as Rwanda and South Sudan, contribute greatly to relegating girls to the position of second-class citizens with little say in matters of sexuality. In addition, in some African societies, women are socialized to the humble, submissive and they are brought up to believe that men have the right to dictate them (Hinga et al., 2008, p. 4). Thus, in many African societies such as Rwanda and South Sudan, the gender hierarchy is manifested in family relationships, inheritance laws, and customs; valuations of woman's work and its general invisibility; and the power to make decisions in society; the family, workplace, religious and cultural institutions (Mikkola, 2005, p. 13).

Furthermore, in Kinyarwanda (language), the word for man is "umugabo" which can be used to refer to someone who is courageous, responsible, daring, decisive and self-assured. The word for woman, however, is "umugore" which can have just the opposite meaning. Rwandan men use the term ironically in the context of a person's idea not having value; like "women's ideas" meaning that women cannot give good ideas (Rakocsy, 2004, p. 28). In most African societies, every child boy, on marriage, receives from his parents a matrimonial title which is a piece of land on which to build a dwelling house, another piece of land for the young couple to farm. He receives cattle and food for consumption. However, the child girl does not have such rights (Ntampaka, 1997, p. 12; Ayisi, 1979, p. 34). According to the Rwandan constitution, article 16,

stipulates that the state shall ensure the elimination of discrimination against women and also ensure the protection of the rights of the woman, child and ethnic background (Republic of Rwanda, 2018, p. 12). However, in many African countries, like in Rwanda evidence of a survey shows that parents prefer boys; a family that has two sons may decide that they have no need for further children since they do not really value girls. A family with two girls may, however, decide to go on having children in the hope of having a boy (Vorster, 2007, p. 186; Mikkola, 2005, p.13).

### ***Definition of Culture***

Culture is described as heterogeneous, fluid, shifting, emergent, procession, and other such descriptions which aim to capture indeterminateness about the idea (Fox 2011). The culture of a people may also be defined as the sum total of the material and intellectual equipment whereby they satisfy their biological and social needs and adapt themselves to their environment. It includes knowledge, belief, art, law, morals, customs, and all other capabilities and habits acquired by man as a member of society (Ayisi, 1979; Murphy, 1989, pp. 26–27). It is like the air we breathe which cannot be seen, but we need it for our daily life. People are attached among themselves based on cultural perspectives, meaning to what they see and hear (Malsumoto, 2007). However, it is through our invisible culture lens that we judge people's behavior to be truthful, rude, and intelligent (Soetan, 2001). Behavior-based on cultural perspectives mostly creates inequality e.g., a woman cannot be a chief, resulting into men dominance of policies concerning social, political policies, economic and social structures in hierarchical society which indirectly cause suffering to women (WHO, 2015). Culture is the logic by which it gives people guidelines how to live in their own society. Cultural values are a behavior of specific group learned from parents, siblings, peers and others who share the same culture (Valsiner, 2007). It has a significant role to play in all societies (Murphy, 1989, pp. 24–31; Rwomire, 2001, p. 55; Katongole, 2002, p. 204). Culture may also have an impact on the life cycle of the society and culture may affect family structure, patterns of influence among family members, relations with others, role performance and responsibilities, marriage, work, communication patterns, living and consumptions, as well as health and illness behavior (Rwomire, 2001, pp. 56–57).

### ***Cultural impact on African women- Aggression***

In the seventy years following the adoption of the Universal Declaration of Human Rights by the United Nations General Assembly in 1948, scholars have embraced predominantly ethical relativist stance toward the idea of gender equality as a universal concern for all cultures (Fox 2011). Due to lack of education, culture became the fuel that is fueling aggression in most of the African families, and societies (Deater-Deckard, & Dodge, 1997). Intimate partner violence can be in the form of physical, sexual, economic, cyber or psychological aggression regardless of gender (Fearon, 2003). Aggressive styles are also subject to developmental changes during the life course (Björkqvist, 1994). As a result, there is no generalized single form of intimate partner aggression (Archer, 2000). Traditionally and customary marriage in Rwanda and South Sudan, girls do not have the rights to decide or to choose their partners. Parents and family members play a huge role in assisting their daughter or son in selecting a marital partner or in giving approval to the relationship (Bujo, 1998, pp. 94–95; Adekunle, 2007, p. 105; Mbiti, 1990, pp. 132–133). Furthermore, under the colonial Civil Code, a married woman had no legal capacity unless she was authorized by her husband (Brosche, 2008; Ntampaka, 1997, p. 9). South Sudan cultural values which address marriage, child custody, inheritance, and divorce has long been a target for reform for women's freedom and full participation in social and political force (Offenhauer & Buchalter, 2005).

A study published by Rwanda's Ministry of Family and Gender Promotion in 2004 shows that over a five-year period, 32.4 percent of Rwandan women experienced verbal or physical abuse in their communities by someone other than their partners. In addition, the study shows that in the two years between 2002 and 2004, there was 6,440 known instance of gender-based violence, between 75 and 80 percent of which were perpetrated against minors. Furthermore, Human Rights Watch also reported that Rwandan women who have experienced sexual violence are unfavorably affected by isolation and trauma as well as by the societal stigmatization of being rape victims and of persons living with HIV/AIDS, and may as a result of these pressures be forced into prostitution (UNHRW, 2007). The young children are being raped in increasing numbers at secondary schools, and for a woman to get the job, she has to perform sexual intercourse with a male boss.

But due to male physical superiority and aggression against women creates enormous long-term physical and psychological consequences (Tracy, 2007). A Rwandan 1998 national survey by the Ministry of Health revealed that three out of every four households are girl children; this obviously places them in a higher risk of HIV/AIDS infection (Hinga et al., 2008, p. 57).

### ***Situation of Women in African societies***

In Rwanda and in South Sudan for a boy to get married, he has to pay a lot of both money and livestock (Beswick, 2001). Women are sold to other families in the name of marriage (Beswick, 2001; Bubenzer, & Stern, 2011). After marriage usually, a new family is formed and at the sometime sex differences roles based on cultural perspective emerged (Costa Jr, Terracciano, & McCrae, 2001). Females and males differ in some ways and are similar in others (Halpern, 2013). Nowadays, some foreign cultures which brought after indecency of South Sudan have restructured the gender roles (Jok, 1999). Upon Rwandan or south Sudanese father's death or retirement from active labor, his land and property are traditionally divided between his sons. The eldest surviving son is expected to take care of his mother and any unmarried sisters after his father's death. While wives and daughters have not formally been prohibited from inheriting, in practice inheritance by women has been difficult (Kahne & Giele, 1992, p. 53; Mbiti, 1990, p. 140). According to Family Law in Rwanda and in South Sudan, property is collectively owned, and its exploitation is a matter for the family. Each household has to produce enough for its own needs and to contribute to group expenditure. Each household must have land to farm in every season, land on which to build a dwelling house. However, access to the rights of enjoyment of a family asset is gained by way of inheritance. Division is made within the family according to the wishes of the deceased, not necessarily with a view to equality as between heirs. Daughters acquire no rights to immovable property (Ntampaka, 1997, p. 4; Mukangara & Koda, 1997, p. 71; Rwomire, 2001, p. 96 and Hinga et al., 2008, p. 54). The reason that daughters do not inherit immovable property from their parents is the understanding that they got married, moved away, and spent most of their lives in their husbands' families (Rwabangira, 1996, p. 25; Rwomire, 2001, p. 96). Although women had limited rights to land and other economic resources, they were engaged in agriculture, doing heavy labor to produce for their household's consumption (Rwomire, 2001, p. 95). Even though married women work hard on the land and produce harvests, they do not have control over their income, their labor productions are distributed in the large community, and it is often used to support of male prestige (Human Rights Watch, 1996; Rwomire, 2001, pp. 95-969). Traditionally and culturally, African mothers have a huge role for her child's acquisition of health, food, education and her child's positive attitude towards the social behavior (Richard Parker, 2009). Almost in African countries, agriculture is the backbone of the Rwanda and South Sudan's economy (Hinga et al., 2008, p. 93). Many rural women do not benefit from agriculture because they are deprived of the right to make decisions and they are denied the right to control income from agricultural products, especially cash crops (Mukangara & Koda, 1997, pp. 28-29; Rwomire, 2001, p. 99 and Adekunle, 2007, pp. 9-14). Thus, this reveals how some African culture and customs have given men dominant power over women (Adekunle, 2007, pp. 107-108). According to study carried out by USAID (2005) shows that many traditional practices in Rwanda are not compatible with the constitutional guarantee of the equality between women and men. Recent elections resulted in 63.8% women representatives in the Chamber of Deputies, the highest percentage in the world (United Nations, 2013). However, the research says that compared to the executive branch, the Parliament is weak. Many female parliamentarians lack the political background, training, and experience of their male colleagues. In the spirit of constitutional guarantees, the justices sector has not been adequately educated about changes in the laws to protect women's rights, or about how to achieve gender equality in practice (Devlin & Elgie, 2008).

### ***Traditional Marriage in Rwanda and in South Sudan***

South Sudan is one of the most ethnically and culturally diverse country in the African continent (Bubenzer & Lacey, 2013). It has a diversity of social norms and even unique livelihood on a national stage (Colantonio, 2009). Culturally marriage is considered as a union beyond the two individuals but it bonds the two families together (HRW, 2013). In some African countries, death is believed to be contagious. In the case of the husband's death, a widow's impurity is removed when she has sexual relations with the chosen heir, who is often a brother of her husband (Quinn, 2014; Rwabangira, 1996, p. 27). The act of purification with a chosen heir is not necessarily the wedding night of a new marriage. Rather, it is the physical reaffirmation of the position of a woman married into a family. She still has the rights of a wife, not only to land, but to belong and to be respected as a woman in her home (Jackson & Karp, 1990, pp. 99-101). Whoever marries has to know that the woman does not belong to the husband only but also to the lineage (Bujo, 1998, p. 152). Like in some African societies, sometimes a Rwandese woman may marry the widow of a deceased brother even when he has another wife. This kind of marriage is called "levirate" that a man is inherited his brother's widow (Ayisi, 1979, p. 8; Murphy, 1989, p. 86 & Rwabangira, 1996, p. 27).

In South Sudan where there are more than 64 ethnic groups, reflecting that marriage is conducted in different ways. First, marriage may happen through the choice of family, especially mothers choosing a girl for their boy (Mikaya, 2010). In which parents control marriage decisions of their sons and daughters, and organize marriage on behalf of their children (Juuk, 2012). This kind of marriage is in line with cultural norms, in which decision made by parents are strict, final and culturally

binding (Kasongo, 2010). The second type of marriage, sometimes a girl is taken by force where ever she is found, especially during traditional dance, or at marketplace (Ouattara, Sen & Thomson, 1998) Thirdly, some nomadic tribes of South Sudan traditionally have a system of compensation that is giving away their own sister or daughter for killing someone during cattle raid (Shanti Risal, 2013). Traditionally South Sudanese marriage is like selling out your own daughter to another man of a different clan (Beswick, 2001). However, the ways marriages are conducted in South Sudan differ from one tribe to another based on cultural and traditional perspectives (HRW, 2013).

### ***Violence against women in African societies***

In most of South Sudanese ethnic groups culturally violence against married women is seen by many to be appropriate (Jok, Leitch & Vandewint, 2004). Due to poverty, most men lose control over their families; they get frustrated and turn to drinking alcohol, which results in men physically, abuse their women (Gershowitz, 2009). Based on most of South Sudanese culture it is acceptable for a husband to discipline his wife and children. And women who are physically assaulted or raped are extremely unlikely to report it to anyone (IRC, 2012). Newly married women will try to adjust themselves to that family (Beswick, 2001). New family shapes new married girl's minds while learning new skills, shifting relationship, the emergence of different language and ideas (Williams, R., 2011). However, addressing all forms of discrimination and violence against women should be a global demand (UNICEF, 2015).

Although divorce is legally possible in Rwanda and in South Sudan, it is difficult for a woman to obtain it. Traditionally divorce is discouraged and rare because through marriage extended family ties are created (Carbone & Brinig, 1990). Divorce means not just separation of a couple but the dissolution of bonds between members of the extended family (Duany & Duany, 2001). Families and tribal elders will seek to deal with marital problems without resorting to divorce. This has both positive and negative consequences for the married couple (Beswick, S., 2001). With this type of culture means gender-based violence and protection violation in South Sudan are driven by a culture of silence and stigma. However, divorce procedures vary among tribes, for example, in Kakwa tribe the couples must appear before chief in a change of court, to be granted with a divorce certificate. (Keltner, & Robinson, 1996).

### **Method**

#### ***Sample***

A total of 761 participants participated in the study, 420 (302 females and 118 males) in South Sudan; and 341 respondents (166 males, 175 females), 50 from Finland and 291 from Belgium, participated in the study. In South Sudan, the data collection was conducted both in urban as well as in rural areas, primarily the Equatorial region that is Juba the capital city of South Sudan and Yei state, both in Central Equatoria. South Sudanese participants, some of them are married, divorced, and single. In Belgium and Finland, the respondents had come either as refugees or on other grounds after the 1994 genocide. At the time of the interview, they were staying in 13 different locations in Belgium and 14 locations in Finland. The participants were selected according to the following criteria: They had to be above 20 years of age, they should be native Rwandans; they should speak the local language, Kinyarwanda, and have a residence permit.

#### ***Instrument***

The data has been collected by using a paper, pencil, and questionnaire, distributed to individuals, both male, and females, including people working with government, international and national NGOs in the Republic of South Sudan. In Finland and Belgium, interviews included several parts related to experiences in 1994 genocide against Tutsis and its aftermath. In the present study, the participants were also interviewed about aggression and violence against women before and after the 1994 genocide, cultural impact in their marriages, families and at their workplaces.

#### ***Procedure***

The questionnaires were dispatched in 27 different locations of Finland and Belgium. Narrative interviews were conducted in local languages Kinyarwanda and French. The data were collected during 13 months in the period of 1.8.2015–30.8.2016. In South Sudan, data was collected in Juba city and Yei state, which located 100 miles South West of Juba the capital city for South Sudan State.

#### ***Ethical considerations***

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

on Research Integrity (2012). The respondents were informed of the purpose and procedure of the study. They were aware of that their participation was voluntary and that no consequences would follow if they refused to participate in it.

### **Qualitative results**

Despite the apparent recognition of the positive role of education in human development, improving access to education is still difficult in many parts of South Sudan (Deng, 2003). Though the security situation remains stable in the capital city Juba, as an underdeveloped country should demonstrate and increase investments in human capital. Education should be the priority since the country is seeking to increase both economic growth and human welfare. But due to war, still there are some challenges of reaching universal policies of primary education to all (Sinclair, 2001). Concerning girl's education there is gender inequality in South Sudan while in Rwanda education is acquired by all, but poverty hinders many students to continue their studies. In South Sudan, sending children to school, girls are encouraged to marry early as a result; many die during intimate partner violence. South Sudanese government should do more in education and women empowering can protect them from intimate partner violence. Respondents argue that for South Sudan to develop and have a peaceful co-existence between men and women, government should develop a system of gender equality without discrimination, but only based on humanity. The government of South Sudan should promote Gender justice and ensure that men and women enjoy the same quality of life and the same rights before the law. According to the division of labor by gender, most of respondents from South Sudan and Rwandan in Finland and in Belgium say that men should be also responsible for maintaining the household, raising children, and preparing food, trading, working in the fields, getting firewood from the forest and water from the river. While Rwandans living in Finland and Belgium enjoy some level of economic and security, living as members of a visible minority may create stress. Many Rwandan men in Finland and Belgium continue to live as they were in Rwanda, and follow their culture. Some do not help their wives like cooking, cleaning of houses, and washing of dishes, thus, their families end up by separation. In addition, some Rwandan women also forget their culture, and try to live like western women and say that now they have their own rights, they have their own Bank account and money, that nothing they need from their husbands. Some South Sudan men simply do not have the money, but others spend their money on personal needs, consuming alcohol or supporting other wives. All in all, there is a big cultural difference from people of South Sudan and people from Rwanda in Finland and Belgium, because poverty, education, and insecurity play a big role on aggression against women in South Sudan.

### **Discussion**

Though the war has ended in South Sudan, culturally women's well-being and security of their children under husbands is still under threat. Men dominance over women is recognized in both countries, South Sudan and Rwanda. South Sudanese girls who refuse to marry a man chosen by her family is punished, beaten by relatives or put under police custody for long period without trial. This is contrary to Rwandan girl; she can be insulted, denounced from any help by her family but not put her under police custody. After the independence of South Sudan on the 11, July 2011, efforts to develop legal institutions, to promote the rule of law were introduced, but however, the respondents argue that the justice system should reflect traditional values and identities of the South Sudanese. Women and girls in South Sudan continue to be at risk of violence from cultural impact due to religious rituals. Polygamy is allowed in South Sudan while it is not allowed in Rwandan post-genocide, except in Islam or in traditional religious beliefs.

With regard to marriages, being single, especially among women, is considered strange and unacceptable in those two countries, the bride price nowadays comprises of both money and agricultural products with some few livestock. Marriage in Rwanda is a social institution that is accorded much respect and dignity but however, it is expensive, and some poor men have decided to remain singles because they cannot afford a bride price dowry (*inkwano*) and marriage party expenses. A dowry is an essential condition of validity of a marriage and of the legitimacy of children born of the union. However, it serves to the perpetuation of the power of the husband and the inequalities within the family (Ntampaka, 1997, p. 14). Some South Sudanese and Rwandan women are discouraged from seeking divorce for fear of being unable to refund the bride price (Mukangara & Koda, 1997, p. 38). However, poverty, discrimination, lack of human and legal rights, poor health conditions of South Sudanese women is widespread (Jok, 2011). South Sudanese women generally suffer from violence inflicted on them mainly by their intimate partners (Abramowitz, 1996).

### **Resources**

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## Exploring Teachers' Politeness Strategies in EFL Classroom Context

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### Abstract

The general aim of this research is to explore the ways in which teacher's politeness is being realised in a classroom setting. More specifically, this study takes a closer look at teacher's politeness strategies in an EFL classroom, wherein college students of an advanced level of English language proficiency participate. In this study, all teacher's utterances related to politeness were categorised according to their communicative purpose and the politeness strategy employed. In total, 68 teacher's utterances were collected and examined thoroughly. As the results of this small-scale study suggest, the teacher makes use of positive politeness more than twice as often as negative politeness strategies. Many of the positive politeness strategies serve as means of establishing or strengthening the already positive relationship with the learners: using humour and polite markers, addressing the students with their first names and providing indirect corrective feedback are just some of the numerous ways of contributing to a friendly atmosphere in the classroom. The findings of this study carry important implications for our everyday teaching practice: the theoretical underpinning and practical results suggest that in order to create a positive pedagogical climate in the classroom, it is recommendable for teachers to employ a variety of politeness strategies, e.g. when giving instructions or evaluating students' performance. This implies that raising awareness of the positive effects of using politeness strategies in class might prove beneficial to both teachers and learners.<sup>1</sup>

**Keywords:** exploring teachers' politeness strategies in EFL classroom context.

### Introduction

Politeness is a very broad term, comprising a wide range of conventions and rules of conduct - from proper greeting customs to non-verbal signs of respect. That said, it is interesting to note that the word 'polite' stems from the Latin expression '*politus*', which carries the meaning of "refined, elegant, accomplished," or, literally, "polished".<sup>2</sup> Generally, politeness is viewed as a set of rules for socio-culturally appropriate behaviour. When searching for a workable definition of the term 'politeness', the *Oxford Learner's Dictionary* offers the following two definitions: firstly, '*good manners and respect for the feelings of others*', and, secondly, '*the fact of being socially correct but not always sincere*'.<sup>3</sup>

What these two definitions have in common is the notion of 'the others' and of behaving 'socially'. It seems, therefore, correct to conclude that 'politeness is important for social cohesion and a sign of respect and affection for one's fellow human beings' (Rush, 2004). Metaphorically speaking, it could be stated that if words are the machinery of social interactions, then being polite serves as the oil that lessens the friction in social relationships.

However, since 'politeness' is such an abstract term, it is rather hard to study and analyse systematically. Therefore, this study will only focus on one dimension of being polite: the *linguistic politeness* (that is, politeness expressed verbally). More specifically, this study aims to analyse the concept of teacher's politeness in the context of an EFL classroom. In any educational setting, politeness plays an indispensable role – just as in any other social interaction, both teachers and students aim to develop a friendly relationship and work on their common goals in a positive atmosphere. As for the students, certain conventions related to politeness are expected automatically, such as greeting and addressing the

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<sup>2</sup> <http://www.etymonline.com/index.php?term=polite>

<sup>3</sup> <http://www.oxfordlearnersdictionaries.com/definition/english/politeness?q=politeness>

instructor properly. When it comes to the role of teachers, expectations regarding politeness are less obvious: as Peng and her fellow researchers note in their study, teachers naturally fulfil a more dominant role, 'as a result of their social status, knowledge and relative power' (Peng, 2014). This, however, does not mean that teachers should not adhere to the same principles of polite behaviour. Why and how exactly is teacher's politeness realised in a classroom setting are the main underlying questions of this study.

For the purposes of this small-scale research, a part of a lesson was recorded, in which interaction with a group of college students takes place. Subsequently, a part of the recording (approximately 10 minutes) was transcribed and thoroughly analysed. Before presenting the actual results of this study, I aim to revise the existing theories on politeness, from the socio-linguistic and pragmatic point of view. In order to provide the reader with better insight into the theoretical findings on politeness, a brief overview of relevant theories is included, followed by a short description of the practical framework of this research (methods of research and data collection). After presenting the results of the field research, the discussion and further recommendations for teachers in the EFL field will follow. In this research report, I aim to draw a general conclusion regarding teachers' politeness in the classroom context, with a specific focus on EFL learners in tertiary education.

## Theoretical framework

Politeness is one of the most important aspects of human communication: human beings can only exist in peace together if certain basic conventions of politeness are observed. As Jiang concluded in her extensive survey of the concept, politeness is beyond any doubt 'an important factor in human interaction'. (Jiang, 2010). From the socio-linguistic point of view, politeness can be defined in a number of ways. In order to provide a workable definition of the concept of politeness, in the following section two seminal works will be introduced and discussed further: Brown & Levinson's theory of 'face' and politeness strategies, and Searle's Speech Act Theory.

### 2.1 Brown & Levinson's 'Face' theory & politeness strategies

The concept of 'face' first emerged in pragmatic studies in the 1960s, originally coined by Goffman (1967). About a decade later, Brown and Levinson (1978) developed Goffman's notion of 'face' in more detail: according to their findings, all human beings communicate with the 'face' of the others in mind. The concept of 'face' is probably best described as 'respect that an individual has for him or herself' (Jiang, 2010). In order to communicate successfully, one should bear in mind that 'social cohesion depends upon awareness and consideration of the "face needs" of others' (Rush, 2004). In other words, observing the face needs of other people is one of the keys towards building friendly relationships and creating harmony in interaction.

In their seminal work *Universals of Language Usage: Politeness Phenomena*, published in 1978, Brown and Levinson distinguished between two types of face needs: a "positive face need" and a "negative face need". According to their findings, the positive face need includes 'the desire that the interactants' self-image be appreciated and approved of', while the negative face need is best defined as 'the basic claim to territories, personal preserves, rights to non-distraction, i.e. to freedom of action and freedom from imposition' (Brown & Levinson, 1987). In simple terms, the negative face need is denoted by "deference", while "solidarity" signifies the positive face need.

Keeping the above-mentioned concept in mind, politeness in interaction can thus be defined as 'the means employed to show awareness of another person's face' (Yule, 1996). In human interaction, it is unavoidable that speakers utter things which present a threat to another's self-image: such an utterance is known as a "face threatening act" (FTA). However, as a result of the awareness of other people's face needs, interactants can also opt for a "face saving act": to 'say something to lessen the possible threat' (Yule, 1996).

Based on the concept of face threatening versus face saving acts, Brown and Levinson made further distinction between various politeness strategies, which fall into two main categories: "positive politeness strategies" and "negative politeness strategies" (Brown & Levinson, 1987). According to Holmes, positive politeness 'attends to a person's positive face needs and includes such speech acts as compliments, invitations and greetings. It expresses good-will and solidarity.' (Holmes, 1995). Negative politeness, on the other hand, 'attends to a person's negative face needs and includes indirectness and apologies. It expresses respect and consideration.' (idem).

### 2.2 Searle's speech act theory

In the 1960s, building on previous theories on the functions of speech by Austin (1962), Searle developed what became known as the Speech Act Theory. Based on Austin's claim that behind every utterance, there is a clear communicative intention, Searle (1969) divided speech acts into five main categories:

Declarations (speech acts that change the world via their utterance)

Representatives (speech acts that state what the speaker believes to be the case)

Expressives (speech acts that state what the speaker feels)

Directives (speech acts that speakers use to get someone else do something)

Commissives (speech acts that speakers use to commit themselves to some future actions)

These five types of speech acts all have a general performative function; in other words, people aim to 'perform actions via those utterances' (Yule, 1996). Firstly, in using a declaration, the speaker changes the world via words. Secondly, in using a representative, the speaker makes the words fit the world of belief. The third category of speech acts, expressives, are used to express speaker's psychological states; in using an expressive, the speaker makes words fit the world of feeling. The fourth type of speech acts, directives, can be either positive or negative, as they express what the speaker wants; in using a directive, the speaker attempts to make the world fit the words via the hearer. Lastly, commissives express what the speaker intends; in using a commissive, the speaker undertakes to make the world fit the words via the speaker.

### **2.3 The role of teachers' language in EFL classroom**

The role of every modern teacher goes far beyond purely transferring knowledge. Nowadays, all teachers are expected to contribute to the overall development of their learners, language teachers being no exception. As Peng et. al. (2014) put it, 'the role of teachers is supposed to be a patient motivator, a helpful facilitator and a positive counsellor' (Peng, 2014). Therefore, it can be safely stated that the influence of the teacher on learners' development is great and often far-reaching. In the EFL context, the teacher and his linguistic choices play a role of even greater importance. Why and in what ways will be further explained in the following paragraph.

#### **2.3.1 the importance of teachers' language**

In the past few decades, numerous studies have shown that teacher's language plays an especially important role in a language classroom. In the language classroom, the teacher does not only play the role of the facilitator of learning and the class manager: here, the language input provided by the instructor plays a crucial role for the learners' uptake and thus contributes to their successful language acquisition. The latest research findings underpin this view, emphasising 'the importance of teacher's language, both for the management of classroom and in the process of acquisition' (Nunan, 1991). That said, it becomes clear that EFL teachers and their language usage can be considered a crucial aspect in acquiring the target language.

In the communicative approach towards language teaching, English functions not only as the target language, but also as the main means of communication and interaction. This has got natural consequences for the teachers' role as well – as Peng et. al. (2014) points out, 'EFL teachers are the models for the students to imitate while'. Furthermore, she notes, 'their language is the most important source for students to gain the knowledge of the language' (Peng et. al., idem). Again, it is clear that the role and importance of teacher talk is not to be estimated, especially in regard to the EFL context.

#### **2.3.2 politeness and Students' expectations**

Another important aspect of classroom interaction that must not be overlooked are the students' expectations. That teachers and instructors all around the world are expected not to offend the students in any way speaks for itself. However, when it comes to teachers' politeness, greater differences might be found, largely depending on custom and cultural context. In a recent survey carried out amongst college students in Indonesia, the researchers found out that 'most students agree that lecturers should be polite in delivering the instructions or feedback for students' (Agustina, 2016)

Furthermore, the aforementioned research confirmed that 'most students agreed on the idea that lecturers who frequently use polite utterances build relationship that is more positive with the students' (Agustina, 2016). It can thus be concluded that students' expectations play an important role in the mutual relationships and atmosphere created in the classroom.

#### **2.3.3 power distance**

Last but not least, the power distance between participants in any kind of discourse has important implications for the way people communicate. As for the classroom setting, the relative power distance between the teacher and the students is strongly influenced by the cultural context. As Hofstede's research into the dimensions of culture (1991) has shown, there

are considerable differences in power distance between the countries of the Western Europe, and, for example, countries in Asia or Latin America.

Without going into too much detail into Hofstede's cultural models, it should suffice to say that the Netherlands is one of the countries with the lowest power distance in the world. This seems to be clearly reflected in such strongly hierarchical relationships as the teacher-learner relationship. As a result of the low power distance in the Dutch context, the gap between the teacher and the learner is relatively small, certainly compared to countries such as China or Indonesia, where numerous studies of politeness in the classroom have been conducted in the past decade, with varying results.

### **Field research**

The main aim of this study is to conduct a qualitative evaluation of aspects of verbal politeness in teacher's interactions with EFL students, in their daily classroom setting. The main focus lies on linguistic politeness and the employment of politeness strategies by the teacher / researcher. Since the linguistic expressions of politeness are often accompanied by non-verbal actions, these will be indicated in the lesson transcript when necessary (in brackets). The following sub-sections provide more detailed information about the setting in which the study was conducted and the broader context of the school, followed by the methods of data collection and data analysis employed during the research process.

### **Context of the research**

The practical part of this research was carried out at the Minor English Language and Culture in Eindhoven. The courses offered at the Minor English are taught fully in English, by native or near-native teachers of English as a Foreign Language. The language courses are offered at three subsequent language proficiency levels: intermediate, advanced and proficient. For the purposes of this study, a class of advanced students was chosen. The course selected for recording the data is called Integrated Skills, which is a general English course focusing mainly on grammar, vocabulary, listening and reading skills.

The above-mentioned course is open to 3<sup>rd</sup> and 4<sup>th</sup>- year students at any of the institutes for tertiary education in the Netherlands. The majority of students participating in the courses follow a major at the Fontys University of Applied Sciences; however, international students or students from other universities occasionally apply, too. The age of the students participating in this course lies approximately between 19 – 25 years old. The teacher/researcher involved in this study is a non-native speaker of English, with a near-native level of language proficiency. She falls into the same age range as her students (20-30 years old) and has got less than 5 years of teaching experience.

### **Data collection method**

The method used for data collection in this study was audio recording the daily teaching practice in a classroom of advanced EFL learners. The data collected for the purposes of this study consists of an audio recording of approximately 30 minutes. The recorded lesson took place on 6 December 2016. That day, 12 college students aged between 18 - 24 participated in the EFL lesson. For the purposes of this study, a part of the lesson (app. 10 minutes) was fully transcribed and analysed further.

### **3.3 Data analysis method**

In order to categorise the teacher's utterances into classroom speech acts, an existing study by Jiang, carried out in a Chinese EFL classroom in 2010, has been selected as a model. According to Jiang, teachers' classroom utterances can be attributed to one of the following roles of a teacher: instructional, motivational, evaluative, and managerial. Based on this division, she argues, 'all classroom speech acts can be categorised according to these functions' (Jiang, 2010). For the purposes of this study, the researcher used the above-mentioned division of speech acts. All the teacher's utterances related to politeness, extracted from the classroom recordings, were placed into one of the four categories proposed by Jiang:

Instructions  
Motivation  
Evaluation  
Classroom management

Subsequently, all the teacher's utterances were analysed according to the Brown and Levinson's politeness theory and placed into two tables: one for the acts of positive politeness, the other for all examples of employing negative politeness (see Table 1 and Table 2 in the section Results). Besides categorising teacher's utterance in this way, qualitative analysis

of some of the utterances is included, as a way of providing more in-depth insight into the various ways of using politeness strategies in the classroom. A more detailed analysis of all findings mentioned above can be found in the Discussion section, followed by limitations of this study and a general conclusion.

## Results

From the classroom recording made on 6 December 2016, approximately 10 minutes of classroom interaction were transcribed in full and, subsequently, analysed in detail. The transcript can be found in Appendix 1. Next, the total number of 68 teacher's utterances were categorised into one of the four key categories proposed by Jiang (2010). One extra category – 'Personal questions/remarks' - has been added by the researcher, for utterances that did not fit any of the pre-defined categories. The overview of all teacher's utterances can be found in Appendix 2. Lastly, the utterances were further sub-divided into instances of positive politeness strategies (see Table 1 below) and negative politeness strategies (see Table 2 below). In both tables, the markers of either positive or negative politeness strategy are marked in bold. The various functions of these markers is further explained in the following chapter, 'Analysis and Discussion'.

### 4.1 positive politeness in teacher's classroom utterances

Positive Politeness
Instructions
(2) Let's start with... with Iman and Ronny, all righty? (3) I'm going to ask you to read through ... maybe, up till one gap each, something like that? (4) Ehm, we say... you see, all of it are phrases that belong together. So, what can you do with careers, professions? (5) Let's do it the right way, you can, you see, when thinking about the word that would most probably fit in, cross out the words that DON'T fit in. (6) We'll turn to the other side (7) Do we agree with that? (8) Okay, again, we need to ask someone for a ... second opinion. Lucy? (9) It sounds all obvious, and then you're like, 'I won't go for a simple answer, I will go for something posh.' But it can be a really simple word. (10) 'Physical?'
Motivation
(13) And we have to read the text, really, otherwise it doesn't make sense. (14) Don't worry, like, Ronny if you don't have all the answers filled in, we can do it together. (15) We can read through a part of the text first, and should we...should we...should we, say, disagree, we can negotiate the correct answer of course...just compare with someone else first. (16) All right. Where were we? (18) You know the trick by now –
Evaluation
(21) Mhmm (23) Exactly, pursuing a career, pursuing is the right word to use here. (25) A tendency, right! (26) Mhm. Okay, and number 3 was, as we agreed, to put it down to the fact that; (27) All right. (28) 'Destined', mhm. (29) difficult name, and Madonna, right. (30) You were hundred percent right! (31) I would say, well done! (32) So yes, all the other choices, again, would not be ... precise enough. (35) Yeah, you typically 'place' demands, well done, Victor. (36) Yes! Harm. That's the correct answer. (37) OK. (38) Interesting! (42) Very good. (44) Mhm. (46) Okay, that's quite interesting as well. (47) it was the right option. (48) I'm curious about the choices.
Classroom Management

(53) We need to ask second opinion, Andy, have you got so far? We're at four. (56) Ok, ehm.. maybe...Katy, because you have a nice reading voice, you can finish reading that paragraph. (57) Let's read on, one more paragraph. Melanie, 'He points out what' (59) Okay, stop there, you did a good job, and we'll ask Ken to finish off. (60) Okay, look back, please. We will come to you, Ronny, in a round, all right?
Personal questions/remarks
(61) Again, physical...haha' (62) Are you an only child, by any chance? (63) How many siblings do you have, Andy? (64) Only one, okay. Younger, older? (65) Ahh, nice. Is it fun? (66) Must be fun, having her friends around, tea parties and stuff, right? (67) yeah, it's nice you don't have that experience. (68) Haha, fair enough.

Table 1: instances of positive politeness

#### 4.2 negative politeness in teacher's classroom utterances

Negative Politeness
Instructions
(1) Well, I don't mind. Which one would you like to start with? (10) Can you say it again, that bit? (11) you can start with this one, up to the first gap. Can you read us through?
Motivation
(17) I hope the text got you a bit more interested in the story behind
Evaluation
(19) All right, that's your choice, then. (20) Maybe this exercise was a bit more difficult than the one we did last week. (22) you don't chase it, that means that you're really running behind it, you... (24) Hmm, at number 2, there is another choice that fits better ... (33) You had the same..hmm, I wouldn't agree on 7. (34) You don't 'plant', you... (39) It's a funny word, I'm looking at it now and...I wouldn't guess this one...you have a guess? (40)Converse is the right option, and I'm like, hmm. (41) Yeah, it doesn't sound right, right? (43) The answer is C, but it wouldn't be very obvious to choose this one. (45) Risks, I think, everybody can agree on.
Classroom Management
(49) So, try to fill in the Horses for courses, and tell us what your choice number one is...when we get there. (50) Well, read us through, and, maybe, Ronny will offer his...ehm...expertise when you're not sure. (51) Sven, your turn. We're at number 2. Read us through a bit, please. (52) Germaine, your turn. (54) Examples, and so on...Mandy? (55) And, moving on to the next? (58) go on, Melanie
Personal questions/remarks
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table 2: instances of negative politeness

#### Analysis & Discussion

In this study, instances of both positive and negative politeness strategies used in the EFL classroom were found. Various face-saving acts were employed by the teacher, often in order to lessen the negative effect of FTA's on students. In the

following two sections, qualitative analysis of the recorded data and the teacher's utterances extracted from it can be found, followed by a section in which the use and relative frequency of politeness strategies is compared and analysed further.

### 5.1 Positive politeness strategies

Various positive politeness strategies are frequently used in the classroom context, since the teacher usually wishes to maintain a positive relationship with the learners and establish a positive learning climate. As Agustina concludes in her study of classroom power distance, 'Positively, politeness inside the classroom can lead to a better lecturer-student relationship.' (Agustina, 2016) This can be achieved by attending to the students' positive face needs, e.g. by including compliments, using group markers and addressing the learners by their first names. Furthermore, the use of humour, e.g. making jokes or using the students' slang, belongs to this category. In analysing the teacher's utterances, the following strategies were discovered:

In-group markers (we, us, let's) – 'the teacher includes herself in the learning process, which will shorten the distance from the students' (Jiang, 2010)

*Examples:*

(2) **Let's** start with... with Iman and Ronny, all righty?

(6) **We'll** turn to the other side

(57) **Let's** read on, one more paragraph.

Expressions of orienting yourself towards the student's individual face (you know, you mean, right?)

*Examples:*

(4) Ehm, we say... **you see**, all of it are phrases that belong together. So, what can you do with careers, professions?

(5) Let's do it the right way, **you can, you see**, when thinking about the word that would most probably fit in, cross out the words that DON'T fit in.

(14) **Don't worry**, like, Ronny if you don't have all the answers filled in, we can do it together.

Modality (would you, could you, maybe, perhaps) – aimed at softening the directness of the request, making it sounds less like a command

*Examples:*

(3) I'm going to ask you to read through ... **maybe**, up till one gap each, something like that?

(50) Well, read us through, and, **maybe**, Ronny will offer his...ehm...expertise when you're not sure.

(56) Ok, ehm.. **maybe**...Katy, because you have a nice reading voice, you can finish reading that paragraph.

Expressions of praise or appreciation (good, well done, exactly)

*Examples:*

(23) **Exactly**, pursuing a career, pursuing is the **right** word to use here.

(30) You were **hundred percent right!**

(31) I would say, **well done!**

Indirect corrective feedback (repeating or rephrasing a word) – the teacher indicates what is wrong, without explicitly correcting the student's utterance

*Examples:*

(10) 'Physical?'

(28) 'Destined', **mhm**.

(33) You had the same..**hmm, I wouldn't agree** on 7.

Fillers (all right, ok, will you) – Leech's politeness principles: 'seek agreement, avoid disagreement' (Leech, 1983)

*Examples:*

(8) **Okay**, again, we need to ask someone for a ... second opinion. Lucy?

(16) **All right**. Where were we?

(60) **Okay**, look back, please. We will come to you, Ronny, in a round, **all right**?

Use of humour (haha, fun, nice) – according to *Strategy 8: Joke*, formulated by Brown & Levinson (1987), jokes are used for creating closeness or putting the hearer 'at ease' (Senowarsito, 2013)

*Examples:*

(61) Again, physical...**haha**'

(66) **Must be fun**, having her friends around, tea parties and stuff, **right**?

(68) **Haha**, fair enough.

Use of colloquialism, slang (yeah, right, like, so) – by using more informal language in class, teachers creates a friendly atmosphere; slang, jargon or colloquialisms can also serve to 'evoke all the shared associations and attitudes' (Abdulmajeed, 2009)

*Examples:*

(9) It sounds all obvious, and then you're **like**, 'I won't go for a simple answer, I will go for something posh.' But it can be a really simple word.

(40) Converse is the right option, and I'm **like, hmm**.

(41) **Yeah**, it doesn't sound right, **right**?

## 5.2 negative politeness strategies

As formulated earlier in this paper, negative politeness is oriented towards the student's negative face, taking his face wants in consideration, namely the desire not to be imposed on and to be left free to choose. In regard to the various representations of negative politeness, the following strategies were used:

Imperatives (stop here, please, find a word that, please tell me) – performatives, obligation statements, want statements

*Examples:*

(51) Sven, **your turn**. We're at number 2. **Read** us through a bit, **please**.

(52) Germaine, **your turn**.

(58) **go on**, Melanie

Indirectness (= do not impose) – shall we go on, who would like to come/start, can you show me

*Examples:*

(50) Well, read us through, and, **maybe**, Ronny will offer his...ehm...expertise when you're not sure.

(55) And, moving on to the **next**?

Ambiguity (hinting, being vague, using metaphor) – using indirect ways to hint at a mistake or inadequate performance, thus maintaining the student's face

*Examples:*

(33) You had the same..**hmm, I wouldn't agree** on 7.

(24) **Hmm**, at number 2, there is **another** choice that fits better ...

(34) You don't 'plant', you...?

Modality (shall, would, could) – in classroom, modal verbs are 'often used to maintain the students' negative face' (Jiang, 2010)

Examples:

(1) Well, I don't mind. Which one **would** you like to start with?

(43) The answer is C, but it **wouldn't** be very obvious to choose this one.

Hedges (perhaps, maybe, I think, I hope) – serve to maintain the students' negative face

Examples:

(45) Risks, **I think**, everybody can agree on.

(20) **Maybe** this exercise was a bit more difficult than the one we did last week.

### 5.3 Quantitative analysis of results

Besides the qualitative analysis of the teacher's utterances in terms of variety and type of politeness strategies, it is interesting to compare the frequency of both strategies. The following table illustrates the division of both strategies across utterances, together with their relative frequency, expressed in total numbers as well as relative percentages.

<i>Politeness Strategy</i>	Instructions	Motivation	Evaluation	Classroom Management	Personal questions/ remarks	Total %
Positive	9	5	19	5	8	46 68%
Negative	3	1	11	7	0	22 32%
Total number	12	6	30	12	8	68
Percentage	18%	9%	44%	18%	11%	100%

Table 3: Quantitative Comparison of the Use of Politeness Strategies

From Table 3 becomes clear that even though the teacher employs both strategies, the frequency of use differs quite considerably. In total, there are 46 instances of positive politeness and 22 examples of negative politeness use, representing 68% and 32% of all utterances respectively.

The above division of politeness strategies across utterances confirms the theoretical findings of Jiang (2010) and Peng et al. (2014), whose studies concluded that positive politeness strategies are generally used more often in the classroom setting. In this particular study, however, the difference in frequency of use is considerably bigger than in the two aforementioned studies, with positive politeness strategies being used more than twice as often as the negative politeness strategies.

As for the division across the various types of teacher's utterances, it can be concluded that, by far, the evaluative comments are used most frequently, constituting 44% of all utterances. Instructions and utterances related to classroom management are used equally often, both types representing 18% of all utterances. Motivation and other utterances constitute a minority, with 9% and 11% occurrence rate respectively.

### 5.4 Qualitative analysis of results

Positive politeness strategies are, by far, most often used in Evaluations (providing comments on students' performance), followed, in smaller numbers, by Instructions. In both types of utterances, the teacher uses numerous expressions of praise and appreciation, such as 'well done' or 'very good'. Furthermore, in-groups markers are used frequently as well, e.g. 'we'll', 'let's start' or 'together'. Some instances show the use of indirect corrective feedback, where the teacher avoids correcting the students' mistakes explicitly; instead, she chooses to hint at mistakes indirectly ('I wouldn't agree on 7...') or corrects

language mistakes implicitly, by simply repeating the word, but this time with correct pronunciation ('Destined, mhm.'). Modality is yet another strategy being employed by the teacher in order to create a positive pedagogical climate and encourage or activate the students, without imposing on them. Lastly, humour and colloquial expressions are employed quite often as well, as there are numerous instances of laughter, giggle or making fun of the students in a friendly way ('Must be fun, having her friends around, tea parties and stuff, right?'). Use of humour and the kind of language that is close to the students' own language seem to be extremely beneficial in creating a friendly relationship with learners, by reinforcing the shared background and thus creating a sense of closeness in class.

Negative politeness strategies are, generally, used less often in teacher's utterances than positive politeness strategies. The only category of utterances in which negative politeness strategies prevail are those related to Classroom Management. Looking at why is negative politeness more frequently employed in classroom management related utterances, it seems clear that time limitations play a considerable role in teachers' linguistic choices: naturally, producing short, direct utterances such as 'go on' or 'your turn' are more time-efficient than expressing these directives in full, complex sentences. This phenomenon is confirmed in the case study carried out by Jiang, in which she noted that 'the teacher doesn't want to spend much time in managing the class, so she uses the direct way to maintain the discipline and give procedure orders' (Jiang, 2010). However, what is noticeable about similar utterances in this particular study is that they are mostly accompanied and thus 'softened' by some of the positive politeness strategies, e.g. addressing the student with a first name ('go on, Melanie'), or followed by a polite marker such as 'please' or 'all right?'.

Another interesting aspect of negative politeness in the classroom context is the teacher's effort not to impose, as well as her avoidance of Face Threatening Acts. As for the former, this is typically manifested by modality ('Which one would you like to start with?') and indirectness, e.g. when giving turns ('And, moving on to the next?'). The latter is most often manifested through hinting and ambiguity ('You don't 'plant', you...?'), as well as the teacher's usage of a variety of hedges ('Maybe this exercise was a bit more difficult than the one we did last week.'). All the above-mentioned strategies are designed to maintain students' face and to allow them some freedom of choice within the natural restrictions of a language classroom and the teacher-student relationship.

### 5.3 discussion of results

One aspect that has proven rather difficult to analyse are the teacher's utterances that fall into the last category, 'Personal questions/remarks'. As noted before, this extra category has been added for teacher's utterances not directly related to the lesson's subject matter, such as personal questions ('How many siblings do you have, Andy?') or jokes ('Haha, fair enough.'). I believe that this extra category was required, in order to analyse all the utterances that are authentic, but not directly related to the language teaching or classroom management. It is, arguably, the authentic utterances (personal questions, little jokes), which reveal real interest in students' private lives or personal problems. Such utterances certainly contribute to the development of a positive teacher-student relationship.

All in all, the results of this study further confirm the earlier assertions of Peng et. al. that 'the adoption of politeness strategies shortens the teacher-student social distance, makes the class interesting, and in turn facilitates English teaching and learning' (Peng, 2014). I would argue that the atmosphere in the observed classroom is generally very friendly and positive, allowing for more personal discussions and inside jokes. On the other hand, since the students are treated with respect and are not imposed on by the teacher, they seem to react well even to rather direct commands and classroom directions. This can be explained by the fact that these direct commands are almost always accompanied by one of the positive politeness strategies, such as addressing the student with a first name, or adding either a compliment or a polite marker to the utterance.

### 5.4 Limitations of this study

Since language is a living organism, this study inevitably includes a number of teacher's utterances which combine multiple politeness strategies, and thus cannot be easily classified as one or the other. For example, in utterance (60) 'Okay, look back, please. We will come to you, Ronny, in a round, all right?', several politeness strategies are used at the same time: the utterance contains a direct command in the form of an imperative ('look back'), but at the same time utilises the politeness marker 'please', the group identity marker 'we' and a filler/hedge at the end ('all right?').

In the example above, the teacher employs both positive and negative politeness strategy, while taking both time restrictions and students' face into consideration. It is probably best to conclude that this utterance is constructed so as to have a maximum effect. A combination of politeness strategies in teacher utterances could, therefore, be seen as the most effective.

Despite the ambiguity of some of the utterances, it was necessary to attribute each utterance one major function, in order to categorise each utterance. This may have led to a slight oversimplification of the collected data. However, this was deemed necessary due to the limited scope of this study. Yet another aspect of politeness in EFL context that could not be fully researched are the general benefits of politeness for learners' language acquisition. Again, a more in-depth study, carried out on a larger scale, would be required in order to draw valid conclusions.

## Conclusion

The quality of being polite is an indispensable part of any human relationship: in order to interact and communicate successfully, all participants naturally adhere to certain norms and conventions of being polite. In order to build up good relationships and create a friendly atmosphere, people employ a number of politeness strategies, taking other people's face wants into consideration. In a classroom setting, the same rules and principles apply: students are expected to greet and address their instructors properly, ask for help or information in a polite way, or thank for provided guidance or feedback; similarly, teachers are expected to acknowledge their students' needs and face wants, never threaten their students' face and work towards a positive pedagogical climate in their classroom.

The main aim of this study was to analyse the politeness strategies used by the teacher in an advanced EFL classroom. The results of the study are expected to contribute to a better understanding of division of speech acts and use of politeness strategies in the educational context. The recommendations forthcoming from the analysis of the collected data are mainly meant to serve as a reflection tool, and thus contribute to an increased teacher's awareness and professional development.

Based on the revision of various politeness theories, it seems beyond any doubt that the quality of being polite is of great importance for social interactions and communication. The educational setting forms no exception: teachers generally aim to build up a friendly relationship with their learners, based on respect and attending to each other's needs. Numerous studies suggest that use of politeness strategies in class can have a positive effect on the teacher-student relationship, as well as the classroom atmosphere. It seems, therefore, of utmost importance that teachers employ a variety of politeness strategies, since their language use determines the classroom atmosphere and serves as a model for the students' future language usage at the same time.

This study focused on a groups of college students, with an advanced level of language proficiency, interacting with their lecturer in English. A selected part of the classroom dialogue was transcribed and thoroughly examined as a part of this research project. In total, 68 teacher utterances were analysed and put into one of the following categories: Instruction, Motivation, Evaluation, Classroom Management and Personal questions/remarks. As the in-depth analysis of the collected data suggests, the teacher made use of positive politeness strategies more than twice as much as negative politeness strategies. Positive politeness strategies were, by far, most frequently employed in evaluating students' performance. Negative politeness strategies, on the other hand, were most often used in utterances related to classroom management.

The last category, labelled for the purposes of this study as 'Personal questions/remarks', only included instances of positive politeness. Interestingly enough, none of the negative politeness strategies were employed in this particular category, which mainly consists of personal questions, friendly jokes or sarcastic notes. Since these utterances were often accompanied by humour, use of colloquialisms and the kind of language close to the students' own linguistic choices, I would argue that it is especially the personal, more emotionally loaded language that contributes to the positive atmosphere in the classroom, and fosters the establishment of a good teacher-student relationship.

All in all, having conducted this study definitely helped me to raise awareness of the importance and benefits of being polite in the classroom interactions, thus contributing to my personal and professional development. With this study, I also hope to enable other professionals in the EFL field to make better use of the politeness strategies in their lessons and build up stronger relationships with their learners as a result.

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## APPENDICES

### Appendix 1: full transcript of classroom interaction

#### Transcript ISK Lesson, CAE2, Tuesday 13 December 2016

*Classroom context:* 12 students (7 female and 5 male), aged between 18 – 24 years, 3<sup>rd</sup>-year university students

*Language proficiency level:* language course preparing the students for the CAE exam (upper-intermediate to advanced)

*Lesson material:* CAE Gold Exam Maximiser, Unit 8

*Classroom setting:* students sit in a U-form, which allows them to compare their answers, negotiate and help each other; the teacher sits behind the desk at first, but approaches the class and sits, rather informally, on one of the tables in the middle of the circle

*Note on transcription:* all students names have been changed for the purposes of this study, with only the initials remaining the same

*Coding:* the following colour code was used to identify the different types of utterances: Instruction / Motivation / Evaluation / Classroom management / Personal questions/remarks

*(Start of transcript)*

T: (01:05) Well, I don't mind. Which one would you like to start with?

R: 'Horses for courses'.

T. All right, that's your choice, then. (turning pages and students' mumbling about page numbers follows)

T: Don't worry, like, Ronny if you don't have all the answers filled in, we can do it together. We can read through a part of the text first, and should we...should we, say, disagree, we can negotiate the correct answer of course...just compare with someone else first. Maybe this exercise was a bit more difficult than the one we did last week.

T: (1:45 – 2:03) A::nd, ...? Let's start with... with Iman and Ronny, all righty? I'm going to ask you to read through ... maybe, up till one gap each, (intonation goes up) something like that? And we have to read the text, really, otherwise it doesn't make sense. So, try to fill in the *Horses for courses*, and tell us what you choice number one is...when we get there.

I: (2:04 – 2:05) (Iman starts reading). Eeehm...

T: (2:06 – 2:09) Well, read us through, and, maybe, Ronny will offer his...ehm...expertise when you're not sure.

I: (Iman starts reading at 2:07, so there is overlap with teacher talk) Eeehm, 'American psychologists have been looking into how a child...child's position in the family can...affect?

T: (2:12) Mhmm.. (teachers confirms the answer, the student keeps reading.)

I: keeps reading till 2:17 where she fills in the first missing word (wrongly)

R: immediately corrects the word without being asked

T: (2:37) Ehm, we say... you see, all of it are phrases that belong together. So, what can you do with careers, professions? ... [there is some thinking time given, but the teacher keeps hinting] ... (2:37) you don't chase it, that means that you're really running behind it, you...

I: (2:38) offers another word, with clearly rising intonation

T: talks from 2:39 to 3:00 ...Exactly, pursuing a career, pursuing is the right word to use here. Let's do it the right way, you can, you see, when thinking about the word that would most probably fit in, cross out the words that DON'T fit in. (2:55) We'll turn to the other side (turns to a student on the other side of the class) Sven, your turn. We're at number 2. Read us through a bit, please.

S: Ehm, okay. (3:00) 'According to... (3:13)

T: (evaluates the answer from 3:14 till 3:40) ... hmm, at number 2, there is another choice that fits better ...Ken? (Ken provides the correct answer) A tendency, right! A trend is something you follow, but a tendency is more, like, what you're...er...more inclined to do. Germaine, your turn.

G: Reads on from 3:41 – 3:50.

T: 3:51 We need to ask second opinion, Andy, have you got so far? We're at four.

A: (3:55) eerrr... which?

T: (looking expectantly)

A: (4:05 – 4:07) errr...errr...protective?

T: 04:08 Mhm. Okay, and number 3 was, as we agreed, to put it down to the fact that; that means something like to attribute it to the fact; you can also put someone down, that is more..err..negative meaning. So, 3 can be C only, and 4, B, protective. All right (4:33) Examples, and so on...Mandy? (a student starts reading).

M: (4:43 - ) 'Younger siblings, on the other hand, are more likely to be...eeehm...destined? (mispronounced)

T: Destined, mhm.

M: ...to take up more creatively based or outdoor-based occupations, such as landscape gardening, fashion, music and art, as...eeeh... (05:03, hesitates till 05:05 upon a difficult word to be filled in)... exemplified by Oscar Wilde, Yehudi Menu...Menu...Menuhin? (stumbles upon a difficult name)

T: (05:10) The teacher giggles, too, in an understanding way, and finishes the sentence. ...difficult name, and Madonna, right. (Both student and teacher laugh, (5:12 – 5:13) some other students join in.)

T: (5:14) You were hundred percent right! (turns to other students) Do we agree with that? I would say, well done! Five is you're destined to be something, and, exemplified means they are great examples of something. 'So yes, all the other choices, again, would not be ... precise enough.' (5:33). 'Five A, six D. (The teacher reads over the correct answers once again, then gives turn to another student). And, moving on to the next?

M: (5:40 – 5:56) Professor Leong's overall explanation is that 'parents typically...ehm...plant different demands on and have different 'ex..pec...tations? (rising intonation) of children, depending on their birth order.'

T: 5:57 'Okay, again, we need to ask someone for a... second opinion. Lucy?

L: (reluctantly) 6:00 I had the same....

T: (06:01) You had the same..mmhm, I wouldn't agree on 7. You don't 'plant', you (looking around the classroom for someone to offer the correct answer). Victor?

V: 'place?'

T: (06:06) Yeah, you typically 'place' demands, well done, Victor. 'It sounds all obvious, and then you're like, 'I won't go for a simple answer, I will go for something posh.' But it can be a really simple word. All right. Where were we? (turning to Katy)

K: (06:35) Parents of only children may discourage...(…) – student silent.

T: 'Physical?' (the student tries again with a little laughter from other students.)

K: ...or outdoor activities because they are more fearful of ... (….) – silence again

T: 'Again, physical...haha' (6:45 – 6:47) - there is some giggle, as the student stumbles upon the same word again, and both teacher and students laugh.

K: ...harm to their child.

T: 6:50 Yes! *Harm*. That's the correct answer. (the teacher reacts to the answer, and in an overtly enthusiastic tone confirms the answer). Can you say it again, that bit?

K: 06:51 (this time in a more confident way, somewhat louder) Physical?

T: OK. (some more giggling from 7:00 till 7:05). 'THAT, is in fact, and so on.' (the teacher hints at where the reading stopped and only then gives turn to the next student

T: (07:08) Ok, ehm.. maybe... (the teacher hesitates for a while, looking around the classroom) Katy, because you have a nice reading voice, you can finish reading that paragraph.

K: (7:14 – 7:22) That, and the fact that they get more time and attention from their parents than children with siblings, may be why only children are more likely to be academic/

T: (7:24 – 7:30) Interesting! Are you an only child, by any chance? (students shakes her head, the teacher looks around the classroom) Is anyone an...only...child? - the teacher asks an authentic question related to the topic, not checking the answers (the conversation turns from checking the exercise to a more personal discussion)

(There is some talk and laughter).

T: (7:35) How many siblings do you have, Andy?

A: One.

T: Only one, okay. Younger, older?

A: Ehm...very much younger, she is ten.

T: Ahh, nice. (the teacher laughs at the student's facial expression) Is it fun? (07:41)

A: Ah, it is...it is a little fun, yes.

T: Must be fun, having her friends around, tea parties and stuff, right? (students laugh). I am an only child, and then, you spend your childhood basically jealous of all the others having fun together, so, yeah, it's nice you don't have that experience. (08:01) Let's read on, one more paragraph. Melanie, 'He points out what'? (prompts the student to continue reading y providing the first few words, no direct command involved).

M: He points out how the...contrast?... often happens in larger families.

T: (08:15) It's a funny word, I'm looking at it now and...I wouldn't guess this one...you have a guess? (turns to another student)

S: Converse?

T: Converse! (confirmation, with a gesture) Meaning, the opposite. Converse is the right option, and I'm like, hmm. Yeah, it doesn't sound right, right? Here you see converse can be used as, about a conversation, or as the...the opposite. Very good. The answer is C, but it wouldn't be very obvious to choose this one. Ah, go on, Melanie.

M: 'As they have more children, parents become more open and relaxed, and that may allow younger children to take more...risks?

T: (08:56) Mhm (rising intonation, confirming the answer). Okay, stop there, you did a good job, and we'll ask Ken to finish off. Risks, I think, everybody can agree on. 11 A.

K: ...'If the first-born (ehm-hm) or only child wants to be a poet, that may concern parents. But by the fourth child, parents may not...mind as much.

T: (09:16) Okay, that's quite interesting as well. Mind, whether we mind or don't mind, it was the right option. 12 B. Well I hope the text got you a bit more interested in the story behind birth order, are you the youngest or the eldest, how many siblings you've got, stuff like that.

(students talk overlaps, the teacher joins in and then waits for a while before starting the next activity)

T: (11:15) Haha, fair enough. Okay, look back, please. We will come to you, Ronny, in a round, all right? *A career in graphic design*, the other paper. You know the trick by now – there were ten gaps, you had to come up with a word for all the gaps. I'm curious about the choices. Ken stopped the round, so you can start with this one, up to the first gap. Can you read us through?

(End of transcript)

## Appendix 2: categorisation of teacher's utterances

<p>Instructions</p> <p>Well, I don't mind. Which one would you like to start with? Let's start with... with Iman and Ronny, all righty? I'm going to ask you to read through ... maybe, up till one gap each, something like that? Ehm, we say... you see, all of it are phrases that belong together. So, what can you do with careers, professions? Let's do it the right way, you can, you see, when thinking about the word that would most probably fit in, cross out the words that DON'T fit in. We'll turn to the other side Do we agree with that? 'Okay, again, we need to ask someone for a ... second opinion. Lucy? It sounds all obvious, and then you're like, 'I won't go for a simple answer, I will go for something posh.' But it can be a really simple word 'Physical?' Can you say it again, that bit? you can start with this one, up to the first gap. Can you read us through?</p>
<p>Motivation</p> <p>And we have to read the text, really, otherwise it doesn't make sense. Don't worry, like, Ronny if you don't have all the answers filled in, we can do it together. We can read through a part of the text first, and should we...should we, say, disagree, we can negotiate the correct answer of course...just compare with someone else first. All right. Where were we? I hope the text got you a bit more interested in the story behind You know the trick by now –</p>
<p>Evaluation</p> <p>All right, that's your choice, then. Maybe this exercise was a bit more difficult than the one we did last week. Mhmm you don't chase it, that means that you're really running behind it, you... Exactly, pursuing a career, pursuing is the right word to use here. hmm, at number 2, there is another choice that fits better ...Ken? <i>A tendency</i>, right! Mhm. Okay, and number 3 was, as we agreed, to put it down to the fact that;</p>

All right.  
Destined, mhm.  
difficult name, and Madonna, right.  
You were hundred percent right!  
I would say, well done!  
So yes, all the other choices, again, would not be ... precise enough.'  
You had the same..mhm, I wouldn't agree on 7.  
You don't 'plant', you...  
Yeah, you typically 'place' demands, well done, Victor.  
Yes! *Harm*. That's the correct answer.  
OK.  
Interesting!  
It's a funny word, I'm looking at it now and...I wouldn't guess this one...you have a guess?  
Converse is the right option, and I'm like, hmm.  
Yeah, it doesn't sound right, right?  
Very good.  
The answer is C, but it wouldn't be very obvious to choose this one.  
Mhm.  
Risks, I think, everybody can agree on.  
Okay, that's quite interesting as well.  
it was the right option.  
I'm curious about the choices.

Classroom Management

So, try to fill in the Horses for courses, and tell us what your choice number one is...when we get there.  
Well, read us through, and, maybe, Ronny will offer his...ehm...expertise when you're not sure.  
Sven, your turn. We're at number 2. Read us through a bit, please.  
Germaine, your turn.  
We need to ask second opinion, Andy, have you got so far? We're at four.  
Examples, and so on...Mandy?  
And, moving on to the next?  
Ok, ehm.. maybe...Katy, because you have a nice reading voice, you can finish reading that paragraph.  
Let's read on, one more paragraph. Melanie, 'He points out what'  
go on, Melanie  
Okay, stop there, you did a good job, and we'll ask Ken to finish off.  
Okay, look back, please. We will come to you, Ronny, in a round, all right?\

Personal questions/remarks

Again, physical...haha'  
Are you an only child, by any chance?  
How many siblings do you have, Andy?  
Only one, okay. Younger, older?  
Ahh, nice. Is it fun?  
Must be fun, having her friends around, tea parties and stuff, right?  
yeah, it's nice you don't have that experience.  
Haha, fair enough.

## Musical Ear as an Advantage in Developing Language Competence

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### Abstract

Modern science has shown that cognitive processes related to children involved in art, in this case in music, are directly related to other cognitive processes in the brain. All the more widespread view is that music affects other mental processes, but we still have no insight into the way of how the process works. To perform certain tasks requires different levels of certain types of intelligence and in this paper we deal more with the development of musical intelligence in relation to linguistic intelligence. It is not the rule that distinct intelligences are always related to each other. Therefore, we can conclude that different forms of intelligence are relatively independent. Gardner (Gardner1993, p. 41) states that there is no reason for two or more intelligences not to overlap or correlate with each other and therefore there exists a lower or higher level of mutual correlation. Furthermore, he affirms that "music can be a strong link of cognitive processes, especially in young people" (Gardner, 1997, p. 9). The empirical part of the work deals with the research into the process of language competence acquisition in students who attend secondary music schools or music education, compared to students who do not attend the music schools. Through research we want to examine whether students who have been tested and have developed "a musical ear" accomplish better results in acquiring language competence (in English and the mother tongue) compared to students who do not receive any music education and whose "musical ear" has not been tested. Part of this research was conducted with elementary school students in Split and Zadar.

**Keywords:** music, musical ear, language, competence, achievement

### Introduction

To a certain extent we know what impact music has on the physical and mental development of young people as well as the positive impact it has on their awareness. Unfortunately, musical art has been neglected for years in educational system thus causing consequences in the development of young people. Therefore, we particularly emphasize the need to redefine the role of music as well as artistic and cultural subjects - areas in the educational system.

The balanced development of a young person implies, just like in science the cognitive component, so in art the concretization of sensory experience of productive and reproductive. Therefore, what concept and opinion is in science, in art it is intuition as the source of spirit. Science comprehends on the basis of theoretical principle and art on the basis of aesthetical, emotional and sensory principle. Music accomplishes this through its well- defined structure, order and system established between sounds and tones, as well as through other formative and expressive means in music, which, among other things, define music as an irreplaceable factor of constant intellectual joining of rational and irrational system of experiences and feelings.

### The impact of music

Music and the message that comes from a musical piece enrich and humanize reality, provoke children's imagination, brush their subconsciousness. It encourages transcultural and transtemporal communication evoking in recipients an aesthetic experience. Speaking of the phenomenon complexity, a phenomenon of aesthetic experience is perceived as a layered process in which emotional and rational components alternate (Ingarden, 1975; Tatarkiewicz, 1976; Spajic, 1989), "a work of art can be experienced, perceived, analyzed, understood and evaluated differently, which, among other things, is affected by some of the characteristics of individuals, the current mood of a recipient as well as his/her living in a particular social, cultural and historical context."

Speaking of education, music teaching should not only be the result of inspiration and talent, but as well the process of creative thinking, critical discerning, imagination, disburdening, problem solving, and many other mental processes. Today there is a significant research base which shows that teaching art is extremely important in the development of young people. Eric Oddleifson says that "curriculum in which 25 percent or more in a day is dedicated to art, ultimately gives young people a greater superiority" (Oddleifson, 1989, p. 47). Elsner explains that schools continually ignore art as a part of the overall curriculum, despite the fact that society evaluates art as one of the greatest human achievements.

Children who receive additional musical training or attend music schools have demonstrated the benefits and results in other areas as well, like having greater self-confidence, better social adjustment and positive attitudes. However, here we deal with the matter of involvement in additional musical activities which do not affect directly the development of intellectual personality, but can significantly improve self-esteem and encourage the development of the whole range of social and transferable skills.

Furthermore, it is known that music education significantly improves the nervous system and promotes the ability to learn. Every child can move rhythmically and experience music by various incentives, if it is encouraged to do so early enough. Dealing with music by playing an instrument develops motor skills, listening, concentration, precision and perseverance, connecting different contents with the recording, speech skills, communication, and memory. It creates new skills and improves old ones. Neural connections made during musical exercises enables the brain to function in other aspects of human communication.

Overy (1998) asks this question: "Can music really improve the mind?" and proceeds with presenting convincing evidences that the answer to this question is "yes". Research conducted by Spychiger (1993), in which children from 50 primary schools in Switzerland had additional musical teaching instead of other school subjects over a period of three years, has shown that the children kept up the pace with their peers in all areas of the school curriculum and had slightly better results in reading and grammar to their peers.

### **Correlation of music – mother tongue and foreign language**

The topic of integration of music and language abilities is not a new one. How much the "ear for music" or music ear is important for language learning was encouraged by research in this field as early as 30's of the 20th century, for example, Dexter & Omwake, (1934). Kwalwasser-Dykema conducted a study that comprised eight tests - tonal memory, quality discrimination, intensity discrimination, tonal movement, time discrimination, rhythm discrimination, pitch discrimination and melodic taste. Six of these tests proved to be important in explaining differences in the spelling abilities. A new study by Pimsleur, Stockwell and Comrey (1962) point to the correlation between the ability to acquire a foreign language and musical skills. Moreover, the results show that pitch differentiation is permanently and independently connected with the listening comprehension of a foreign language and probably of the mother tongue as well. It is believed that there is a correlation between discriminating types of tones and listening comprehension and interpretation of a language. Although research have shown that the most important factors in learning a foreign language are verbal intelligence and motivation, they conclude that reasoning, fluency and discrimination of pitch height have an effect as well.

Interesting studies have been carried out on the positive impact of music on cognitive development in areas that are not related to music and language. However, some of them emphasize the fundamental problems in this type of research; for example, Lamont (1998) points out that the process of music education for children is affected by a number of factors, including motivation of a child, parental support, general intelligence, perception of teachers of a child's ability, as well as perseverance and financial constraints.

### **Empirical part**

The subject of the research

The subject matter and the problem research is to examine the correlation and connection of music and language preferences. Therefore, this research examines the contemporary definitions of musical abilities in relation to language skills.

Hypothesis:

Students involved in music (attending music school) achieve better results in learning a foreign language and the mother tongue.

Musical ear significantly influences the development of other language skills.

Methods and sample surveys:

The study used questionnaires - created for this research:

The study included 326 students of the 7th and 8th graders of Primary Schools in Split and Zadar.

The conducted survey methods: description, comparison and analysis of the success results achieved by students in English and Croatian language.

**The result of the research:**

Table 1. The influence of music education on the results achieved in English language in the 7th grade students.

Above average	66,5 %	54,4 %
Average	26,1 %	24,0 %
Below average	7,4 %	21,6 %

Table 2. The influence of music education on results achieved in Croatian language in the 7th grade students

Above average	59,3 %	50,8%
Average	27,2 %	24,0%
Below average	13,5 %	21,6%

Table 3. The influence of music education on results achieved in English language in the 8th grade students.

Above average	85,5 %	63,1 %
Average	13,2 %	32,2 %
Below average	1,3 %	4,7 %

Table 4. The influence of music education on results achieved in Croatian language in the 8th grade students.

Results of the Croatian language pronunciation test	Attend music school (more than two years)	Do not attend music school
Above average	76,4 %	64,6 %
Average	21,2 %	29,7%
Below average	2,4 %	3,1 %

**Discussion**

The first category of students involve students who attend music schools or receive some other form of music education including the testing of basic musical preferences. It is implied that in this category students play a musical instrument and not just attend theoretical music education. The second category of respondents are students who do not receive any musical training nor are tested, which does not exclude the musical talent in some students from this category.

Thus, with this study and the results presented in the above tables, the evidences are obvious and undoubtedly point out to correlation between musical abilities and skills with abilities to acquire a foreign language to a greater extent as opposed

to the mother tongue. Furthermore, the results indicate that discrimination in pitch height (intonation) is permanently and independently connected with listening interpretation and comprehension of a foreign language and the mother tongue.

It can also be affirmed that there is a small but consistent link between audio and musical abilities pertaining to the domain of the mother tongue encompassing different age groups, which may depend on general intelligence. However, in this study case this variable is not included and thus cannot be confirmed.

The research results have confirmed both the hypotheses:

1. The study results have proven undoubtedly that students who attend music schools (play an instrument) have better preferences and achieve better results in learning a foreign language and mother tongue to students who do not attend music school,
2. The results confirm that musical ear significantly affects the development of other language skills.

### Conclusion

The ultimate goal is to search for the answer to many questions which are still open in this area. Today, the biggest progress is made in the area of neurology. The research partly have dealt with the differences between the brains of musicians and non-musician. It has been evidenced that music education brings about significant psychological and physical changes. Another branch of studies have focused to show the benefits of interaction of certain musical aspects with other fields.

In today's educational practice, teaching art objects does not shed light on cognitive sphere and much less on experience sphere, and not just because of reduced number of teaching classes, but because of bad program concepts. We see the solution in different approach to the organization of elective courses, extra-curricular and out of school activities. We place a student in the spotlight, an active and creative participant, with his interests and inclinations which are monitored and encouraged to achieve results. Certainly, it would not be advisable to encourage school to give more musical teaching at the expense of English and math classes, since it could cause decrease in standards achieved in these areas. Nevertheless, it is possible to exploit the potential of music as Spychiger (1993) did, so that, for example, teaching reading becomes more efficient through the benefit of musical teaching lessons.

In view of the evidences presented in this paper, it seems that the correlation between music and other abilities and skills is worthy of further research, and up to date results are exceptionally promising. It could be said that "Music" and "Language" are not completely independent mental abilities but are rather features of a complex series of processes, some of which are common and some are not.

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## Organisational Behaviour in International Tourism

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### Abstract

One of the most important branches of the tourist industry is the hotel industry. The hotel industry specializes in providing one of the most important (along with transportation) tourist services - accommodation services. In some cases, the provision of food services is included in the hotel business. Thus, modern hotel services are presented in the form of a package package for tourists. In recent decades, international tourism has made a giant leap, turning into one of the largest and most profitable sectors of the world economy. It accounts for 7% of total investment, 5% of all tax revenues and a third of world trade in services. International tourism has a huge impact on key sectors of the economy, such as transport and communications, trade, construction, agriculture, consumer goods, acting as a catalyst for socio-economic development. It provides employment for more than 250 million people, that is, every eighth employee in the world.

**Keywords:** hospitality industry , hotel industry, factors, organisational behavior.

### Introduction

Today, the hospitality industry is a powerful economic system of the region or a tourist center and an important component of the tourism economy. The hospitality industry consists of various means of collective and individual accommodation: hotels, hotels, motels, youth hostels and hostels, apartments, tourist shelters, as well as the private sector involved in the accommodation of tourists.

According to R. Baimer, hospitality is the secret of any caring service. Care, shown in relation to the guest, the ability to perceive the needs of the client, elusive, but so obvious features in the behavior of the employee. According to R. Baimer, the hospitality industry is a collective concept for the numerous and diverse forms of entrepreneurship that specialize in the market of services related to the reception and servicing of guests ... There is no list of all the main activities that it covers. But we can distinguish the following main areas: catering, accommodation, transportation and recreation (recreation).

The hotel industry as a type of economic activity includes the provision of services and the organization of short-term accommodation in hotels, motels, campsites and other accommodation facilities for a fee.

### Factors in the development of the hospitality industry

The hospitality industry is developing under the influence of a number of factors that can be divided into two groups - external and internal. External are determined by the impact of components of the surrounding reality, not related to the functioning of the hospitality industry. Internal factors are directly related to the specifics of the organization and operation of hospitality industry enterprises. External factors include: politico-legal, travel security, economic and financial, cultural, infrastructural, communication, demographic, trade development, new and emerging technologies.

Political and legal factors. If the state is interested in the development of the tourism industry, it is expressed in the general concept of priority development of the hospitality industry, the adoption of legislative and regulatory acts that stimulate and regulate the development of tourism and hotel industry, as well as in financial and economic measures to maintain and develop the infrastructure of accommodation, construction of hotels and development of industry hospitality.

Travel safety factor. As tourism develops, security issues take an increasing place. For tourists in developed countries, it has become the norm to expect from the government of countries interested in receiving guests, the implementation of appropriate measures to ensure the safety of life and health of tourists in places of rest, accommodation facilities and transport. Travelers are concerned about the sanitary condition of accommodation facilities and catering facilities in the countries visited.

**Economic and financial factors.** The hospitality industry is influenced by both macroeconomic and microeconomic factors. Macroeconomic instability, rising unemployment and inflation are a major concern for society, and this often leads to the fact that the population prefers to refrain from tourist trips. In countries where tourism revenues make up a significant share of GDP, investments are directed to the construction of new hotels and the improvement of tourism infrastructure. The level of prices for tourist services is considered as one of the important factors determining the choice of a place of rest. In the issues of financial regulation for tourism, the most important are the exchange rate, simplicity and availability of foreign exchange.

**Cultural factors.** The cultural environment is one of those resources that leads to the generation of mass tourist flows. Tourists visit certain places of world cultural value. Tourists are also interested in the life and way of life of other peoples, that is why the performance of a local choir, ensemble, elements of folk life, folklore, folk games, games, entertainment, holidays is of interest to them. In this regard, accommodation companies often rely on the organization of sightseeing and animation and entertainment programs aimed at contacting tourists with the cultural heritage of the destination.

**Socio-demographic factors** have a great influence on the development of the hospitality industry. As a result of the growing population of the world, the tourist potential of the world is increasing, new labor resources are being drawn into hotel activity. Demographic factors also include: the ever growing mutual interest of peoples in different countries having a single or related language, or connected by a common history and culture; increased demand for participation in specialized trips of persons of one profession or public function.

For the development of the hospitality industry, the most important are the age, family and social composition of the population. Differences in the age composition of travelers led to the emergence of specialized accommodation facilities - for young people, middle-aged and elderly people. The social status of tourists leads to the emergence of hotels of different price categories, targeting people of very different prosperity. An important factor is the family composition of travelers, which has caused the emergence of hotels for families with children, a flexible system of discounts for tourists traveling families, etc.

**Infrastructure and communication factor.** The state of transport, accommodation and food infrastructure is of great importance for tourism. From the position of the hospitality industry, for the development of international tourism of paramount importance is the established in the tourist destination system of accommodation and food. Tourists and hotel guests should not have communication barriers when establishing contacts with hotel staff and getting the information they need.

**Development of trade.** The propensity to tragoLOGY is typical for almost all tourists without exception, wishing to take souvenirs, national products, handicrafts, printed matter, maps, sports equipment, clothes from the region or country. Most of the accommodation companies have realized the benefits of the development of trade in tourist goods, and almost every self-respecting hotel offers services for the acquisition of tourist goods and the performance of tourist activities both in the structure of a complex hotel product and as separate additional services.

**Technological factors.** Advances in scientific and technical progress are widely used in the hospitality industry, and in particular in such areas as transportation, distribution systems and consumer information. The development of telecommunication technologies has led to the creation of computerized reservation systems, which allow you to book places in the means of accommodation on-line. Global distribution systems provide easy access to millions of users: now the consumer can compose a tour package, make the necessary reservation and travel on the route he has developed.

A significant impact on the growth of tourism and the expansion of its social base is provided by material and technical factors. The special place in the tourist activity is occupied by the accommodation and food industry. The level of hotel and restaurant service plays an important role in the service of foreign tourists. But the tourism industry, and in particular the accommodation and food industry, is subject to fluctuations in demand for tourist services during the year, which undoubtedly leads to an increase in the costs of maintaining accommodation and food and increasing their services.

In addition to external factors that determine the development of international tourism, it is necessary to identify and specify a fairly large group of intra-industry factors, which include: improving the hotel product; development of hotel services; creation of hotel chains and associations; development of distribution systems; labor force factor; marketing factors.

**Perfection of the hotel product.** The hotel product is the most important element of the tourist product. In this regard, much attention is paid to the quality and further modernization of the hotel product. The quality of the hotel product largely depends on the state of the environment and infrastructure, in this respect the role of tourism organizations: regional tourist

administrations, government structures, professional associations, which can combine efforts to create an atmosphere of hospitality, attract the necessary investments.

Development of the sphere of hotel services. Now the hotel business has turned into one of the most profitable segments of the tourist market. Hotel services are increasingly presented as a complex hotel product that provides the tourist with the maximum number of amenities multiplied by the hospitality and hospitality of the staff. The autonomous existence of hotel enterprises has long been replaced by the process of integration of hotels with transport, communications, tour operators and travel agents, excursion and animation-and-entertainment organizations.

Creation of hotel chains and associations. In recent decades, thanks to the emergence and development of information technology and communications, the largest hotel companies have become integrated into hotel chains in order to regulate business development, as well as for growth and a more even distribution of income. Famous hotel chains Marriott, Sheraton, Holiday Inn, Accor and many others serve as a guarantor of the quality of the services provided to tourists. The hotel associations became widespread. The most authoritative organization is the International Hotel Association (MGA).

Development of distribution systems. Such systems bring together the suppliers, sellers and buyers of the hotel product. New information technologies have made it possible to significantly simplify the distribution system of hotel services, make it more informative and effective for all participants. Modern distribution systems easily adapt to the needs of customers, providing them with various options for accommodation and additional services.

Labor force factor. The development of the hospitality industry contributes to the increase of employment in developed and developing countries. At the same time, it is characteristic that the developed countries and the most famous tourist destinations (Turkey, the United Arab Emirates, Egypt), experiencing a shortage of labor, actively import labor from other countries of the world. So, in hotels of Turkey and Egypt it is easy to meet animators from Russia and Ukraine, guides from Poland and Belarus, translators from Germany, Slovakia and Kazakhstan.

Marketing is one of the main elements of the activity of any accommodation enterprise, aimed at receiving tourists and providing them with competitive and quality services. Well-designed marketing strategy of the hotel is the key to its success in developing its business and winning a competitive battle. At the same time, in the center of marketing of any hospitality enterprise there should be a consumer of hotel services - a tourist.

A special place is occupied by the factor of seasonality. The factor of seasonality has a very significant effect on the functioning of any accommodation company, since hotels depend, first of all, on the power of tourist flows to the destination. There are three groups of factors influencing seasonality of service: natural climatic; features of the type of tourism; features of labor and leisure of consumers.

Season for a particular tourist area is considered to be the period of the year when the monthly number of arriving tourists exceeds their average monthly number for the year. In the case of the existence of two seasons (most often summer and winter), there are inter-seasonal periods between them. At the highest in the year, the term "hot season" is used (red, high); the period of almost complete absence of tourists is usually called a "dead season" (blue, low).

If we consider seasonality in more detail, then we can talk about the existence of five seasons during the year. Peak season is observed for a small period of time - most often, one-two summer weeks. It is characterized by a maximum influx of tourists to the destination. Peak season is usually allocated in the hot (high) season, characterized by a significant influx of tourists to the destination and continues in different regions of the world from two to three weeks to three to four months.

In a number of regions of the world (including Russia), the so-called off-season is singled out, which corresponds to the spring and autumn seasons of the year. For this time, a fairly low influx of tourists into the destination and specialization in certain types of tourist activity are characteristic. So, off-season allows to develop therapeutic, sports, extreme, educational, business, scientific tourism, but almost always excludes the possibility of organizing beach tourism.

In the winter season, there is a significant decrease in the tourist flow and comes the so-called blue or low season. There is a "buyer's market", when the producers of hotel services are forced to reduce prices to a minimum level to attract additional tourists. At the same time, the concept of the blue season is highly relative, since during this period, the development of winter types of tourism is possible: sports, skiing, and extreme, adventure, and therapeutic.

Within the blue season, there is a dead season (lasting 2-3 weeks), characterized by a virtually complete lack of tourist inflow to the destination and turning around for most hotel companies in countries or areas specializing in tourism, downtime

and losses. And only the competent policy of the hotel, together with travel agencies, can attract tourists to the destination during the dead season.

The negative consequences of seasonality can be attributed to the fact that during most of the year most of the places in hotels are almost unclaimed. To attract tourists out of season or for the development of another winter season, accommodation companies are forced to conduct a flexible pricing policy or to develop new services. The expansion of the season is facilitated by the provision of business services - organization of conferences, seminars, meetings.

### **Modern trends in the development of the hospitality industry**

The growth of the international tourism market puts forward increased requirements for service providers in tourism. Researches of the hotel industry have shown that:

- \* hotels will continue to lag behind air transport and other sectors of the tourism industry in terms of computerization and use of modern technologies in booking tours;
- \* The tax burden of hotels will increase, and the share of tourism in the total amount of taxes will increase from 10.4 to 11% over the past 10 years;
- \* government spending on tourism promotion will increase;
- \* The hotel industry changes the way of calculating its profits: from income to one number - to income from one client;
- \* Only 30% of all European hotels are hotel chains;
- \* in the hotel industry, the process of mergers is accelerating, there is an increase in the number of franchise agreements and foreign investment;
- \* it becomes profitable and profitable to be a "green" hotel, that is, to take care of the environment. It is known that the majority of organizers of congress and incentive tourism, when choosing a hotel, attach great importance to ecology.

An important condition for attracting tourists to the region is to increase the comfort of hotels and the quality of service. To send any information it is desirable to install a video phone and a computer connected to the global network in each room. The popularity of hotels\_museums, that is, of old private hotels, increases in popularity according to world standards, but preserves the unique charm of antiquity.

Objects of food will also undergo certain changes, which, however, will not be massive. In particular, the menu of restaurants, bars, cafes will be made with ever greater variety, given the growing popularity of exotic cuisine. As a background, the national music and entertainment programs will be used for the food intake process.

EA Dzhandzhugazova singles out eight trends in the development of the global hospitality industry. The main trends in the development of the global hotel market include:

- \* extending the sphere of interests of the hotel business to other products and services previously provided by enterprises of other industries. For example, the organization of food, leisure, entertainment, exhibition activities, etc .;
- \* the growing democratization of the hospitality industry, which greatly contributes to the increase in the availability of hotel services to the mass consumer;
- \* Strengthening the specialization of the hotel business, which allows you to more clearly focus on certain segments of consumers, taking into account various characteristics;
- \* the development of new types of tourism, for example, ecological, adventure, extreme, some thematic areas, allows you to take into account the interests of almost any category of consumers and make the tourist product more sophisticated;
- \* The globalization and concentration of the hotel business, which manifests itself in the creation of tourist corporations and hotel chains, also creates hotel associations, unions, international governmental and non-governmental organizations;
- \* deep service personification and total concentration on customers' requests and needs;
- \* wide introduction of new means of communication and information technologies, allowing deep and systematic economic diagnostics;

\* Introduction of new technologies in the business strategy of hospitality industry enterprises. In particular, the widespread use of the Internet to promote hotel products and services; as well as the dissemination of modern computer reservation and reservation systems.

#### **Four models of hospitality.**

The European model seems to be the hospitality of the "high flight" and high reputation. In addition, the European hotel market is the most common and developed. The distinctive features of European hospitality can be called:

- \* The desire of European hotels to reduce the room capacity, which enhances the individualization of customer service;
- \* The main advantage of hotels is not in luxury, but in exquisite and stylish interiors, high reputation and fame, high-quality service;
- \* The most expensive hotels are located in unique places and buildings, in the historical centers of cities;
- \* The tradition and exactingness of expensive hotels in relation to the guests;
- \* automation of European hotels does not replace personal relationships with a guest;
- \* stronger than anywhere else in Europe is expressed hotel segregation, which leads to the fact that a guest of an expensive hotel will never face in the lobby with a guest of another social status;
- \* However, the European hotel market is distinguished by the diversification of the offer - from cheap roadside hotels to extremely expensive luxury hotels.

The Asian model of hospitality is the opposite of the European one, which is reflected in the Asians' love for luxury, ostentatious wealth, gigantism. It is in Asia that the highest (Shanghai), the most roomy (Bangkok) and the most luxurious (Dubai) hotels in the world are located. If in Europe the hotel category is inversely proportional to its capacity, then in Asia it is the opposite. The distinctive features of Asian luxury hotels are:

- \* The most favorable location;
- \* large area of rooms and public facilities;
- \* high capacity;
- \* luxury and wealth of interiors and especially hotel exteriors;
- \* Low (in comparison with Europe) cost and availability of services;
- \* the ability to use a variety of infrastructure and additional services;
- \* wide distribution of the "AN inclusive" and "Ultra all inclusive" service systems.

The American model of hospitality has features of both the European model and the Asian one. So, in the centers of the largest American cities, luxury hotels are spread, meeting the requirements of typical European hotels (style, small size, individual service). On the other hand, the main resorts and tourist centers of the country are built up by hotels, externally and internally reminiscent of Asian (large capacity, luxury, huge infrastructure).

The Eastern European hospitality model stands apart from the European one because of the large share of post-Soviet hospitality industry enterprises, and also, as in the American model, the neighborhood of hotels typical for both European and Asian models. On the other hand, the modern stage of the development of the hotel market in the post-Soviet space of Europe is characterized by the construction of new accommodation facilities, typical for both Europe and Asia.

Public relations implies common ways for people to process information in the process of interaction between themselves. The interdependence of people is due to the fact that together they form a coherent system of meanings - jointly developed variants of comprehension of concrete situations. The very definition of culture is different in different countries. In France, the word "culture" in the dictionary of the XIX century. was defined as agricultural activity, cultivation. In Germany, this word had the abstract meaning of "civilization" in the eighteenth century, and in the Anglo-Saxon world the abstract meaning of the word appeared only in the twentieth century. The great Soviet encyclopedia defines culture as "a historically determined level of development of society and man, expressed in the types and forms of organization of people's life and activity, as well as in the material and spiritual values they create." Culture is a process rather than a static whole. Elements of culture

are intertwined and can be used only in their totality. The most important elements of culture are language, various institutions (family, political institutions of power, public organizations), material signs and symbols (emblems, emblems, banners).

### **The Theory of Hofstede**

Geert (Gerard Hendrik) Hofstede (born October 3, 1928, Haarlem, The Netherlands) is a Dutch sociologist who proposed a set of indicators that determine the cultural characteristics of different peoples on the basis of studies conducted in the 1960s -70th years.

Dutch scientist Gert Hofstede carried out a large research project on the study of differences in national cultures in the activities of subsidiaries of a multinational corporation in 64 countries. He interviewed more than 160,000 managers and employees of organizations about their satisfaction with their work, colleagues, management, about the perception of problems arising in the course of work, about life goals, beliefs and professional preferences.

G. Hofstede revealed highly significant differences in the behavior of managers and specialists from different countries. He found that the majority of differences in working values and relationships are explained by national culture, and also depend on the place in the organization, profession, age and gender. G. Hofstede singled out five aspects that characterize managers and specialists and the organization as a whole:

- individualism - collectivism;
- power distance;
- striving to avoid uncertainty;
- Masculinity - femininity;
- long-term - short-term orientation.

### **The theory of F. Trompenaars**

#### **hofstede trompenaars culture**

Another Dutch researcher Fons Trompenaars created his own model of cross-cultural measurement of values. He analyzed more than 60 thousand questionnaires from respondents from 100 countries. He singled out the following culture parameters represented by pairs of extreme concepts:

1) universalism-particularism (universality - separation). Universalists appreciate abstract public expectations, for example, laws or some unwritten rules, but a particularist values relations with specific people, ties with people (for example, a family) are more important to him than social norms.

2) achievement - origin (ascription): what has been achieved - who you are, the speech about the status.

3) individualism - collectivism

4) affectivity (emotionality) - neutrality

5) concreteness - diffuseness (singularity - dissolution)

6) external-internal control

7) a temporary perspective (what are the values of people in terms of time)

- Long-term - short-term perspective - past-present-future (more important, what's more)
- Sequential-synchronous (simultaneous-sequential) (simultaneously several things or things in turn).

Analysis of value orientations "universalism-particularism." When companies enter the international arena, they will inevitably expect a more universal view of things.

For the universalist, the contract on paper reflects the principal provisions of the agreement reached. The involvement of lawyers in the negotiation process is a confirmation that breach of contract may result in financial losses.

For a particularist, personal contact with a partner whom he respects rather than a written agreement certificate is more important. Universalism implies the existence of the same rules applicable to all participants in the process. Particularism, on the contrary, considers a flexible approach to concrete situations necessary.

Universalists, as a rule, show interest in goods that satisfy the needs of the maximum number of consumers. They proceed from the assumption that a universal product has a better chance of being sold. Companies strive to offer the most universal goods and services that need minimal adaptation to local culture. Known examples are the American brands Coca Cola, Levi's and Microsoft. American culture is an example of universalism.

Some companies manage to take an intermediate position - they become both universalist and particularistic. An example of such an approach may be the strategy of Dell. It combines the strategy of mass production and the use of economies of scale through the centralization of all orders through the Internet and particularism in the offer to complete a computer in accordance with the specific requests of an individual consumer. The strategy of Zara, the Spanish fashion manufacturer, is also an intermediate. The entire collection is produced in small batches in Spain and Portugal, but in accordance with the local preferences of a specific country. With the help of a computer system, the company takes into account which models consumers in Germany or Russia prefer, what color clothes like to Barcelona residents, but do not like in Seville. This allows the company to respond instantly to changing demand in a particular market and not to contain large stocks of finished products.

Analysis of the value orientation of "collectivism-individualism." Individualism is an orientation primarily towards oneself, and collectivism is an orientation toward common goals and objectives. The individualist believes that if people had more freedom and opportunities to develop themselves, their quality of life would improve. The collectivist objects: if people constantly showed concern for others, the life of each person would improve, even if this would hinder the freedom of development of one person.

#### **Differences in the conduct of business between countries with individualistic and collectivist cultures.**

Making a decision, a representative of a collectivist culture is guided by the opinion of the group, whether it be a family, a company, members of the club or the nation as a whole. Representatives of individualistic culture, on the contrary, rely more on their own opinion when making a decision. For collectivist cultures, attachment to the group is expressed, in particular, in the fact that a person is willing to spend time talking with colleagues (for example, spending an hour or two over a beer or a glass of wine, as is customary in Austria or France).

"Concreteness is diffusion." In specific cultures, the boss-subordinate relationship depends on the situation of communication. At work they are strictly delineated, and with informal communication quite different. In diffuse cultures, these relationships penetrate into all spheres and color all situations of communication. The boss remains an indisputable authority, no matter what the situation arises. An American can easily give a friend the keys to a car, whereas a German does not provide an opportunity to ask the car even for a friend.

The concept of diffuse and specific cultures is related to the concept of cultural context. Low-context cultures (most often concrete ones) pay attention to messages transmitted during communication. These messages should be clear to all without further explanation. In such cultures, a professionally written report is the best means of communication.

"Emotionality is neutrality." Representatives of emotionally neutral cultures do not show their emotions. In emotional cultures people tend to show their feelings. This does not mean that representatives of neutral cultures do not have feelings and emotions, it is a question of public expression of their emotions. Representatives of Anglo-Saxon cultures (English, English-speaking Americans), listening to the conversation, listen to the speaker and then express their opinion. Italians, Frenchmen, Spaniards in the dialogue look more excited, they start talking, not having listened to the interlocutor, often interrupt each other. The Japanese, on the other hand, can remain silent for a while, pausing in conversation.

#### **Differences in doing business between countries with emotional and emotionally neutral cultures.**

"Achievement is an ascription." Status as a recognition of a person's merit can be achieved through personal results, and the one that is appropriated with age or sex or membership in a certain class is called attributed or ascriptive. These differences are manifested in the images of those heroes that are used in marketing communications and with which consumers are ready to associate their feelings and aspirations.

Many marketing companies use such self-identification to convey the message. Heroes and anti-heroes, group and individual behavior patterns are essentially conditioned by national culture. For example, when promoting elite goods,

usually used by well-known personalities, demonstrating that the possession of such a product will enhance the status of the consumer.

At business contacts of representatives of cultures, differently perceiving the status, there may be differences in the use of titles and titles, respect for the elders, women, leaders.

### **Differences in the conduct of business between cultures using achievements or ascription to determine the status.**

Attitude towards time. In addition to the described five types of relations, an important factor differentiating cultures is the understanding of time and attitude to it. F. Trompenaars notes the existence of two approaches: sequential and synchronous. At the first approach, time flows from the past to the future, each moment of time is unique and unique, the flow of time is homogeneous.

The synchronous approach is based on the concept of time cycles: everything sooner or later repeats, there is always a chance to finish the business. In cultures that are dominated by a coherent approach, people tend to do one thing at a given time, accurately observe the scheduled time of business meetings, prefer to strictly follow the plan. Representatives of cultures with a synchronous approach tend to do several things at once, the time for business meetings is set approximately and can be changed depending on the circumstances. The order of the day, generally speaking, is determined by social relations: representatives of these cultures can interrupt the work they are doing in order to greet the acquaintance who has come to the office at the moment and communicate with him. F. Trompenaars compares Americans, Mexicans and French in this respect. In the United States, people follow a consistent approach and, following it, make schedules and stick to it.

The Mexicans adhere to a synchronous approach and tend to be more flexible. In the plans they leave reserves of time for sudden distractions. The French, when planning, also often do not fix exactly the time to reach a particular goal, they reserve other resources controlled by them. Thus, they have the ability to react to changes in circumstances, without giving up the goal.

As F. Trompenaar emphasizes, the French and Mexicans consider it important to achieve the goal, and not to follow a certain path to it. Another point that differentiates cultures and is related to time is the orientation toward the past / present or the future.

In the US, Italy or Germany, the future is more important than the past and the present, and in Venezuela, Indonesia or Spain, people are more oriented toward what is. In France, all three time periods are approximately equally important when making business decisions.

Recommendations of F. Trompenaars are that an international manager who collaborates with representatives of cultures oriented towards the future should focus on the opportunities that are open and the unlimited development that an agreement can have, give the go-ahead for fixing the time for accomplishing certain stages of the project, what basic values and skills will be brought into the project by the other party, and also what will be the sequence of its actions. In cultures that are oriented toward the past and present, it is important to emphasize traditions, to find out how the internal relationships that exist in organizations will make it possible to make the necessary changes. However, there is no need to fix the dates of future business meetings, etc.

Environment. In relation to the environment, F. Trompenaars divides cultures internally and externally managed. Representatives of the first type of cultures believe in the ability to monitor the results obtained and, accordingly, focus on managing internal resources. People belonging to the second type of cultures, believe that events go their own way and this can only be adapted.

Most American managers believe that they are the masters of their destiny and this is expressed in their desire to remake the environment, and often they act in a rather aggressive manner. However, the American manager will feel very uncomfortable if the events get out of control. Most Asian cultures do not share such beliefs. Their representatives are based on the fact that development is zigzagging and it is important to "grab the crest of the wave and go with the flow." Hence the great flexibility and the desire for harmony with nature. According to F. Trompenaars, interacting with representatives of cultures, which are dominated by the idea of the possibility of controlling the external environment, it is necessary to strive hard to achieve their goals, giving them time and time to win and the opponent. When dealing with representatives of a more fatalistic type of culture, it is necessary to be persistent and polite, maintain good relations with partners, try to win together, and lose separately.

## Conclusion

Any person sees the world in a certain cultural framework. But these cultural frameworks (norms), as a rule, are not realized by the individual, for most often he is so characteristic that they form part of his personality. Awareness of the norms of behavior and thinking of one's own culture is possible only if there are contacts with people who are guided by other cultural norms in their behavior. People to some extent expand the boundaries of their cultural horizon, visiting other countries, studying foreign languages, reading foreign literature, communicating with foreigners. However, such interaction can cause discomfort or even lead to conflicts, often difficult to explain. The mechanisms of behavior and evaluation, which worked as long as communication was carried out within the same culture, begin to malfunction, communication becomes difficult. This causes uncertainty, loss of internal stability, misinterpretations of the partner's behavior, misunderstanding of each other.

Therefore, if so far the person has not noticed and did not realize the peculiarities of his behavior conditioned by his cultural context, now these subconscious models of perception, emotional reactions, thinking, behavior and evaluations are becoming more and more obvious and subject to comprehension, accounting and correction in relation to the partner for communication.

The behavior of people belonging to other cultures is not at all unpredictable, it is susceptible to study and forecasting. Studying other cultures, their features, patterns of their functioning and development enriches a person, transforms his attitude to the world and other people, can radically change his attitude to life situations.

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## Perceptions of Engineering Students when Working with a Study and Research Course (SRC) in Statistics

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### Abstract

This research reveals the change that takes place in the classroom when using the didactic device called Study and Research Course (SRC) proposed by the Anthropological Theory of the Didactic (ATD) in the University which allows to face the monumentalism in the classrooms. A didactic device called SRC is designed to develop a course in statistics for the construction career engineering in construction at a public University in Chile. The SRC didactic device was based, in part, on the information provided by the National Socioeconomic Characterization Survey (Casen) conducted in Chile. The starting point of the SRC is an "integrating question" called a generating question and a series of derived questions associated with problem situations, used to address the contents of a statistics course. The group that worked with the didactic device during the academic semester, at the end of the experience, was given a questionnaire, a semi structured interview was also applied, which was intended to gather information from the students about the development work throughout the semester. The results obtained allow establishing that students are motivated to work collaboratively and think favorably about its implementation.

**Keywords:** Anthropological Theory of the Didactics, Research and Study Course, student perception

### Introduction

Currently in Chile, by provision of the Ministry of Education, the contents of statistics and probabilities should be taught from the year 2009 from the first years of study. In spite of this ministerial disposition, in Secondary Education, the contents of the statistical axis are left in last place and finally they are not delivered to the students. Although statistics are taught today at all educational levels, research warns us that many students, even at the university level, have incorrect conceptions or are unable to make an adequate interpretation of statistical results (Batenero, 2013).

In the last decade, statistics have had an important growth, fundamentally by the use of it towards other subjects. It is important to recognize that the Teaching of Statistics must have as its fundamental purpose, provide the possibilities for the student to build some basic concepts of statistics for interpretation, understanding and awareness of the social and cultural reality in which every citizen moves (Gil & Rocha, 2010). Azcarete & Cardeños (2011) point out that "statistical knowledge cannot be understood if it is separated from its context of application, nor applied only to abstract problems that are not found in real life" (p.792).

The ATD proposes as a fundamental principle that all human activity can be described through a praxeology, this is considered the minimum unit of analysis. They were introduced by Chevallard in the 90s. For Corica & Otero (2012) "the praxeologies or mathematical organizations (OM) arise as answers to questions or sets of problematic questions that are denominated generatrices questions" (p.461). Chevallard (2004) cited by Llanos & Otero (2012), "propose the activity carried out by the teacher is to explain and show the knowledge to students, in the same way that a sculpture is exhibited in a museum, a phenomenon that has been called monumentalism of knowing" (p. 45).

Chevallard (2013) concludes that "the didactic effort of society should not be recognized simply by what people know; it should be evaluated on the basis of what people can learn and how they can do it" (p.168). To introduce the mathematization process into the classroom, the ATD proposes the use of the SRC as a teaching device. In order to initiate an SRC, a generating question is posed, which acquires "the property of generation, that is, it leads to the formulation of numerous derived questions, whose study will lead to the (re) construction of a large number of mathematical organizations, which they will emerge in response to the questions that have required their construction" (Costa, 2013).

The starting point of an SRC must be a matter of real interest for the study community, which we will denote  $Q_0$  and what we will call the generating question of the study process. This process can be synthesized as a network of questions and answers ( $Q_i, R_i$ ) that contain the possible trajectories to "travel" generated from the study of  $Q_0$  (Barquero, Bosch & Gascón, 2011).

A generatrix question and the derived questions must allow "to traverse" the proposed study program in a course or at least a good part of it. The SRC is a didactic device that will allow the development of functional praxeologies, the development of praxeologies that are constructed as answers to a question, producing and justifying a response (Parra, Otero & Fanaro, 2015).

The SRCs are built from the Herbartian scheme, which is denoted as follows:

$$[S(X, Y, Q) \rightarrow \{R_1^0, R_2^0, R_3^0, \dots, R_n^0, Q_{n+1}, Q_m, O_{m+1}, \dots, O_p\}] \rightarrow R^v$$

The objective of an SRC didactic device is to respond to certain issues and not to learn certain concepts, the modeling process can be considered as an objective of teaching in itself and not as a means to build new knowledge. "These answers must be answers in a strong sense and not simply the search and copy of the information" (Parra et al, 2013). The development of an SRC implies giving importance to both the study process and the modeling activity (Barquero et al, 2011).

The SRC implemented in the Statistics course was constructed from some data from the Casen survey (Fig. 1). This is run in Chile to know the socioeconomic situation of Chilean households, their income, spending patterns, family size.

The starting point of an SRC should be a question of real interest to the study community. The generating question  $Q_0$  elaborated in this SRC constitutes a first approach so that students can develop a course in a non-traditional way, this being the one that guides the development of the whole SRC during the course of the semester.

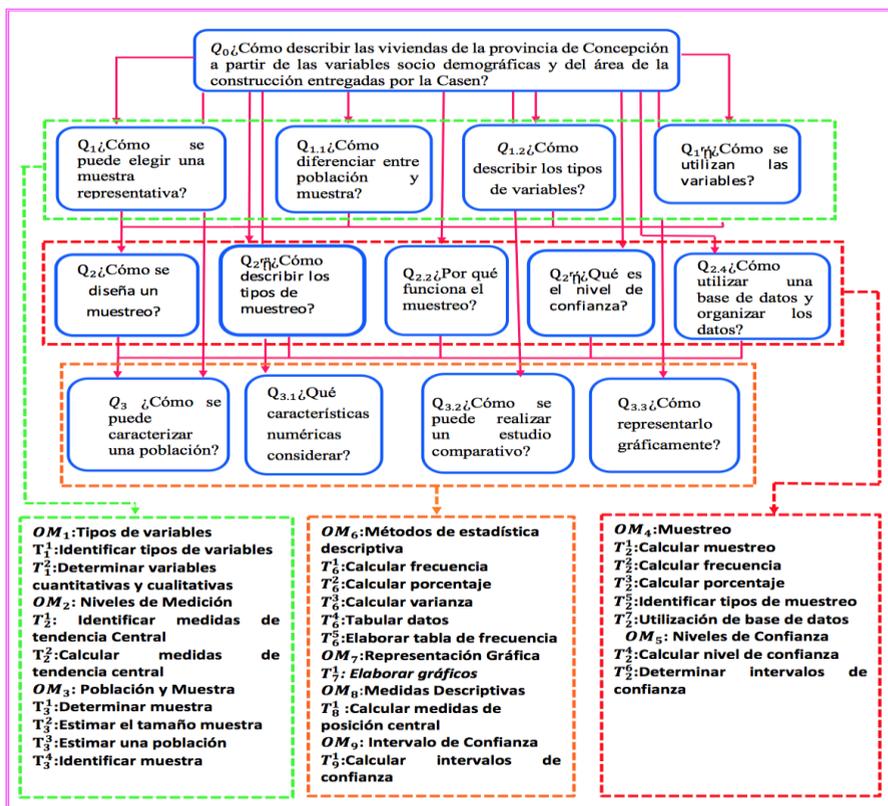


Figure 1. SRC designed for the course.

## Methodology

Quantitative methodology was used, the instrument through which information was collected was a semi structured interview. The interviews were conducted at the end of the experience. A software was used to analyze qualitative data ATLAS.TI 7.0. The transcripts of the interviews carried out with the participants of the experience were analyzed.

## Results

To begin with the analysis of the interviews, an encoding was carried out to later organize the codes and group them into categories according to the main topic of the research, which allowed to develop an interpretation and synthesis of the information found in the interviews. The categories were created once the interview was applied to the participants of the experience.

One of the categories defined, when analyzing interviews in-depth, was named **Anthropological aptitude**. This refers to highlighting the educational by means of the anthropological as the features revealed by a valuation directly related to the person, both in learning, professional and personal. The analysis of human activity produces knowledge in individuals in various aspects and growth throughout life.

According to what was observed, three subcategories that make up the Anthropological Aptitude were identified. The first refers to the Formation of Man and describes how individuals are formed throughout life, as they acquire knowledge, assuming responsibilities and the diverse experiences that make up their daily work, and that contributes to the formation of this. All this allows the individual to acquire knowledge and strengthen them throughout his life, in addition to consolidating his ideas.

The following subcategories are exemplified in the following interviews:

*(...) We feel valued as a person, our opinion was considered in the work groups since each of my colleagues was important to develop the work. P 1: interview students 1.rtf*

Then there is the subcategory called Anthropological Assessment that tries to identify the assessment and discovery of anthropology in the educational and personal sphere, to discover how individuals use anthropology in their daily life and how throughout their lives they are part of an integration in education, professional and personal life.

This subcategory is exemplified in the following stories:

*(...) organizing ourselves was the most difficult part, making decisions as a working group, we even argued, but then that passed. P 1: interview students 1.rtf*

Finally, the subcategory designated as Obstructions responds to the difficulties that are presented throughout the experience and also personally, because they delay the appearance and use of this in their daily life, also in the personal and group organization, distribution of the time to carry out a task, changes of roles and responsibilities within the classroom.

The following subcategory is displayed in the following stories:

*(...) I found it difficult to understand that class times should be shared with the students, give them time to work in their work groups, let them go to the library and that I was not the protagonist anymore. P 2: interview teacher 1.rtf.*

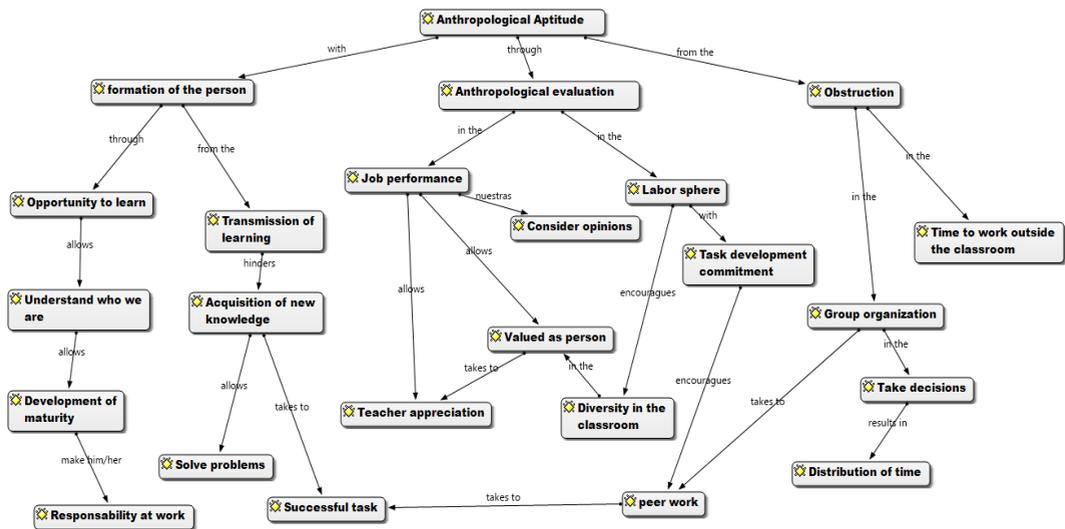


Figure 2. Semantic network Anthropological Aptitude.

Figure 2 shows the semantic network corresponding to the Anthropological Aptitude category. In it we can visualize the three subcategories that compose it. In the first, called Formation of the person, it is appreciated how the opportunity to learn through daily life stands out, influencing considerably the formation of individuals and allowing them to connect with learning from reality. Acquiring new knowledge throughout the training, makes it possible to address problems that will lead to the development of the tasks proposed to them and achieve them successfully. The opportunity that individuals have to learn helps to understand who they are and what place they occupy in society, favoring the maturity of each person in different areas to which they face, this is reflected in the assignment of responsibilities throughout the work and in life.

The second subcategory corresponds to the Anthropological Assessment. This is divided into two large areas, one corresponding to the personal area, which highlights the assessment presented by students, by their peers and teacher, both in the personal and professional areas; In addition, it highlights the contribution of each of them, of utmost importance to develop the challenges proposed in classes, and their opinions within the working groups. The second area related to the workplace appreciates the importance of attention to diversity by the teacher allowing students to integrate in the development of assigned work, a fact that is closely linked to personal assessment.

Along with the above, it highlights the commitment that is acquired in the development of the tasks proposed by the teacher, which helps the work between peers is more concrete and can successfully perform the task entrusted; On the other hand, it increases the responsibility of the students, which is reflected in their work.

Regarding the third obstacle subcategory, it points out that the main difficulties were those of being able to organize the group, which hinders decision making within the group and the distribution of time to accomplish the assigned tasks. Other disadvantages are the teacher's workload in which the subject assignment is incorporated, the distribution of time with the students, the time that is designated to perform work outside the classroom and the organization of the groups. All this delays making decisions that allow progress in the designated work and generates a delay in the distribution of time to fulfill the tasks assigned during the course of the subject. In addition to the time of consultation of the students and classroom work, the times should be organized to complete the course and design classroom activities.

The stories of the interviews allowed to visualize the ATD from the perspective of the participants. It stands out from the stories that the individual learns through situations of his life; In the words of Chevallard (2015), the didactic task developed by society must be applied to all the members of society, both to current citizens and to future ones. In this sense, the opportunity to learn is reflected in the paradigm change offered by the ATD, since all individuals learn independently of age.

The obstacles exposed in this category are related to the students and the teacher's times, and how they are modified in the classroom when working with the didactic device, the construction of the medium. Also, there are difficulties when there

are modifications with the didactic functions, mainly with the chronogenesis and with some dialectics that arise when working with the didactic device.

Another category that emerged from the analysis of the interviews is the Didactic Understanding, which refers to the existing link in the transmission of knowledge between individuals inside and outside the educational institution. In a learning situation, it becomes evident the incorporation of techniques and didactic device present in the process of teaching and learning. In this category, three subcategories were established: the first, designated as **Restructuring of the Teaching**, refers to the change that is presented inside the classroom to deliver the contents to the students of non-traditional form, that is, abandoning the work visit, and making them more protagonists and committed to their learning. In this context, a different attitude is observed to carry out the change in the classroom.

In the following interview stories you can see the aforementioned subcategory:

*(...) it was the first time we worked with this modality, so many questions from both parts of the teacher and inside the group was a bit strange at the beginning since it was not easy to find the answers.* **P 1: interview students 1.rtf**

The second localized subcategory, called Assessment of the Didactic, refers to the importance that should be given to situations in which the individual learns so much in the process of teaching and learning throughout life, both in the personal and professional life, in the classroom and out of it. In addition, it allows to develop and discover new ways of approaching what has been worked on in classes.

Then, you can see the subcategory mentioned above:

*(...) it benefited us because the activities were contextualized in the reality of the country, in the work groups we felt the need to generate more questions.* **P 1: interview students 1.rtf**

Finally, the third subcategory designated as Difficulties of the didactic, exposes the inconveniences that were presented in the experience, which became evident throughout the semester in the implementation of the didactic device, both inside and outside the classroom.

Next, you can see the aforementioned subcategory:

*(...) This experience with the didactic device, with all the time available in the university, takes a long time to adapt to innovate restructuring a course in the traditional way.* **P 2: students interview 1.rtf**

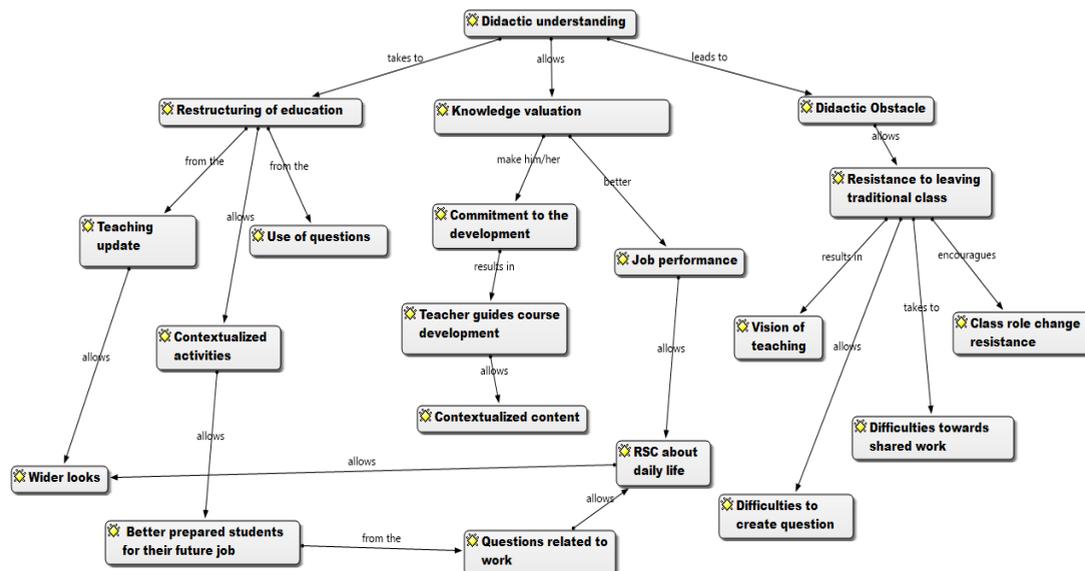


Figure 3. Semantic network Didactic understanding.

In Figure 3, the semantic network corresponding to the didactic knowledge category is presented. In the subcategory restructuring of teaching, the need for updates in the way of delivering the contents is visualized. When this happens, it gives rise to obtain broad views in the process of teaching and learning, both by the students and the teacher. The participants propose to incorporate various ways to achieve the restructuring of teaching, such as the inclusion of questions in the classroom. In addition, the incorporation of contextualized activities is pointed out, which will help prepare students for work.

The use of questions in the development of the course that can be related to the future work environment of the students is highly valued. Also, the commitment to carrying out the activities of both the students and the teacher stands out, who, in their new role, guides the work relating the contents with the daily life and the professional environment of the students.

In the third subcategory, the difficulties that arise are exposed. Here is the resistance to leave the traditional class, as there is still a traditional view of teaching, which makes it difficult for the teacher to create questions that guide the class. Collaborative work is also difficult, which leads to resistance to changing roles within the classroom. Added to this, the overload of work for the teacher is presented as a great difficulty, which influences the short time for the implementation and design of new proposals within the classroom, giving way to the traditional class.

In the interviews, the ATD can be visualized from the participants' expectations, it is differentiated in the restructuring of the teaching, relating to the foundation of the ATD as the individual learns and teaches. It can be carried out if teachers in the classrooms know new theories of mathematics didactics such as the ATD, which reaches the classroom through a didactic device composed of questions, leaving aside the paradigm of monumentalism to open the way to the pedagogy of research and the Questioning of the World.

In the subcategory valuation of knowledge, reference is made to the principle of the SRC, specifically, how the individual is taught and learned. Also, it gives a valuation to the didactic device proposed by the SRC, since the questions are reintroduced in the classroom, giving way to the formation of a didactic system. In this sense, the individual is valued both professionally and personally.

The obstacles that appear in this category are related to the resistance to the change of paradigm, from monumentalism to the questioning of the world; the difficulty in the change of the didactic functions linked to the variation of role in classes, especially in the chronogenesis and mesogenesis, is also visualized.

## Conclusions

It is evident through the interviews applied to the participants that the SRC didactic device is considered a learning experience that allows to modify the work in the classroom, favoring knowing other ways to deliver the contents. This made it possible to increase communication within the work groups, encourage responsibility among the students, with a greater involvement of students as a result of the knowledge generated among them, and they also recognized the ability to incorporate changes during the development of the classes, being able to respond to emerging situations.

When working with the SRC didactic device, the participants of the experience felt valued by the rest of the members, which allowed them to be more committed to the development of the assigned tasks. This new way of approaching the course encourages students to acquire new knowledge, promotes responsibility at work, considers the opinions of the participants in the experience, encourages the organization within the group, restructuring of teaching occurs, the assessment of didactic knowledge and of the device. When the didactic is present in the discourse of the participants of the experience, it is possible to see the need to restructure the teaching giving a broader view of the process.

The desire to know is natural in the individual; hence the need to constantly ask oneself, which encourages inquiry and questioning. Learning is engendered as a process of continuous construction based on cooperation and the confrontation of ideas. The incorporation of questions in the class leads students to question and begin discussions in the work groups, led by the teacher, which allows acceptance and respect among them. In the process of teaching and learning through the SRC, it is preponderant that the questions asked motivate students to expand their thinking and cling to new relationships, discover flaws, acquire more information at the start of new activities. The questioning technique according to the SRC, encourages students to think about issues that go beyond what the teaching material provides, so it strengthens the formation of critical people.

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## Is the Teacher Self-Critical?

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### Abstract

For a teacher, being self-critical does not seem to be a preferred option, since no one is likely to be self-criticized by anybody including inner self. Evidently, each teacher is responsible for their teaching, because not only teacher makes the lesson happen through their personal approaches/thoughts but also teacher has moral responsibility. In this regard, research supports that teachers have control over their actions and it is under their responsibility and also “an agent’s moral responsibility can be understood only through an interpersonal context” (Ziegler, 2016, p. 71-73). Actually, teachers as the managers of the lessons and everything should be under their control in the class. At the same time, teachers keep in mind that learning occurs in the interpersonal context as well. With the aid of long term experiences in education, the researcher always asks several questions; why do teachers avoid criticizing themselves? Do they like to be in the darkness of ignorance, even though they are knowledgeable people, since they always teach/learn knowledge? Why do they not try to overcome this obstacle (criticism) and why do they not find out the benefits of it? What do they lose, if they are critical of themselves? What do they gain from criticism? Literature review as research methodology was used in this educational study. The researcher is of the opinion that quality teaching occurs through being self-critical and having moral responsibility as a teacher. If a teacher is self-critical, there is a likelihood of finding personal mistakes and also feeling guilt and remorse through which, the teacher is likely to see the mistakes done. In case, the responsibility is not ignored, this approach of the teacher gives way to modification of mistakes and teaching better than ever before. Actually, criticisms are likely to show/remind the right way for the teachers and accordingly teachers should be open to criticisms for the sake of professional responsibility. At least, knowledgeable people like teachers do not need to show a tendency to hide the truth even if it includes self-criticism.

**Keywords:** *criticism, remorse, guilt, moral responsibility, interpersonal context, knowledgeable people*

### Introduction

#### Professional responsibility requires criticisms

Teachership is a profession that reflects commitment for guiding the respective students in order to make them obtain their learning outcomes. Even though the teachers have a lot of personal responsibilities towards family, community and other trainings, they have another responsibility of being a role model in the educational life.

Teachership involves both personal and professional renewal. Without criticism, how is it possible to do that? Today, renewal occurs through criticisms of the tasks done by the teachers. Although, this critical approach looks very challenging for many teachers and this approach will be inspirational for correcting the mistakes or taking lessons from the respective mistakes in professional life.

If a teacher is self-critical, there is a likelihood of finding the personal mistakes that might occur during the teaching. Because whenever the respective teacher is aware of the mistakes and knows what they are, at least that respective teacher feels modification of it under the effect of professional responsibility.

If this responsibility is ignored, it can create a conflict in responsibilities herein. In case, the responsibility is not ignored, this approach of the teacher gives way to modification of mistake and teaching better than ever before. Actually, criticisms

are likely to show/remind the right way for the teachers and accordingly, the teachers should be open to criticisms for the sake of professional responsibility or the criticism will remain just in the written books not in practical life of teaching.

### **Remorse and empathy relationships**

A teacher needs to be self-critical for finding the mistakes and needs to feel remorse for the mistakes that occurred in the learning process. Because "remorse involves self-reproof, admitting one's own mistakes, and taking responsibility for your actions" and "It also moves the remorseful person to avoid doing the hurtful action again" (Fjelstad, M. (n.d.)). Feeling remorse opens new approaches in the mind of the respective teacher in order to rectify/renew herself.

If the teacher does not know the positive outcome of feeling remorse, that teacher cannot be aware of feeling empathy towards her students. Because, "remorse comes from true empathy for the pain the other person is feeling because of your actions" (Fjelstad, M. (n.d.)). Actually, the social/interpersonal context where the lessons are done, requires feeling empathy and experiencing guilt towards each other mutually.

### **Awareness of mistakes**

Actually, "people experiencing guilt are specifically focused on the bad behavior, which in turn highlights the negative consequences experienced by others, thereby fostering an empathic response and motivating people to "right the wrong" Tangney et al., 2007. p. 351). Like that, the respective teacher might be in the right way in respective professional responsibility/moral responsibility.

If no self-criticism, the teacher may not be aware of personal mistakes and then the teacher cannot feel any empathy towards students. If no feeling remorse for the mistakes, teacher cannot feel remorse through which the teacher cannot see personal mistakes in actions. For that reason, both feeling empathy and feeling remorse open ways for seeing mistakes done in the personal actions.

### **Positive and negative thinking**

If no thinking over the ways of teaching that is correct or not, we cannot expect an effective lesson. Because a good lesson is the result of thinking deeply on both positive and negative sides. Also, if no thinking over the behaviors of herself towards respective students, the chain of mistakes might continue that is likely to create relational problems in the classroom context.

Moreover, the teachers known as mature and senior people might be self-critical, since most of the teachers are aware of the benefits of critical approaches in the learning. At the same time, from mature people like teachers; respect and understanding are expected towards any criticisms and opinions. Because, "mature people never make difference of opinion a means of conflict" (Gulen, 2007. p. 88), since merging different opinions might open new horizons in the minds.

Criticism appears as an obstacle in front of the teachers. If they can find ways for feeling remorse about their mistakes and taking lessons from the respective mistakes. Then, they are likely to start self-proving and taking actions for their mistakes. More than that, they are likely not to continue their hurtful action, since the teachers begin to show empathy towards the students.

If the teacher can support/use positive approaches towards students; like this, respective teacher can identify the purpose of challenging behavior, she can teach appropriate alternative responses in relation to those challenging behaviors, teacher can minimize the rewards for challenging behaviors, and teacher can minimize the physiological and environmental elements that trigger challenging behavior. On the contrary, teacher can aim to use rewarding positive behaviors for the betterment of the classroom context (Ruef et al., 1998). Because, positive approaches open ways for positive thinking and positive acting in the classroom.

Because of positive thinking and acting, there is possibility for the teacher to show ingenuity in the teaching. It stands for that, "teachers plan and present lessons and learning activities for students to develop the knowledge and skills of thinking (creative problem solving/ thinking) and acting (human ingenuity) in an educational context" that proceed from ingenuity (Smith, 2015. p.5).

The best learning occurs with the help of learning something from the mistakes, because teachers are the people who support truth and teach truth. Actually, this profession requires self-criticizing for the sake of truth and also as stated by Nursi; "the truth cannot be deceptive, and one who sees it cannot be deceived" (Nursi, 2005. p. 250). Otherwise, the respective teachers will also show tendency to hide the truth.

## Conclusion

A quality teacher might have good characteristics with the aid of taking lessons from the criticisms, if teacher is eager to show inclination towards learning, for the sake of learning and accordingly looks at the life even from negative angles for the betterment of the learning. The researcher is of the opinion that there is a contradiction herein, if the respective teacher does not self-criticize, this approach does not comply with their professional responsibility, since the teachers are known as knowledgeable people. It might be said that why teachers try to be ignorant of personal mistakes, in this regard as stated by Ibn Arabi "the ignorant one does not see his ignorance as he basks in its darkness; nor does the knowledgeable one see his own knowledge, for he basks in its light" cited in (Kabbani, 1999. p. 24). Actually, personal and professional renewal requires self-criticism.

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## Re-Positioning of Turkish Foreign Policy in the 21st Century

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### Abstract

Although a very small portion of Turkey's geographical territory is part of Europe, Turkish foreign policy since the end of Second World War was oriented towards Europe and the West. Turkey was one of the first countries which became member of the Council of Europe in 1949 and also a member of NATO since 1952. Also in 1959 Turkey asked to be part of European Economic Community and the membership request into the European Union was accepted in 1989. All these aspects clearly demonstrate the pro-western approach of Turkey, which does not align with its' conservative approach as regards human rights and liberties, freedom of press, or minority rights. The above 'hot issues' continue to be a barrier between Turkey and the European Union. Despite this, in the beginning of the 21th century, the foreign minister of Turkey at that time, Davutoglu, otherwise known as the architect of a long term strategy in foreign policy adopted the innovative strategy 'zero problems with neighbors'. The aim of this strategy was the geo-political re-positioning of Turkey in International Affairs, by evaluating the demographic potential of the country and the geographical position. In a dynamic world, the geopolitical positioning of Turkey is still challenging both as regards its neighbor countries and its international and strategic partners.

**Keywords:** Turkey, foreign policy, Europe, Davutoglu

### Introduction

The determining factor for a country's successful foreign policy is the reputation and prestige it demonstrates in relation to other countries as well as the way that it is perceived by its citizens concerning this dimension. Perceptions can create great opportunities but also pose significant obstacles. The dynamism observed in Turkey's foreign policy over the recent years has been discussed not only within Turkey but also in several Balkan countries. Political actors are trying to understand and determine what Turkey's interests in this region are. Indeed Turkish foreign policy has never been the focus of so much attention in the Balkan media or scientific/academic events such as regional conferences. Turkish authorities and diplomats have repeatedly highlighted the fundamental parameters of Turkey's Balkan policy. (Barkey, 2012) However, some intellectuals in the Balkan countries are dissatisfied with official statements and are trying to explore some dark and mysterious theories on Turkey's foreign policy. The aim of this paper is to discuss two approaches to Turkish influence in the region, either as aiming toward a growing regional power or pursuing a neo-Ottoman foreign policy.

### Perceptions of Turkish foreign policy in the Balkans

Turkey's economic success over the recent years, Ankara's efforts in the field of human rights as well as a very active foreign policy are three dimensions which have greatly helped into creating a global impression of Turkey as a growing superpower. Similarly, Turkey has been considered as a democratic, modern country, capable of also incorporating Islamic values. Despite the global economic crisis Turkey has attracted the attention of the Balkans, as a rapidly growing economy. Indeed Turkish investments are very active in the region; particularly there are a lot of Turkish investments in Western Balkans. Moreover, it may be expected that in the next few years Turkey will increase even further its economic presence and influence in the Balkans. (Brljavac, 2011) There is, however, another aspect related to Turkey's negative image in the region. Of course, the negative image resonates in public attention, far more than the positive one. Above all, Turkey's growing concern over the Arab world has recently created a perception that the country is a potential ally with the Islamic world. This aspect is not very welcome in the 10 Balkan countries, where 88 percent of the population are Christians. Moreover, this approach is mostly attributed to ideological considerations and not actual national interests.

Ankara's efforts to introduce its foreign policy as independent and detached from the West did not go unnoticed by the Balkans (Cagaptay, 2007) It is clear for those who have contributed to spreading a bad image for Turkey in the region where there are segments of the population that have antipathy to Islam. However, Turkey's historic past in the Balkans has had a greater weight in relation alluding to her that she is pursuing a neo-Ottoman policy in the region and has a secret agenda.

School textbooks are the most influential instruments to spread propaganda against a particular country. History books tend to include general judgments, values, and statements that affect the overall perception. A look at the history textbooks used in schools across the Balkans shows that the peoples of the region view negatively the Ottoman past accompanied by Turks. Young people in the Balkans have grown up with books referring to Turks as enemies. According to a public survey by Gallup Balkan Monitor in 2010, 75.1% of people in Albania, 60.2% in Bosnia and Herzegovina, 93.2% in Kosovo and 76.6% in Macedonia, view Turkey as a friend. However, the issue varies in Western Balkan countries where the Muslim population is relatively small. Only 26.7% of people in Croatia, 33.5% in Montenegro and 18.2% in Serbia see Turkey as a friend (Grigoriadis, 2010). Those who have been influenced by the contents of history books and propaganda on neo-Ottomans against Turkey have developed a negative image of Turkey's policies in the region. They believe that Turkey pursues a policy of expansion to the Balkans with political, economic, cultural and educational proportions. For example, these circles see Turkish investments in the region as instruments of a Turkish invasion. It is possible to distinguish the antipathy power against Turks in the Balkans if it looks at Bulgarian Prime Minister Boyko Borisov's visit to Ankara on March 20, 2012. The visit was very successful. Seventeen agreements in the fields of media, transport, communication technologies, tourism, culture, economy and energy were signed between the Bulgarian delegation and Turkey (Murinson, 2009). Despite this success, the Bulgarian media criticized the visit. Above all, some argue that Turkish promises are not sincere and Turkey should not be trusted. The greeting that Borisov made in Turkish honor guards in Ankara during the ceremony became a key point of criticism of Bulgarian nationalists.

### **The Neo-Ottoman approach**

Top Turkish politicians believed that the so-called "Arab Spring" would raise Ankara as an indisputable regional power from the borders of Morocco to Iraq. These Turkish visions were also encouraged by America and within the European Union, with the promotion of the so-called "Turkish model" for the Arabs. This prompted the AKP to change its policies with "zero problems" to the neo-Ottoman dreams of this undisputed, economic and political Turkish supremacy in the Arab world. With its neo-Ottoman dream, Ankara left Ankara-Damascus-Tehran axis and all the advances it had made with Libya, Syria, Iraq, and Lebanon. A wild winter had arrived in Ankara in the field of foreign affairs. Turkish relations deteriorated with almost all the countries on its borders and a sad situation appeared in relations with Tehran and the Kremlin. The Neo-Ottoman approach is more than a school of thought; it is a political doctrine, which is designed by Turgut Ozal, and formulated in full form by Ahmet Davutoğlu (Pajaziti, 2011). The Neo-Ottoman approach in its true, political, political form is an attempt to bring Turkey back to power that has been lost for almost a century, through attempts to create new geostrategic relations aimed at deploying Turkey today in a leading role and at the center of a vast space that matches the old territories of the Ottoman Empire.

Dautoglu emphasizes first that "the Balkans will be the center of everything or the victim of everything. Stressing that, according to him, "the only period in history when the Balkans was not a victim of history was during the Ottoman Empire." But in fact for all those who have dealt with the Balkan history, the truth is that the Ottoman period is taking a haven of the Balkans, a region that by that time had had magnificent streets with cathedrals, museums, temples, majestic palaces, theaters, amphitheaters, libraries and others, and after the Ottoman conquest these cities were all split up. So the appearance of terrible failures as obvious success is another way of presenting the cynicism of Dautoglu.

Supporting the Ottoman past to see Turkey as a center of world politics has been worrying even for Euro-Atlantic politics (Ulgen, 2010). In the Kablograms of the American Embassy in Ankara of 2009 that have already been made public, Turkish politics appears as "dangerous". Here is how one of them writes: "With Rolls Royce's ambitions, but with scarce resources to go into action, Turks have to deal with a" victim "like Haris Silajdzic, (the former Bosnian member of Bosnia and Herzegovina's collective presidency). Below the US embassy cable warns that: "The Turkish foreign policy strategy is to create an alliance of Muslim states that in turn would lead to counterbalance building, slamming the Balkan region on the basis of religious lines." in this case, besides the Muslim axis, an orthodox axis would be created, so successful in the destruction of the Ottoman Empire at the beginning of the last century and today with economic, technological and military superiority that makes the current non-existent Turkish threat (SEESOX, 2011). So helpless is Turkey in the face of this hypothetical axis, as in the Syrian case Turkish politics is drawn, without realization power, all propagandistic and moralizing in the face of aggressive Russian imperialism.

Turkey's ambition requires to be strengthened in the regional and non-world power, a state leader of emerging geopolitical alliances initially regional and then global, competing with the European Union, Russia, China and possibly the US itself. But the first problem facing Turkish foreign policy is the overly complex character of international relations in the Balkans, the Caucasus and the Middle East region (Gordon, Taspinar, and Ozel, 2009). Under these conditions, the Neo-ottoman Union will have to compete with other organizations that have already been consolidated, such as the European Union, the Commonwealth of Independent States (former USSR) and the Arab League. Brands of these alliances include countries such as France, Germany, Russia, Saudi Arabia, who do not look good at increasing Turkish influence in their own areas of influence. The French position on Armenian genocide should be seen as a political measure of Paris to undermine the neo-Ottoman vision in its essence, presenting Ottomanism as a genocidal regime.

It is certain that Turkey with the addition of influence to the former Soviet republics will collide with Russia. Russian influence in these areas is not only ensured by the pro-Russian elites of these countries, but also by the considerable Russian population in these republics. Looking at the balance of power, neither today's Turkey nor tomorrow will be able to face Russia, which has no real state-of-the-art Turkey, but the United States itself.

Likewise Turkey's pro-Arab and pro-Iranian policy will aggravate its relations with the Euro-Atlantic Alliance and with Israel. And today and tomorrow Turkey is unable to collide not only with Europe and the US, but not with Israel. Incidents with the "Mavi Marmara" and gas pipelines in the Mediterranean of Cyprus with Israel show that Turkey has no way of imposing on the region and the less control it. Izareli not only did not apologize for the incident with "Mavi Marmara", but has linked strategic alliances with Greece, Cyprus, Romania and Bulgaria, while being in good relationship with the Kurdistan autonomous region in northern Iraq. Turkish politics has seen with concern these movements of Jerusalem and is therefore concerned. On the other hand, the growing influence of Turkey in the Arab world is being carefully followed in Riyadh and Cairo. Saudi Arabia, possibly Egypt, as Leader of the Arab world are reluctant to lose their areas of influence for the sake of Turkish ambitions, and Turkey as an enemy to Israel may be just a temporary ally.

So the current Turkish foreign policy course in the Balkans is failing. Many that Ankara can achieve is the organization of their few idolaters, populations of Turkish origin, or nostalgic Ottomans, who in the conditions of free circulation of ideas can simply articulate Turkish interests without being able to realize them (Yavuz, 2006). Even the new elite prepared in Turkish universities, where special attention is paid to the "interpretation" of Ottoman history according to Turkish official politics, has not shown much zeal in the defense of Ottomanism and Neo-Ottomanism as its modern variant.

On the other hand, Turkey has hoped in vain for American support. After opposing the deployment of US troops to Turkey to attack Iraq from the north, the US administration realized that Ankara could not be a strategic ally, and under these conditions support for Turkey has become less and less unconditional. The US in their foreign policy, perhaps under the pressure of the European allies and of the powerful Jewish, Greek, and Armenian lobbies are implementing a pro-Israeli and apparently antitrust policy in the region. Evidence for this is the common American-Greek-Israeli military exercise in the Mediterranean, which can also be taken as a signal to Ankara.

Analyzing all the possible developments and factors influencing them, we can say that the Neo-Ottoman Union is a failed project, because Turkey itself is impossible, for its geographical position to fulfill the difficult task of leading a Union of states in a region where world powers have vital interests and means to protect their interests. That is why the Neo-Ottoman project will remain a simple propaganda slogan for all idealist anti-European and anti-Atlantic people.

### **Turkey and the EU**

Turkey, during AKP's governance, received the EU candidate status and then gained the right to start negotiations, which is the final stage for full EU membership. But in recent years, we have stumbled on Turkey's road to EU integration and this not only for Turkey's internal problems, but the main cause is the change of the political climate in the EU. To explain it more clearly, it should first appear that it is important to provide a general historical and political framework for Turkey's road to EU integration and its identification with Europe.

Turkey's identification with Europe for the first time occurs after the Crimean War in the 20th century. XIX. During this period Russia had taken off to extend its influence to Europe and wanted to conquer Constantinople (Istanbul) from the Ottomans. Russia's stance certainly did not suit Britain and therefore it encouraged and helped Turkey to fight the Russian invasion and its intentions. Russia the Czarist, which Catholicism later accepted, compared with other European states, defined as its state religion the Orthodox Christianity. After the destruction of Byzantium by the Ottomans, Russia continued to be called the heir of Orthodoxy and Constantinople continued to be regarded as the spiritual seat of Russia. Constantinople then, even though it was under the rule of the Ottomans, continued to populate with almost an orthodox majority. Once

Turkey has somewhat succeeded in halting the roar of Russia in the European diplomatic circles, though with reservations it began to be treated as part of Europe.

This identification of Turkey with Europe was also expressed in the pan-European movements of intellectuals of the time aimed at uniting Europe and thus avoiding wars and conflicts in the region.

Turkey's orientation towards Europe and its identification with it begin seriously after the establishment of the Republic of Turkey with the head of Mustafa Kemal. After the Second World War, when the idea of joining Europe gradually began to materialize, Turkey has consistently insisted on being part of this process, but in comparison to some other countries that could move faster towards integration into the Union European economy, Turkey has stalled in this process (Beylerbeyi, 2008). Turkey entered a serious European integration process, at a time when key EU states were led by the leftist political spectrum. Especially in the period when the government of Germany and that of the United Kingdom, but also the chairman of the European Commission, who were Italian, were left with a firm conviction. The situation changed when right-wing parties came to power in Germany and especially with the right-wing ruling party in France. While Germany today proposes Turkey a legally binding partnership with the EU and not full membership in it, the French president will not even discuss Turkey's membership of the EU as Turkey's society does not accept it as part of European identity and as such they do not have to become part of the EU.

This hypocritical policy that occurs with Turkey's EU integration process has rightly pushed Turkey's prime minister to finally question France and Germany whether they do not want them to become Turkey's full EU member, because its population is Muslim. But even though the prime minister poses this question and is aware of the answer to his question, he continues persistently on the road to full membership in the EU. There are a number of elements in the disadvantage of Turkey's presence in support of EU countries (Özalim, 2009). Turkey's laws should be aligned with those of the EU, as this is a request from the European Commission to close the negotiation process with the EU before Turkey meets the conditions for full membership in it. These law harmonization takes place at the suggestion of the European Commission, as if Turkey adheres to the EU, it must have its legal order similar to the legal order of other EU member states.

For the case of Turkey, this process is more pronounced but complicated as the source of laws is the Constitution drafted in time of military dictatorship in Turkey, and this automatically means that many laws do not meet EU standards in Turkey agency. The Turkish government uses the European Commission's suggestions to explain to political factors in Turkey and its people that harmonization or change of laws is necessary for the path of European integration and the democratization of society. In this regard, the Government has managed to make visible changes in terms of free speech, liberalization of mass media, changes in the penal code, civilian control of the army and minority rights. These changes that come as suggestions in the form of directives from the European Commission, the government implements and believes that they are primarily interested in the ruling party itself, but also the citizens of Turkey (Berdal, 2001). The government bases the legal changes for the democratization of society in the directives of the European Commission and not on its own initiative to be justified in front of Kemalists who do not like these changes of laws imposed by them. Kemalists must not block these changes of laws because they lose the reputation they have created inside and outside the country that they are only about Turkey's integration with the West and to argue their claim that the ruling party intends to Turkey's integration with the birth.

Turkey's geographic position linking Europe with Asia contributes to the growth of foreign investment, whenever Turkey makes a step forward towards EU membership. This is confirmed by the fact that since Turkey received EU candidate status, and after opening accession negotiations with the EU, foreign and especially Asian investment grew heavily in Turkey. The European market includes 500 million inhabitants, which because of the high standard represent large capacity for consumption. For Asian countries, especially for the Middle East, China, or Japan, Turkey's EU rapprochement wakes up interest. Harmonization of Turkey's economic laws with those of the EU as well as the facilitation of customs procedures for the movement of goods between it and the EU are the main reasons for increasing the investment interest of Asian countries in Turkey. To further develop this new order, which is in favor of Turkey, in addition to economic growth, it affects the reduction of unemployment; the government has recently launched a project to turn Istanbul into an important international financial center.

But today the chances of Turkey's EU membership are actually weakened, but not only by blame on Turkey but also the EU, as the wild propaganda that has been launched in the Western media against Islam has become Islam phobia in the last decade west, and this social reality is also reflected in politics, where Western politicians, and especially those of the right-wing spectrum, use their attitude against Turkey's EU membership as a Muslim-populated state to gain greater political support during the elections .

## **The dynamism of Turkish foreign policy**

The year 2012 in Turkey was a full-fledged year, where the country's so-called "zero-tension neighbors" strategy, which was proposed by Turkey's foreign minister, Ahmed Davutoglu, turned into growing tensions with neighbors. Turkey's foreign policy has shown that Ankara is moving towards intensifying differences with its neighbors.

When Turkish Foreign Minister Ahmet Davutoglu had voiced fear of zero tension with the neighbors, this seemed to be an opening of the road to improving relations with the neighbors. But very soon that hope was fading. The codification of "Strategic Deepening" by Davutoglu, as the architect of Turkey's new foreign policy, has created the fundamental developments of Turkish foreign relations over the last few years (Ataman, 2008).

Turkey's foreign policy has been seriously dependent on the West for decades. Ankara had virtually no initiative, especially in the LM to such an extent that its regional identity was deeply challenged. With the coming to power of the ruling Justice and Development Party, Turkey's foreign policy shifted from a western and biased policy to a multi-faceted policy. The theorist and master of this policy was Ahmet Davutoglu, Erdogan's foreign minister, who in 2001 had designed it in a book titled "Strategic Depth." The book, which in fact is the foreign policy act of the Party for Justice and Development, is written on the basis of some theories. According to Davutoglu, Turkey's power base is the history and geography of this country. In other words, if Turkey plans to increase its regional and international power in the 21st century, it must look at its history and geography as a source of power and as a starting point for its movement. The Strategic Depth Theory is indeed a guide to the use of these energy sources and their adoption within a logical framework. Strategic Depth highlights self-reliance, self-confidence, and protection from other countries. Based on this theory, maintaining its relations with the West, Ankara will have a special look at the East. In view of the fact that the theory is based on more attention to history and geography, he emphasizes the expansion of ties with Asia and the spread of power and influence in this region of the world as a basis for increasing its power in Europe, since Turks are historically considered Asiatic. One of the important points of this theory is the reduction or, in other words, zero problems of Turkey with neighboring countries. For this reason, Ankara has considered the crisis of its neighbors as an opportunity rather than a threat. The issue of zero theory with neighbors dates back to the conflict management theory surrounding Turkey. If we share Turkey's foreign policy in three stages during the ruling Justice and Development Party, we can say that the period 2003-2007 was related to economic and political order and foreign policy took shape on that basis. The period 2007-2010 was the period of zero problems with the neighbors, but from 2010 onwards, after victory in the constitutional referendum, the Turks considered it unnecessary to continue in the second phase and so they focused on their introduction into the regional conflicts as an attempt to manage them.

## **Conclusions**

Turkey's geographical position has faced the country with important changes in the post-Cold War international system. In this context, Turkish foreign policy is also undergoing a process of change parallel to global developments. Consequently, Turkey's foreign policy agenda and the countries with which it cooperated have multiplied in parallel with the rapid developments experienced at the regional and global level.

In this regard today Turkey shows great care to move forward, whether bilateral interstate relations or cooperation with regional organizations, not only with Russia and China, but also with many countries in a broad geography that stretches from Africa to Latin America and from Europe to Asia. Behind these efforts rather than clean economic interests, an important place needs the need for co-operation and perceptions of common interests that the new worldly order makes necessary. In the forthcoming period, Turkey will continue to increase and strengthen these relations on the basis of the values it believes and the regional / global vision for the future.

Finally, Turkey and the United States are two powerful allies and partners. Both countries work closely together on the issues that matter in common agendas. This cooperation includes a broad geography, from the Balkans to the Caucasus and Central Asia and from Europe to the Middle East. It also includes issues of critical importance, such as the fight against terrorism, energy security, the prevention of nuclear proliferation and global economic developments. This relationship, defined as a model partnership, expresses the specificity, depth and multidimensionality of cooperation in the economic, cultural, scientific and similar fields as well as in the political field.

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## TED Talks as the Core of a Technical English Course

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### Abstract

The teaching of English for Specific Purposes (ESP) poses numerous challenges for instructors, among which the design of a syllabus for courses that may be highly specific. This paper describes and discusses an actual instance of syllabus design that contemplates the joint use of authentic materials and commercially available textbooks. Created for an undergraduate-level Technical English course, the curriculum in question has an array of specially-selected TED Talks as its core. The talks – short lectures delivered in English by world-leading scientists, engineers and technologists at live events – combine scientific rigour with a dynamic style of presentation; this – it is argued in the work – allows for engaging the students' attention as well as introducing them to the use of English in technical contexts. The contents drawn from the talks are supplemented with specific classroom exercises and activities that are gathered from existing, commercially-available Technical English textbooks. An illustration of the way in which the different materials are used in the course is provided herein by means of a discussion of one of the course's sessions.

**Keywords:** Syllabus design, technical English, TED talks, authentic materials

### 1. Introduction

The choice of suitable teaching materials for technical English subjects has traditionally been a concern in the field of teaching English for specific purposes, and even today it is still a current topic (Munby, 1978; Hutchinson and Waters, 1987; Robinson, 1991; Dudley-Evans and St. John, 1998; Alcaraz, 2000; Räisänen and Fortanet, 2008; Rea, 2010; Brown, 2016). Dudley-Evans and St. John (1998:14) refer in particular to the shortage of appropriate textbooks: "It is rarely possible to use a particular textbook without the need for supplementary material and sometimes not really suitable material exists for certain of the identified needs".

This question arises unavoidably during the search for a textbook specifically designed for the teaching of technical English which could meet students' learning needs and allow them to develop the competences established in the curriculum of the subject. Aspects such as needs analysis, syllabus design, lack of adequate textbooks for the different varieties of technical English and the elaboration of teaching materials by ESP teachers, among others, are closely related and usually revisited every time it is intended to update the content of technical English subjects.

This paper addresses some of such key aspects in relation to the subject of technical English that is taught in five degrees of the Higher Technical School of Industrial Engineering of the Technical University of Cartagena (namely, in the degrees in Electrical Engineering; Industrial Electronics and Automation; Mechanics; Industrial Chemistry; and Industrial Technologies). According to the description of the degree programs, the contents of the technical English subject are conveyed as follows:

Introduction to different professional contexts (case studies) of industrial engineering through different means (textual and audiovisual), in order that students get familiarized with the technical vocabulary of their specialization and develop skills to communicate in such contexts both orally and in writing<sup>1</sup>.

During the academic year 2015-16, after the arrival of new members at the teaching team and the review of the syllabus and the teaching material of the subject, it was decided to update the subject to refurbish it with the contents referred to in

<sup>1</sup> Área de Filología Inglesa. "Guía docente". <http://www.upct.es/estudios/grado/5061/calidad.php>. Access 25th November 2017.

the curriculum, and with the aim to facilitate that the students could develop the corresponding basic, general and specific competences. Faced with such aim, the first challenge to overcome was the origin of the material, that is, how and where to find interesting and innovative teaching material that could reinvent the subject.

Given the difficulty of finding an appropriate textbook for an academic situation like the one described, it was decided to resort to the use of authentic material (Anthony, 2018), meaning any type of oral or written text that has not been produced to teach the language. More specifically, it was decided to use the so-called "TED Talks" as a basis around which to redefine the subject. TED is a non-profit American entity; according to its own website, its purpose is to disseminate ideas, usually in the form of brief talks - about 18 minutes long - delivered by influential people (scientists, engineers, entrepreneurs and others). TED began in 1984 as a conference in which "Technology, Entertainment and Design" converged (hence its name) and today covers almost all topics, from scientific to business and global issues. The talks are available in more than 100 languages<sup>1</sup>.

There are precedents in the elaboration of teaching units based on the TED talks for teaching general English (Park, Sun-Mih & Cha, Kyung-Whan, 2013) and specialized English (Suginaga, 2013; Takaesu, 2013). TED's own website includes a section that offers activities based on lectures for the teaching of subjects other than languages. Similarly, there are courses based on these talks complemented with other types of materials (Broadaway, 2012; Sheehan, 2014). In all cases, the importance and suitability of the TED talks as authentic material for teaching the language is notably highlighted, as Park and Cha (2013) remark: "TED.com [...] has many advantages as a source of authentic listening materials from the view of second language learning and teaching".

Next, we will present how the TED talks have been used in the subject of technical English. For this purpose, the most relevant aspects of this subject will be described, including its course unit description as well as the general organization of the classes. Afterwards, one of these classes will be considered as a case study, with references to the different ways that the TED talks can offer to develop general and specialized linguistic competences.

## 2. General description of the syllabus

The syllabus of the subject starts from the learning goals stated in the curriculum of the five degrees in engineering that share the same descriptors. They introduce two kinds of competence, that is, a transversal competence and a specific one (E31). The former refers to the first transversal competence (T1) out of the seven competences provided by the "7 competences model" report (Herrero et al., 2013). The report revisits the competences that students must develop and a renewed model is designed considering the experience acquired by the university teachers and the recommendations put forward by the ANECA, the National Agency of Quality Evaluation and Accreditation in Spain<sup>2</sup>. The final outcome establishes the following competences:

Efficient communication orally and in writing.

Team work

Autonomous learning

Digital competence

Putting into practice the acquired knowledge

Application of ethical and sustainable criteria in decision-making

Designing and undertaking innovative projects

All the competences are subsequently defined and expanded in three levels of attainment. T1 is defined as the capacity to express and convey ideas and knowledge clearly and efficiently, orally and in writing, both in a technical and academic setting (ibid). The definition does not specify the language of communication, although it is assumed that it refers to

<sup>1</sup> See TED. "Our organization". <https://www.ted.com/about/our-organization>. Access 25 November 2017.

<sup>2</sup> The *Agencia Nacional de Evaluación de la Calidad y Acreditación (ANECA)* is an autonomous organization belonging to the Ministry of Science, Innovation and Universities, which aims to contribute to the improvement of the quality of the Higher Education system through evaluation, certification and accreditation of teaching, teaching staff and institutions.

Spanish. Then in the case of the technical English subject, the specific competence switches the focus onto the foreign language.

Regarding the different levels of attainment, for T1 the first level involves accurate spelling and grammar in short oral and written texts. The second one adds accurate structuring in longer texts, showing assimilation of contents and synthesis. Finally, the third level demands major oral and written expository and persuasive academic texts, developed fluently and accurately.

Given the goals and addressees of the subject, technical vocabulary and language functions used in professional settings and everyday engineering contexts are on the spotlight. Likewise, the subject combines oral and written practice with the stimulation of students' self-learning abilities. Both objectives are pursued through a program of eight thematic units articulated around a specific TED talk, as shown in table 1.

Unit	TED talk
1. Energy generation, conversion and storage	The missing link to renewable energy
2. Electricity and electronics applied to everyday devices	A demo of wireless electricity
3. Mechanics and construction, gears and forces	The cheap all-terrain wheelchair
4. Robotics and automation, parts and pieces. Measurement units	Robots that fly...and cooperate
5. Industry and recycling, waste materials	We can recycle plastics
6. Materials and design, everyday materials in the industry	What if 3D printing was 100x faster?
7. Water treatment, hydraulic systems	Energy from floating algae pods
8. Technological advances throughout history	The next step in nanotechnology

Table 1. Teaching units and TED talks.

These eight specialized thematic units, in turn, are combined with their eight counterparts (Table 2) related either with technical English or with general English matters. The contents constituting this second group are not assigned to any of the eight units in particular. This is intended to provide certain flexibility to the teachers, who decide individually where to include the contents depending on their assessment of the particular circumstances of the course to manage, as well as the characteristics of each of the lectures and their didactic potential.

Unit
Clauses of contrast – causative verbs
Phrasals, comparisons and contrast
Comparatives and superlatives – giving reasons
Scanning reading – engaging in discussion (agreement and disagreement)
Explaining processes, passive voice
Describing parts and functions
Lexical fields for properties and materials: nouns/adjectives
Effective use of self-branding techniques

Table 2. Other contents attached to technical units.

Even though the general structure of every unit is flexible, they comply with the following pre-established sections: First, the corresponding technical subject of the unit (Table 1) is introduced in English with the aim to activate students' previous knowledge of the subject. Then, the key terms and expressions appearing in the talk are anticipated by pointing out their pronunciation, meaning and use in the language. Afterwards, the selected talk is employed as a sample of oral text for discourse analysis and/or for discussion activities by means of speaking and writing tasks. Finally, the traditional use of English (UOE) exercises are included, characterized, however, by the fact that they have been designed ad hoc from the language content in the TED talks. The session is completed with further UOE activities coming from other teaching sources.

### 3. Teaching experience: case study

This section is concerned with illustrating the way in which the previously described approach to syllabus design was translated into actual classroom practice. An excerpt of one of the sessions included in the aforementioned Technical English course is discussed, with details of the materials used for designing the session. This is intended as a demonstration of how TED talks can be used in combination with more conventional teaching materials in order to create activities that relate to the commonly recognised linguistic competences – namely speaking, listening, reading and writing – and are likewise connected with the course's specific contents, as discussed in the previous section.

The TED talk that was used for this particular session is 'What if 3D printing was 100x times faster?' [3DP], a lecture delivered in March 2015 by the American chemist, academic and entrepreneur Joseph DeSimone. Lasting for approximately 11 minutes, 3DP focuses on an innovative 3D printing procedure that is described as being faster and more efficient than conventional, 'layer by layer' 3D printing. Based on the use of 'polymer chemistry to harness light and oxygen to grow parts continuously', DeSimone's procedure is explicitly acknowledged to have been inspired by science-fiction film *Terminator 2: Judgment Day* (James Cameron, 1991):

Now, we were inspired by the 'Terminator 2' scene for [the character named] T-1000, and we thought, why couldn't a 3D printer operate in this fashion, where you have an object arise out of a puddle in essentially real time with essentially no waste to make a great object?...And could we be inspired by Hollywood and come up with ways to actually try to get this to work? And that was our challenge.

These excerpts from 3DP are revealing of the combination of scientific accuracy and a dynamic presentation style that is typical of TED Talks. On the one hand, the science of 3D printing is tackled with rigour; on the other hand, technical vocabulary is used in an accessible way, and the speaker does not refrain from using popular culture as a way of engaging a mostly non-specialist audience.

As for the teaching materials that were used in addition to 3DP, David Bonamy's *Pearson Technical English 4 Course Book* [PTE4] was paramount. PTE4 is a text book aimed at upper-intermediate students that includes speaking, listening, writing and use of English contents with an emphasis on the language related to 'technical and industrial specialisations', thus being particularly suitable for the course in question. Together with 3DP and PTE4, a series of excerpts from Brian Krassenstein's '3D Printing: Employment Boom or Employment Swoon?' [3DPB] – a short feature on the possible 'outcome of a 3D printing economy' – were also employed.

Turning now to the session itself, this was described in the course's syllabus as corresponding to Unit 6, 'Materials and design, everyday materials in the industry'. Intended as an introduction to 'Lexical fields for properties and materials: nouns/adjectives' – one of the skills and abilities laid out in the syllabus – the session comprised a speaking task and two use of English activities, with the former being held at the beginning of the session and the latter following suit.

The speaking task unfolded in five steps. First, a particular excerpt from 3DP was shown to students. In that excerpt the speaker discusses some of the possible applications of his innovative procedure (Figure 1):

**Inglés Técnico GITI G1 2018-19. 7 November 2018**

**2 Speaking**

**'Think about if you need a stent in an emergency situation, instead of the doctor pulling off a stent out of the shelf that was just standard sizes, having a stent that's designed for you...printed in an emergency situation in real time out of the properties such that the stent could go away after 18 months: really-game changing. Or digital dentistry, and making these kinds of structures even while you're in the dentist chair.'**

**(From the talk's transcript)**

**> No need for items and parts manufactured by human workers in conventional factories**

Figure 1.

The excerpt was accompanied by an observation about the implications of such a scenario (Figure 1). Students were reminded that items and parts currently manufactured in conventional factories might no longer be purchased by potential users if the possibility to print them on demand existed, thus making it feasible that numerous jobs were lost as a consequence. This view was then reinforced by means of an excerpt from 3DPB (Figure 2):

**Inglés Técnico GITI G1 2018-19. 7 November 2018**

**2 Speaking**

**'We have already seen intense debates concerning what the outcome of a 3D printing economy may be. Traditionally, technology has created more jobs than it has destroyed. When computers began to emerge on the scene in jobs, talks of job losses were nearly as intense as they are today, surrounding 3D printing. What happened? The majority of people were wrong. Just think about how many jobs the Googles, Apples, and Microsofts of the world have created over the past decade alone.**

**The basic pessimistic view on 3D printing is that the jobs market will be decimated, with losses in the tens of millions. Combined with robotics and intelligent machines, automation within manufacturing will certainly intensify. The question is, will 3D printing and these other technologies ultimately lead to a net decline in total jobs?'**

**(Source: '3D Printing: Employment Boom or Employment Swoon?')**

Figure 2.

Building on all of this, a question for debate was proposed to students: Do you think that new procedures and techniques such as 3D printing or automation will destroy jobs? Or do you believe that they will create new ones? After introducing the question (Figure 3) students were split into groups of three or four; they were instructed to debate the question for ten minutes and name a spokesperson for the group. The function of spokespersons was to share their respective groups' opinions with the rest of the class during an open debate that would be conducted by the lecturer after the end of in-group discussions.

Inglés Técnico GITI G1 2018-19. 7 November 2018

2 Speaking

Do you think that new procedures and techniques such as 3D printing or automation will destroy jobs? Or do you believe that they will create new ones?

Figure 3.

Once the speaking task was completed, students were asked to turn their attention to the use of English activities. First, a selection of excerpts from 3DP containing relevant technical vocabulary was shown to students; individual items of vocabulary such as 'cure', 'high-elasticity' or 'high-dampening' – all of them related to the particular skills and abilities included in the syllabus – were discussed and commented on for students (Fig. 4).

Inglés Técnico GITI G1 2018-19. 7 November 2018

3 Vocabulary. Materials

'if we could grow really fast, we could also start using materials that are self-curing'

(From the talk's transcript)

'Cure' > 'to encourage the proper hardening of [materials]'

Spanish 'curar', 'endurecer'

Figure 4.

Then, an exercise from PTE 4 was proposed to students. The exercise features six brief fragments from tests descriptions, and students were asked to fill in the gaps in the excerpts with nouns describing different properties of materials – e.g. 'absorbency', 'ductility', 'durability' and 'malleability'. Additional vocabulary used in the test descriptions – for example, 'release' or 'lifetime span' – was likewise discussed (Figure 5).

Inglés Técnico GITI G1 2018-19. 7 November 2018

3 Vocabulary. Materials

'...the ability of materials to catch fire, to release heat...'

>'If something releases gas, heat, or a substance, it causes it to leave its container or the substance that it was part of and enter the surrounding atmosphere or area.' (Collins) = 'Send' 'Emit', 'Produce'

'This testing provides an estimate of the plastic product's lifetime span.'

> 'A span is the period of time between two dates or events during which something exists, functions, or happens.' (Collins) = Spanish 'vida útil'

Figure 5.

#### 4. Conclusion

This paper was aimed at providing an actual example of syllabus design for an undergraduate-level Technical English course. The syllabus was mostly built on the so-called TED Talks as a resort for the inclusion of authentic materials in the language class facing the lack of specific technical English course books. The syllabus was supplemented with conventional teaching materials such from text books and others. It is held that using the two of them in the ways discussed in this paper may offer a possibility to practice the linguistic competences – both general and specific – that are the object of the course, as well as assimilating its contents.

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## The Function of Public Squares: Study of the Way People Behave in Public Squares in Athens, Greece

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### Abstract

No matter what we do and where we go, when we are in public spaces, we try to satisfy our needs, although there is always a reason for the practice of good etiquette. Such needs derive from both our ideas and from our social and living environment, which are influential factors. In that context, a successful place serves peoples' needs and that is the reason why this topic consists of one of the most significant ones in urban design theory and practice. Indeed, during the previous decades, a series of researches like the ones of Jan Gehl's and William Whyte's, have tried to study the degree in which urban environment is related to peoples' behavior in public spaces, in various cities, worldwide. In Greece, such researches were not common. During the last years, an increased interest about this topic is observed. This is probably related to the growing interest of local authorities to implement Sustainable Urban Mobility Plans (SUMP) and change Greek cities into more functional ones. In that context, this research paper tries to give a survey on how people behave in public squares in neighborhoods in Athens. In that way, it evaluates the existing knowledge with regard to attitudes and behavior in public spaces. Finally, the physical characteristics of public squares and the way in which they urge or discourage people to behave is another topic studied in this paper.

**Keywords:** urban spaces, public squares, human behavior, observation, Athens.

### Introduction

Urban public squares are considered as the field on which human social life unfolds (Webb, 1990; Kyriakidis, 2016). According to Zucker (1959), squares are comparable to work of arts, as he compares the square and the feelings it creates to the passerby to the ones that art pieces bring forth to their observers (Carmona et. al.,2003).

It is true that the aforementioned references offer a general outline of the importance of urban squares within the urban design and planning process. Through the examination of the town and city planning history, it is clear that squares have always been the point of reference in each city. Certainly, centrality was the main characteristic of the Agora in ancient Greek cities, the Forum in ancient Roman ones and the market and church places in medieval ones (Gospodini, 1995) and so on. However, the idea of centrality which, according to Unwin (1909), is considered as the best way to achieve an excellent and artful urban design, should not necessarily be related to the geographical centre of the cities, as Gospodini (1995) underlines. As Moughtin (2003) points out, centrality appears in areas where great public buildings and projects exist, along with equally great public infrastructure; it is the place where urban art is located and public life takes place; it is the central point to where all the streets lead, signifying the important role of squares for everyday human life.

The aforementioned theories bring forth a correlation between public space and the surroundings (land use, architecture, public transport, parking policy and street morphology). This correlation becomes more complicated if one perceives that the various factors affecting urban life interfere with one another, such as parking policy and land use (Bakogiannis, Kyriakidis and Siti, 2018).

Based on the aforementioned data, it is established that the examination of the way squares function is a topic that needs to be approached in a multidimensional way, taking a number of factors into account. Especially in Greece, where research on this subject is limited, contrary to other countries worldwide (see in: Whyte, 1980; Mehta, 2009 a; Gehl, 2010; Gehl and Svarre, 2013; Sepe, 2017), there is a pressing need for the enhancement of research interest in this field as many cities tend to implement Sustainable Urban Mobility Plans (SUMP). The social characteristics of public space are one of the most important aspects of the issue. This specific research paper focuses on the social characteristics of three urban squares located in various parts of Athens. More specifically, the research question to be answered is: Is there any relationship between the design of urban squares in Athens and their social characteristics?

### **Methodology**

The aim of the research paper is to draw conclusions between the design of urban squares in Athenian neighborhoods (Nea Ionia, Pagrati, Agios Dimitrios) and their social characteristics. The question emerged through the observation of obvious social differentiations in the spatial distribution (mainly age and gender distribution) in public places in Athens. In order to answer this question, three Athenian squares were selected, based on the following criteria: (a) similar distance from metro stations, (b) land use mix around the square, (c) different ways of connection to the square (type of roads that surround it).

The survey was conducted during August-October 2018, so that the weather conditions favored the pedestrians to stay in outside spaces (Bakogiannis, et.al., 2018). It relied on the collection and the evaluation of qualitative and quantitative data. Specifically, the same method was used in a series of corresponding studies, through observation (Lynch, 1960; Whyte, 1980; Kyriakidis, 2016; Kyriakidis, Bakogiannis and Siolas, 2017; Kyriakidis and Bakogiannis, 2018). The observation was conducted in four stages during the day: 7.30-9.30, 12.30-14.30, 16.30-18.30 and 21.30-23.30. In each observation, information was collected regarding the (a) gender; (b) age of the users of the squares; (c) their activity; and (d) the duration of the activity. The data were recorded through a coding system, which was proportional to the corresponding system used in the research work of Mehta (2009 b).

Furthermore, photographs were taken in order to illustrate the way citizens act within the squares. In this way, questions arise regarding how, when, where and by whom the public space of urban squares is used (Mehta, 2009 b).

In order to draw conclusions, the mapping of the various activities and social/demographic characteristics was used as a method. Thus, it was possible to draw safer conclusions for every square. The mapping itself was carried out with ArcGIS software in order to facilitate the analysis of the collected data in the next stage. At this stage, this paper presents only the initial conclusions.

### **Case studies Research**

#### **Presentation of the Study Areas**

The three squares selected as study areas for this research are: (a) the 28th October Street Square in Nea Ionia neighborhood, (b) the Aris Velouhiotis' Square in Agios Dimitrios and (c) the Mesologgiou Square in Pagrati neighborhood. Figure 1 displays the location of the areas of study in the Athens metropolitan area.



Figure 1. The squares studied within the Athens metropolitan area.

Pagrati is a central neighbourhood of Athens that joined the Athenian urban complex in the late 1900s. It is densely structured and its appearance has changed since the last century (Bakogiannis, et al., 2015) both its structured environment and its social structure. Agios Dimitrios is an area also established in the early 20th century, as well. High-rise buildings are also located in this area. However, the building density is not as high as in the Pagrati one. Traditional buildings are also located in this neighbourhood. In contrast, Nea Ionia is a neighbourhood that mainly preserves the traditional residential character and structure (two-flat and three-flat buildings) (Bakogiannis, et al., 2015).

	Aris Velouhiotis Square	28 <sup>th</sup> October Str. Square	Mesologgiou Square
<b>Neighborhood</b>	Agios Dimitrios	Nea Ionia	Pagrati
<b>Geometry</b>	Triangle	Undefined (almost parallelogram)	Square
<b>Spatial Integration</b>	One main street & 3 neighborhood streets	4 neighborhood streets	2 neighborhood streets and 2 pedestrian streets
<b>Organization of the square</b>	Boundaries only in two sides of the square	Boundaries in almost all the sides of the square (strong sense of enclosure)	Boundaries in almost all the sides of the square (strong sense of enclosure)

Table 1. Summary of the main characteristics of the squares studied.

As for the squares under examination, they present differences in geometry, integration within the urban fabric and organization of the square space itself. Table 1 presents the characteristics of each square. The common elements they share were the distance from railway stations and the land use mix, as a series of fundamental activities is located around the squares themselves.

## Results

The observation revealed data on the number of citizens use the squares and their pavements. In this chapter, the results presented are the initial ones. The focus of the research, at this point, is set on the examination of the probability of age or gender spatial distribution within the squares in question. A total of 994 people were reported exhibiting various static activities. The Mesologgiou Square in Pagrati neighbourhood seemed to be the liveliest square as 61.2% of the people were seen there. Indeed, the number of users in that square was significantly larger than the number of users of other squares, in almost all the observation sessions that were taken within a day. This conclusion is related to two important elements of the square: (a) its integration into the urban fabric (there are two pedestrian streets that allow for easy passage and presence of pedestrians) and (b) the existence of several places for recreation, such as cafés and bars.

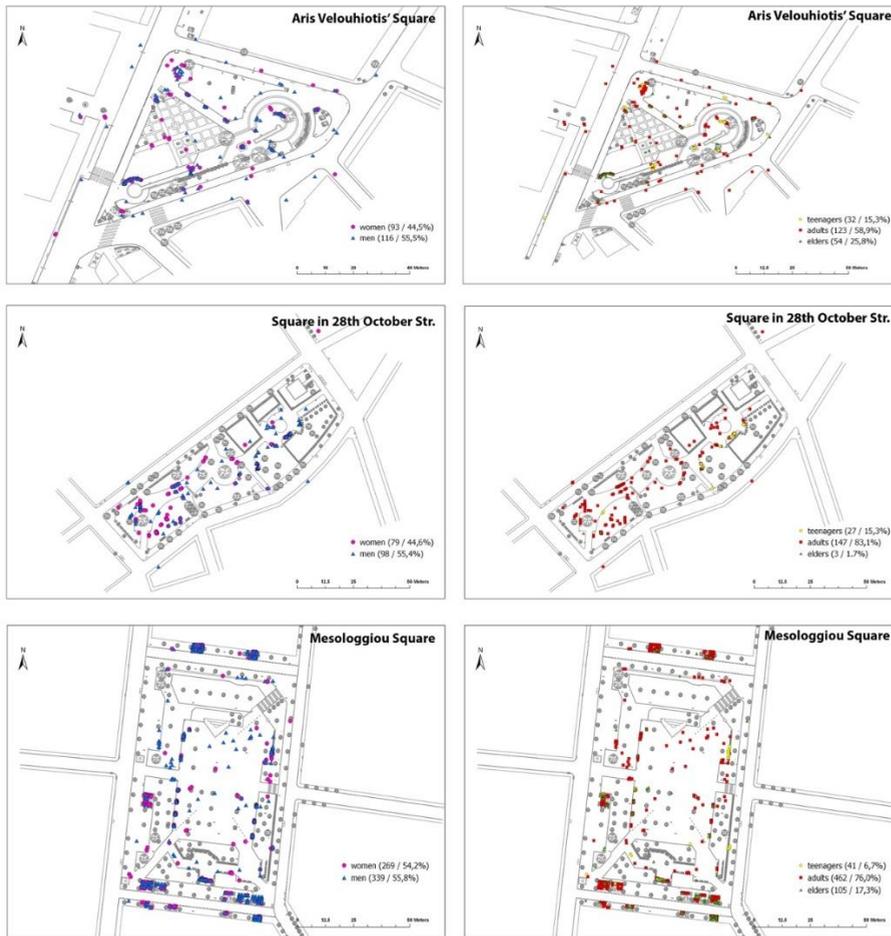


Figure 2. Activities recorded in the squares studied. On the left-hand side maps, activities are classified according to the gender of the person acts and on the right-hand side maps, activities are classified according to the age of the person acts.

Indeed, looking at Fig. 2 it is noted that a large number of activities were recorded along the sidewalks and in the privatized spaces rented by the cafés for the use of these spaces and the retention of their patrons. The presence of privatized sites in Aris Velouhiotis' Square in Agios Dimitrios has resulted in increased crowd presence in these areas. This observation confirms the results of a similar survey comparing the cities of Larisa (Greece) and Nottingham (UK) (Kyriakidis, 2016), which emphasizes the importance of recreational activities for the attraction of people to their public space and livability.

An important issue raised in the literature is the social characteristics of the users of the squares. Gender is an important parameter. This feature, according to Whyte (1980), could be an important indicator of the quality of urban space in general. In fact, his findings highlight a correlation between the presence of women with the degree of liveability and safety. The results of Larisa and Nottingham (Kyriakidis, 2016) are the same. Apart from the proportion of women, Whyte (1980) presents another indicator for well-used squares. This is the number of groups that visit the square. In all the squares examined, the proportion of women does not differ significantly from that of men, as shown in Fig. 2.

Respectively, no significant differentiation is observed even if the three squares are compared with each other. Regarding their space distribution, no gender spatial distribution is found in any square (Figure 2). This observation does not raise questions that need to be further investigated (i.e. design qualities that attract more women or men, design qualities that make women or men feel unsafe, etc.).

Another important factor related to the degree of livability of the squares is age. Indeed, a series of surveys (Oc and Tiesdell, 1997; Kyriakidis, 2016; Kyriakidis, Bakogiannis and Siolas, 2017) examine the age of public space users. One main reason is that, as Oc and Tiesdell (1997) emphasize, it was observed people of specific age groups are attracted by their peers. As a result of this observation, age spatial distribution within urban space would be expected. Such a phenomenon is observed, more or less, in all the squares examined, after all. However, the extent of the phenomenon is quite small due to the fact that the surface of the squares is not large and thus the visual contact among the majority of users is possible. Another observation is that the likelihood of mingling among people of different age groups is greater when their ages are closer (i.e. teenagers and adults or adults and elders). On the contrary, people who differ significantly in age (teenagers and elders) tend to choose different spots to sit and act within the squares, as Fig. 2 presents.

As for the age profile of the users of the squares, most of them were adults (18-65 years old). The percentage of the elderly was greater in the Aris Velouhiotis Square but smaller in the Square in Nea Ionia neighbourhood. The smallest number of adolescents was recorded in Mesologiou Square in Pagrati neighbourhood, while approximately the same was in the other two squares. Ultimately, a phenomenon commonly experienced is that the adolescents are mainly located in the public space of the squares. As it turned out from the observations, almost everyone likes to sit on benches and not in open-air cafeteria spaces. There they talk to each other and meet their friends. A similar finding was also apparent in Larissa where young people tend to sit on the benches where they stay for long time intervals (Kyriakidis, 2016).

## Conclusions

The question of how public spaces function has always been an issue for urban planners. The reason is that there is a correlation between how they function and how successful they are. In Greece, this issue has not been studied in detail, making it a very important field of research. The fact that over the past five years more and more municipalities are interested in the operational assessment of their public spaces in the framework of the implementation of Sustainable Urban Mobility Plans (SUMP) makes this research subject even more relevant and necessary to study in the various Greek cities.

In this context, this work focuses on the functional evaluation of urban squares in the neighborhoods of Athens. The chosen neighborhoods are scattered across the Athens metropolitan area so that the focus of the research is not limited to the city center. Through observation, various conclusions have been drawn about how the three squares in Pagrati, Nea Ionia and Agios Dimitrios neighborhoods. However, this work focused on the social characteristics of the squares and their association with the degree of how well the squares in the study function. The main conclusions are summarized in the following points:

The integration of the squares in the public space seems to affect the degree of livability. Through the survey, it is observed that pedestrian streets work positively in attracting people and them carrying out static activities. As for the neighborhood streets, it is apparent that the square bordering a main street seems to attract more static activities than a square surrounded by local roads. However, the aforementioned conclusion should be further investigated in order to be considered as valid, as this observation may be the result of other parameters such as land use.

The squares are meeting places of both men and women, although the former are slightly larger in number. The strong presence of women in squares shows that they perceive them as a safe place that invites them to stay. Another positive fact is that there is no gender spatial distribution, since in almost all the squares almost as many men as women were observed.

The main type of users is adults. Teenagers are the least frequent users of the squares. Although there are no observable phenomena of age spatial distribution, there is a smaller possibility of mingling among individuals of the two extremely different age groups. This differentiation is due to the different hours of use of squares by users of different ages, the parts of the square they tend to occupy (and the design qualities of those places) and prefer to visit, and the tendency of people to attract more of their peers.

From the aforementioned data, it is obvious that the squares examined are lively enough, and Mesologiou Square, the one with the highest degree of integration in the urban fabric and land use mix, is considered to be the liveliest one. The fact that gender spatial distribution is not detected, while age spatial distribution is limited, permits a positive evaluation of the squares. Further research needs to be done in order to explore the squares' social characteristics, the motives of their users and the type and duration of the activities taking place in them.

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## The Government's 100 Deputy Ministers, Guarantee for Success or Waste of Money?

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### Abstract

Kosovo lies in Europe (geographically). In 2008 has declared its independence. It consists of 1,771,604 inhabitants, and is the poorest country in Europe, which has a government consisting of a prime minister, five deputy prime-ministers, 21 ministers, and approximately 100 deputy ministers<sup>1</sup>. The history of Kosovo government, as well as of those in the region do not recognize such a large number of political eminents with the position of deputy minister within a government. Their engagement costs the Kosovo budget around 30 million euros per year. But the question is: what do they do? Does their work justify all these expenses? The precise purpose of this study is the analysis of the engagement and results of the Deputy Ministers of the Government of the Republic of Kosovo within a year of its functioning. Through analysis of their work reports, it is intended to come the necessary conclusions about the rankings and shortcomings of a government with such a large number of deputy ministers.

**Keywords:** government, deputy ministers, reports, functioning

### Introduction

On September 9th, 2017, the new Government was elected by the Assembly of the Republic of Kosovo, constituted from the elections of 11 June 2017. Although the ruling coalition had gathered a total of 22 political entities, in an extended Assembly session, it was adopted by only 61 Members of Parliament, from the total of 120 Members. The delay of several months in establishing the Government had occurred due to the fact that the pre-election coalition, the so-called PAN coalition (PDK, AAK, Nisma), had won the elections of June 11th, but could not gain a sufficient number of seats in the Assembly to constitute the Government, and therefore needed yet another partner to get the majority of votes. By the early month of September, after extensive negotiations, the winning coalition PAN would be joined by the Alliance for a New Kosovo (AKR), led by Behxhet Pacolli, who had competed in the June 11th Elections in a pre-election coalition with LDK (Kosovo Democratic League) and Alternativa, and ranked third in terms of the number of seats in the Assembly of Kosovo.<sup>2</sup> Within its coalition with LDK, AKR had gained four seats in the June 11th elections, only to join the winning coalition and enable it to form the Government, and in the meantime, it would lose one Member of Parliament, who went independent. Hence, it took three Members of Parliament for the PAN Coalition to form the government as a winner of elections. This was made possible, but clearly at an exceptionally high cost<sup>3</sup>: with only three seats or votes (out of 120), AKR took the following positions in the Government voted on 09.09.2017: one Deputy Prime Minister, five ministers, and at least seven deputy ministers.

However, the political agreement between the PAN Coalition and AKR was never made public. In fact, it was the journalists who had only published some parts of the agreement. What was made public was very concerning. The Government was expanded from 19 to 21 ministries, and from 3 Deputy Ministers, 5 Deputy Ministers were appointed. With a regulation it

<sup>1</sup> The number of deputy Ministers appointed by Prime Minister Haradinaj is not yet complete. The government was constituted by the Assembly of the Republic of Kosovo for more than a year, but deputy ministers are still being appointed. This government appointed the last deputy minister in September 2018. For more: <https://www.koha.net/arberi/118557/lirak-celaj-zevendesminister-ne-mie/>. Accessed on September 2018

<sup>2</sup> News on agreement made between AKR and PAN Coalition. For more see <https://www.dw.com/sq/kosov%C3%AB-arrihet-marr%C3%ABveshje-e-re-koalicioni-pan-akr/a-40360025>. Accessed on September 2018

<sup>3</sup> AKR with a few MPs, but many ministries". For more see: <http://www.ekonomiaonline.com/politike/akr-ja-pak-deputete-shume-ministri/>. Accessed on September 2018

passed, the Government also broke the record of political advisors. The Prime Minister now has 21 advisors, from a previous number of 12. Ministers have 7 advisors each, from the earlier number of 6.<sup>1</sup>

While in opposition, now Prime Minister Haradinaj had strongly criticized the former Government for its large number of deputy ministers. Later, on 16.12.2014, he had issued the following statement for the public:

*"Dear citizens of the country,*

*In the current social and economic state in Kosovo, the Government cannot have more than one deputy minister per ministry. It is very concerning, unacceptable even, that after establishing a record number of Ministries, the Government will have more than one deputy minister per Ministry. This meaningless increase of government spending is transitioning into an arrogant abuse of power, serving strictly clientèle interests. Reduction of the Government cabinet is a necessity. The current approach only shows that Kosovo is now growing into a Party-State! Hear our call - stop these acts!*

*RH,*<sup>2</sup>

**The number of political appointees in the Haradinaj Government has reached the number of 664 positions. According to published sections of the Agreement, the structure of the new government would look like this:** 1 Prime Minister, 21 advisors, 15 support staff; 5 Deputy Prime Ministers, 30 advisors, 25 support staff; 21 ministers, 147 advisors, 84 support staff; 105 deputy ministers, 210 support staff.<sup>3</sup>

Due to public pressure, much of this information is not public in websites of the Government and line ministries.

However, setting from the fact that the purpose of this study is the performance of deputy ministers, there is not much focus on other positions, such as the Deputy Prime Ministers, or advisors that have reached the hundreds.

#### **Appointment and accomodation of Deputy Ministers in ministries**

Many of the candidates in political entities that had failed in their contest for seats in the Assembly of the Republic of Kosovo in the general elections of June 11, 2017, or in their contest for Mayoral elections in the fall of 2017, were proposed by coalition parties, and were appointed to deputy minister positions by the Prime Minister.<sup>4</sup> Therefore, already at the onset, this shows that these senior state positions did not really require any quality or professionalism criterion, and it only meant accommodation of people close to their parties.

Political scientist Ramush Tahiri had stated to "Zeri" that appointment of this large number of deputy ministers in the Haradinaj Government is all about political bargains and partisan interests, i.e. *"Pure clientèle interests, partisan and individual"*, *Political bargains in the case of coalitions express clan and group interests of partisan elites and leaders, and do not necessarily represent any interest of the constituents or citizens.*<sup>5</sup>

A similar opinion is held by a political analyst, Imer Mushkolaj, who has the following statement on the appointment of deputy ministers in the Haradinaj Government,

*"Most frequent news from the Government of Kosovo are related to appointment of deputy ministers. Not even a day can pass without having someone accomodated in such a position. Naturally, positions are given to partisan officials and militants, and it is not too rare that such positions are awarded to those who have lost in local elections, or that could not gain a seat in the national elections"*<sup>6</sup>

<sup>1</sup> Public statement by Mr. Haradinaj in his official Facebook profile. 16.12.2014. For more see:

<https://www.koha.net/veshtrime/59634/qeveria-qe-pranon-se-abuzon-me-pushtetin/>. Accessed on September 2018

<sup>2</sup> Ibid. Accessed on September 2018

<sup>3</sup> Ibid. Accessed on September 2018

<sup>4</sup> "They lose in municipalities, they are rewarded in the Government". Article at "Zëri". For more see:

<http://zeri.info/aktuale/171015/humbin-ne-komuna-shperblehen-ne-qeverit/>. Accessed on September 2018

<sup>5</sup> "Appointment of deputy ministers, pure clientèle interests". Article at "Zëri". For more see: <http://zeri.info/aktuale/171068/emerimi-i-zevendesministrave-klientelizem-i-paster/>. Accessed on September 2018

<sup>6</sup> Ibid. Accessed on September 2018

On the other hand, Agron Demi from the GAP Institute calls the positions of deputy ministers a shelter for political losers, a rather costly social assistance scheme.<sup>1</sup> Mr. Demi also addresses the financial issue, the irrational damages these positions are to inflict on the budget of the Republic of Kosovo.

Beyond (lack of) professional criteria in appointing deputy ministers, an ongoing challenge was their physical accommodation in ministries. In almost every ministry, a difficulty was found in terms of available space, because such a large political appointee staff was never planned for. There have been cases of extensive periods of time required to provide for offices to deputy ministers, including modifications in relevant buildings, and even sub-divisions of existing offices by plasterboards, often also obstructing civil servants and administration in ministries in their efforts to provide for space in buildings.<sup>2</sup> Such difficulties in their accommodation in relevant ministries were widely discussed and mentioned by the newly appointed Deputy Ministers themselves in their working reports, as requested in writing by Prime Minister Haradinaj, in a meeting with D/Ministers held in December 2017.<sup>3</sup>

### Working Reports by Deputy Ministers

Under the public pressure exerted by mainly media outlets on the huge number of deputy Ministers, the Prime Minister decided to appoint them on a staged approach, in a higher frequency, in an effort to conceal such, almost weekly, appointments from the public. Even today, there are still appointments of deputy ministers in various ministries. The most recent one, which surprisingly is not published in the website of the relevant ministry, is Deputy Minister Lirak Çela from PDK, for whom on 21 September 2018, there was an article by the Koha.net portal.<sup>4</sup>

Such media pressure had forced the Prime Minister to deal with another challenge, which was performance "measurement" for the deputy ministers. In a meeting called only for the deputy ministers, a meeting which would obviously be held in one of the largest rooms in the Government Building, and not in the Government Meeting Room, due to the large number of deputy ministers, the Prime Minister requested from deputy ministers to submit their work reports for the second period of 100 days, which would be in April 2018, in which deputy ministers would report on their performance. That did occur, and each deputy minister began submitting their working reports to the Prime Minister.

Nevertheless, their performance reports were critically lacking in concrete actions in assisting their ministries in fulfilling its objectives, namely in fulfilling the Government Plan, and even beyond, deputy ministers had also written about technicalities that should not take any room in such reports. Deputy Minister's reports also included spelling errors<sup>5</sup> and an exceptionally poor wording and structuring. These reports were published by kallxo.com Portal, titling them the "Deputy Minister Files"<sup>6</sup> and "General's Soldiers"<sup>7</sup>. In both links, deputy ministers' reports are derided and mocked to a high degree. Almost in every report, the portal found information that can hardly count as an activity, which would in turn be measured for performance. The reports even had pointy titles accentuating laughable actions found in working reports, such as e.g.: "I was present in a conference of Prime Minister Haradinaj", "I feel comfortable with my chair", "I have represented the Ministry in inaugurations", "I have not communicated with the minister", "I went to Novi Pazar and Gusinje", "I have made a tour around Kosovo", "I distributed acknowledgments to teachers", "I went to a Restaurant in Prizren in the capacity of a Deputy Minister", "I had a TV appearance", "I met YOU!", "I have no cooperation with the Minister Abelard Tahiri", "I cannot meet Minister Pacolli", etc.<sup>8</sup>

<sup>1</sup> "Deputy Minister positions as social assistance for party officials". Article at "KOHA". For more see: <https://www.koha.net/veshtrime/58440/postet-e-zevendesministrave-si-asistence-sociale-per-zyrtaret-e-partive/>. Accessed on September 2018

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<sup>7</sup> "General's Soldiers". Article at "Kallxo.com". For more see: <https://kallxo.com/tag/ushtaret-e-gjeneralit/>. Accessed on September 2018

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Hence, these reports also talk about complaints by the Deputy ministers, who say that they have not been able to meet their supervisor Ministers, for months on row. These complaints were addressed by some of the Deputy Ministers to the Prime Minister, from whom they sought help.<sup>1</sup>

These facts, as extracted from Deputy Ministers' reports were denoted by opposition parties to be scandalous. Indeed, the same term was used also by the civil society, namely NGOs monitoring Government performance. "*Deputy Ministers' Reports, laughable*", was the title by Rasim Alija, from the Democracy in Action (D4D). "*Reports, or at least those that we have seen, are laughable, and these reports best reflect a ludicrous performance in writing and reporting. Such reporting by Deputy Ministers not only fails to justify their appointment and performance, but also underlines an urgent need to address the Law on the Government, which would provide on the number of ministries, ministers and deputy ministers, thereby avoiding appointment of charlatans in government positions*";<sup>2</sup> According to him, the appointment procedure itself was already an indicator of the fact that people were just accommodated for a salary, becoming a free weight for the state budget.<sup>3</sup>

On the other hand, according to the "FOL" Movement, "*The Government, with its 100 ministers and deputy ministers, only succeeded to implement 57% of the annual workplan of the Government of the Republic of Kosovo, in the period January-June 2018*".<sup>4</sup>, thereby alluding to an apparently poor performance thereof. This organization had monitored government institutions, and concluded to the following: "*Findings from the monitoring on 22 institutions show that out of 225 activities as reflected in the Annual Work Plan of the Government for the period January-June, only 130, or 57%, of such activities have been implemented, while 95 activities, or 41%, remain pending or incomplete in this reporting period*".<sup>5</sup>

On the other hand, according to Arton Demhasaj from the Organization for Democracy, Anti-Corruption and Dignity "Çohu", "*such a large number of deputy ministers and political appointees is not there for doing important work in the Government, but to feed political party egoistic interest for senior government positions*".<sup>6</sup>

### Expenses of Deputy Ministers

Such a large number of deputy ministers would unavoidably carry a high budgetary cost. Indeed, one of the most concerning matters that were raised constantly in the public was the large cost inflicted upon state budget. According to an estimate made by Radio "Free Europe"<sup>7</sup>, one deputy minister would cost the state budget some 32,520 Euros a year. "*A deputy minister's salary would be 1,200 Euros, and may have one assistant, paid 419 Euros monthly, and a driver, paid 441 Euros monthly. One deputy minister may use a cell phone up to 150 Euros in credit, and the land line for up to 100 Euros. They can spend up to 200 Euro in food and drinks. There is no limit on fuels, but the average is 200 Euros a month. One deputy minister would cost 2710 Euros monthly, and 32,520 euros yearly. It does not end here though, because on assumption of the position, a deputy minister would receive a mobile phone costing up to 800 euros, 3,000 euros for travels, and the entitlement of 70 percent of the salary for six months upon termination of position*".<sup>8</sup> Therefore, 100 deputy ministers would cost the state budget over 30 Million Euros.

Although Prime Minister Haradinaj had stated that the expense made in deputy ministers is not a waste, because the dynamics are different, and that his main concern was how his ministers would delegate concrete work to their deputies,

<sup>1</sup> "Deputy Ministers complain to Haradinaj for the negligence of their supervisor Ministers". Article at "Koha.net". For more see: <http://fax.al/read/news/15927937/17952150/zv-ministrat-i-ankohen-haradinajt-se-po-shperfillen-nga-ministrat-perkates>. Accessed on September 2018

<sup>2</sup> "Scandalous reports by deputy ministers". Article at "Zëri". For more see: <http://zeri.info/aktuale/209941/raportet-skandaloze-te-zevendesministrave/>. Accessed on September 2018

<sup>3</sup> Ibid. Accessed on September 2018

<sup>4</sup> Ibid. Accessed on September 2018

<sup>5</sup> Ibid. Accessed on September 2018

<sup>6</sup> "Is there work for 70 deputy ministers?". Article at "Zëri". For more see: [http://zeri.info/ajax.php?data=2018-05-07+16:04:55&ajax\\_category=1&ajax\\_id=197908](http://zeri.info/ajax.php?data=2018-05-07+16:04:55&ajax_category=1&ajax_id=197908). Accessed on September 2018

<sup>7</sup> "How much do deputy ministers cost?" An article in "Free Europe". For more see: <https://www.evropaelire.org/a/sa-kushtojne-zevendesministrat/28920215.html>. Accessed on September 2018

<sup>8</sup> "How much do deputy ministers cost Kosovo?" Article at "Telegrafi". For more see: <https://telegafi.com/sa-kushtojne-zevendesministrat-kosoves-video/>. Accessed on September 2018

and to make efforts that the political trust vested upon them would be used to respond to the government dynamics already established in the country.<sup>1</sup>

However, these statements by the Prime Minister were never agreed upon by the civil society, who had continuously raised this problem for debate. These enormous costs of the Government Cabinet were criticized by the *Head of EU Office in Prishtina herself, Nataliya Apostolova, who had said that "with better management, salaries spent in such a large number of deputy ministers would be rerouted to development and deep reforms in education."*<sup>2</sup>

## Conclusion

As seen above, the large number of political appointees in the current Government of the Republic of Kosovo, special emphasis on deputy ministers, is absolutely unjustifiable. Indeed, the statement of one of the deputy ministers in a meeting of the Prime Minister with the latter, which quotes, "*I have been a Deputy Minister for the last six months. There have been results in the Ministry due to our initiative, our rather lengthy experience. I have a few remarks myself against the communication we have in relation to the Foreign Minister, Behgjet Pacolli. I have not had any communication with the Minister for the last six months*", shows best how delegation of responsibilities is made, and accountability in terms of their engagement in their positions. It is already clear that this political agreement between the ruling coalition partners does a lot in terms of "sheltering" political militants, and in most cases, without any specific specialty, and this is clearly seen in their working reports submitted to the Prime Minister, but with their engagement, there is a tendency to exert some type of "control" over activities of relevant ministries by political entities, and through deputy ministers, which is also proven in complaints they had, even related to strict communication with relevant supervisor ministers. Therefore, in a way or another, this unjustifiable number of such deputy ministers has rendered coordination of activities in ministries very difficult. These are facts that in turn justify the concern of civil society, that the large number of political appointees, or specifically deputy ministers in the current government, is a complete waste of money.

Therefore, as a conclusion, it is recommended that a new Law is drafted and proceeded regulating the Government of the Republic of Kosovo, a law that would provide clearly on the number of political appointees in the Government of Kosovo.

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- [1] Media company in Kosovo "KOHA", [www.koha.net](http://www.koha.net);
- [2] "Deutsche Welle" is Germany's public international broadcaster, [www.dw.com](http://www.dw.com);
- [3] "KALLXO" is Online platform for reporting corruption, fraud, conflict of interest, and other
- [4] related cases of misuse of official position, negligence and including cases on hampering the
- [5] Kosovo citizens' rights, [www.kallxo.com](http://www.kallxo.com);
- [6] "Radio Free Europe" is a United States government-funded organization that broadcasts and
- [7] reports news, information, and analysis to countries in Eastern Europe, Central Asia and
- [8] the Middle East, [www.evropaelire.org](http://www.evropaelire.org);
- [9] Online media in Kosovo "ZËRI", [www.zeri.org](http://www.zeri.org);
- [10] Online media in Kosovo "EKONOMIAONLINE", [www.ekonomiaonline.com](http://www.ekonomiaonline.com);
- [11] Online media in Kosovo "VERIU", [www.veriu.info](http://www.veriu.info);
- [12] Online media in Kosovo "TELEGRAFI", [www.telegrafi.com](http://www.telegrafi.com);
- [13] Online media in Kosovo "AKTIVPRESS", [www.aktivpress.com](http://www.aktivpress.com).

<sup>1</sup> Compare "Arrogant abuse with power". Article at "Aktivpress". For more see: <http://aktivpress.com/abuzimi-arrogant-me-pushtetin/>. Accessed on September 2018

<sup>2</sup> "Untouchable deputy ministers". Article at "Zëri". For more: <http://zeri.info/aktuale/199685/zevendesministrat-e-paprekshem/>. Accessed on September 2018

## The Impact of Local Structures on Political-Social Actions, Case Study: Iranian Baluch

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### Abstract

This article has studied the impact of fairly stable and effective structures on political-social actions of Iranian Baluch. There are some essential relationships between these structures that have been shaped to some extent before being determined and they are shaper of social or individual actions. In this research structure doesn't have a concrete form but it is in conjunction with mentality and empowering, to some extent. These structural levels in the realm of Baluch geography of Iran direct actions of these people in that area in a certain framework. In order to understand political-social actions of Baluch area of Iran, first political-social structures have been extracted in a library and documentary method. Since extracted structures didn't have necessary assurance they were offered to Baluch experts in the form of research variables and were weighed relying on received ideas. After weighing, the most important effective variable was primary measured in the form of research-made questioner and they were distributed among statistical community after measuring reliability and validity. The results of field studies in any variable express the impact of these structures on political-social actions of citizens in this part of Iran. And these structures direct actions and political-social behaviors of Baluch citizens, therefore, any kind of planning for citizens needs knowing these structures and their stable effects on resident's actions in this part of Iran. The method of this research is analytical-descriptive. The dominant approach is quantity. The results are based on logical argument of results of field findings.

**Keywords:** Baluch, Local structure, Social actions, Political actions

### Introduction

A spectrum of traits, features, spirits, values, and emotions, distinguish the citizens of geographical spaces, and construct any collection of values, attitudes, traits, and cultural structures (Sariolghalam, 2007, 21). Lerner analyses static of structures ruling over societies this part of the world in his book called "pass from traditional society: modernization of the Middle East" (Lerner Daniel with collaboration of Lucille w, 2004; 144-167). These are attitudes which include a lot of ecological society like Baluch. Iranian Baluch situation, like other ecological groups arise from numerous reasons, one of them is structure ruling them. These structures are stable and static and are a part of local values which are affected by their social, economical, cultural, political, and environmental conditions. Formed structures affect their social actions. Relying on political powers affected by special conditions, social actions also have specific outcomes.

Studied political-social forms are affected by political culture which is formed in this part of Iran and is considered as a tool for transmitting this issue from individual and micro analysis level to social and culture-centered analysis (Chiclote, 1998). Studied structures in this research are formed in the form of culture which is result of historical attempts and people's common procedures and it is fluid force at the level of a community whose people have been forced to do certain actions and it also forms one part of does, don'ts and norms of the society. These norms, does and don'ts have an important impact on plans and goals of governments and societies and have important role in changes of geographical environments. In fact political strategies are related to bigger arguments of cultural political economy (Dalby, 2014: 54); political culture is shaping spatial process in the framework of limitations and facilities which space offers to effective forces (Hafeznia & Allahverdizade, 2010: 48). In other words, these static structures or a low-dynamic structure, give a framework to residents' actions of a certain geographical space and gives special articulation to a complex network of ruling relations which are related to each other (Craib, 2002: 498 Azad Armaki, 1997: 170).

In addition to emphasis on structures, some scholars give special importance to spatial and temporal units and they believe that spatial and temporal units have such place that can shape human actions. Such understanding from structure helps

us to have more realistic understanding of social phenomenon like local actions in geographical spaces. Therefore, concept of political culture is based on following assumptions:

1. In any society, certain political culture directs political processes.
2. Political behavior in any society originated from a sequence of beliefs, emotions, and recognitions.
3. Beliefs, emotions, and reorganizations are transformed based on special pattern and notion not by dance.
4. A person in the society has eternalized these beliefs, emotions, and values and it emerges as a part of people's personality and source of their behaviors (Razzaghi, 200-201).

Political and polygamy system ruling over Baluch living space is not similar and there are some differences among ecological groups resident in each space. For instance, there are some differences between residents of Mirjaveh and Rigi nomads and Mobaraki tribe in central Baluchestan and Siahani and Gomshadei in Saravan. Management methods or even cultural level of each tribe impacts on type of its obedience. In this research it has been tried to extract a general approach towards emergence of political-social actions of Baluch citizens, with regard to the most important and the most effective traditional as well as new effective variables like media, political groups, social networks etc. Since, geographical space of this province has had numerous political-social actions after Islamic revolution of Iran and it had been focused in national development plan in sixth development plan of Iran, this research can be content for developmental studies.

### Methodology

Data gathering Method: In this research data has been gathered in two ways of library-document and field research. In library-document, the variable related to social culture which impacts on political processes have been studied and extracted. These variables have been assessed in the form of questions by elites and social specialist who were 21 people. Therefore, variables which had the most reasonable weight in order to analyze effective cultural indices on Baluch political behavior were separated from the variable with the least reasonable weight. Then the results of weighing the most important variables in the form of researcher-made questioners were assessed initially and after measuring validity and reliability, they were distributed among intended statistical community in cities of Zahedan, Mirjaveh, Saravan, Iranshar and Chabahar. Regarding distribution of spatial and demographic statistical community in the expected time period, 51 questioners were received. Results of questioners have been assessed in the part of field findings of the research by with statistical tests.

### Appropriate test for analysis:

The aim of ahead hypotheses is determining ratio of two for and against groups about raised questions and this matter that can posed hypothesis be generalized to the target community in the sample with high reliability? So, it is needed to use appropriate average difference analysis tests. With regard to this matter that variables scale is in nominal level and also data distribution doesn't follow normal distribution; it is need to use nonparametric tests. Appropriate test for this analysis is binominal one which is equivalent of nonparametric single-sample T-test. For assessing validity of questioner Cronbach Alpha has been used. The following table is result of questioner test.

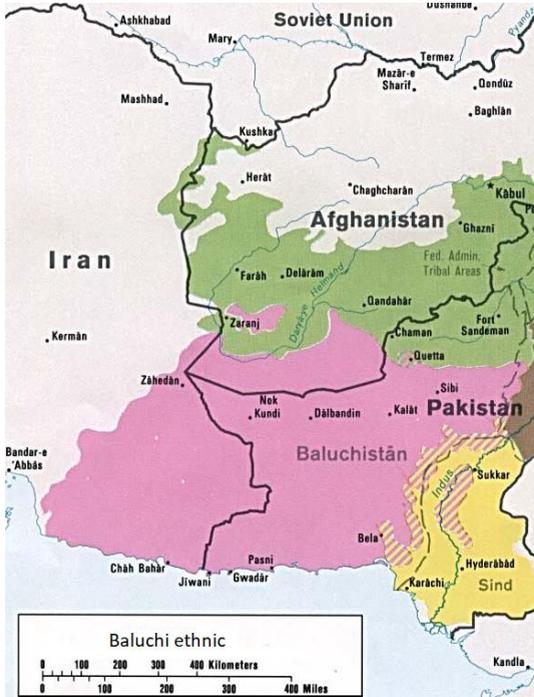
Table 1- Result of Cronbach's Alpha Test

		N	%
Cases	Valid	48	94.0
	Excluded	3	6.0
	Total	51	100.0
Cronbach Alpha		questions	
0/724		13	

As it is observed in the table, Cronbach Alpha equals % 724 which is indication of acceptable validity of questioner. The dominant approach to research is quantity in the part of field studies. However, the results of received questioners are based on logical argument of results of field findings.

**The research domain:** special domain of research includes Baluchistan regions and cities of Zahedan, Mirjaveh, Khash, Saravan, Iranshahr, Chabahar and Sarbaz. Since south part of Sistan and Baluchestan province has more coherent mixture

of Baluch society, the cities in south part have the most statistical frequency in questioners. The time period of research in field data is the second half of 2017 and first half of 2018.

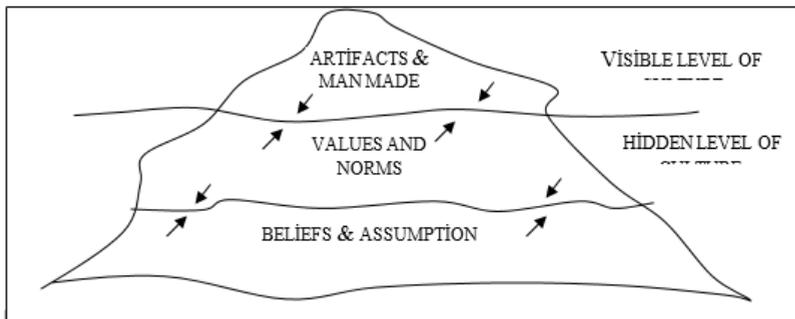


### Theoretical Framework

Theoretical framework of this research is based on structural theory and political culture has been considered as theme of studied variables in emergence of behavioral actions of Baluch citizens. In any political system, there is a regular mental area of politics which give meaning to politics, regularity to institutions, and social relations to individual actions. Political culture delivers a command to person in order to do a political behavior and a structure of values to the whole community which has helped to guarantee solidarity in functions (Dowse & Hages, 1972: 225).

Edgar H Schein has studied culture in three-layer interaction of beliefs and assumption, values and norms, and assumptions and manufactures. Those groups of artifacts which transfer special meanings become a symbol during the process. Therefore artifacts and manufactures shape visible level of culture of a community (Hatch, 1997: 210-211) (Figure 1).

Figure 1: Visible and hidden level of cult



Source: (Hatch, 1997: 211)

Sydney, Roba, and others emphasize political culture in the non-experimental framework and during native history of a country (Inglehart, 1988: 1205-1228), and divides it in the form of limited political culture, subordinate or passive and collaborative (Nosrati, 2002 & Barrie, 1989: 80-81 Dowse & Huges, 1972:229 & Almond and S.Verba, 1963: 20). The Intended political culture is considered based on some scientists' point of view like Ronald Inglehart, Samuel Barnes, Robert Putnam, and other, that people and members of a society reacts to them with regard to their understandings and imaginations (Weiner & Huntington. 2002:483).

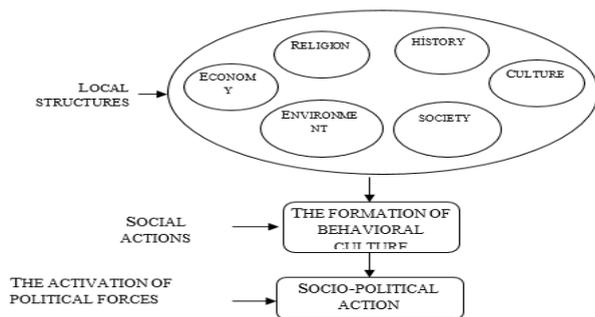
The concept of political culture hasn't been used in its theoretical formwork before 1956. After using this term in an article with title of "Adaptive political systems" by Almond it was developed in the epistemic field (Almond, 1956: 296), and become a key concept in comparison and adaptive and cultural studies among countries and was able to play an important role in determining political behavior (Almond & Coleman, 1960 & Almond & Verba, 1963 & Eckstein, 1988).

Theory of structuring with a new point-of-view on structure and action, while presenting new definition of these two in process of social and natural phenomena believes that these two are effective (Ritzer, 1998: 130-132). Social structure has been used by active agents and these structures are evolved by characteristics of structure and agents (Moghaddasi & Gohodraty, 1383: 3). Elements of a construct are characterized according to these rules (Boshiriyeh: 280). In the center of structure theory, a person has creativity, authority, and evaluation force as a social agent. But it is these values and social norms which present his/her action (Lazarsfeld, 1997: 96-241), and there is a complex network of values norms, customs, and social habits which have surrounded the human will and direct it. Humans are not able to select out of this network and they only do actions which are in the framework of public interest (Craib, 2002: 49-858. Bashiriyeh, 2010: 85). Parsons believes that culture is one of four dimensions of society (politics, culture, community and economy). He also believes that culture is a system of actions and poses cultural variable: in the sense that he brings up duality of culture which claims some groups or people only have one kind of it. He expresses duality of emotional action/ non-emotional action, propagations/ separation, specify/ generalism and assignment and, acquisition in relation to culture (Azkia & Gholamreza, 2005: 184-188).

Political culture is a collection of cognitive, analytical, and emotional tendencies which is stated in relation to political phenomenon (Liyphart, 1980: 38). Many political beliefs are transferred to the person in the childhood through educational spaces in the family, school, and society and stability of these beliefs and the realities of their symbols in the society cause to evolve them. If the beliefs near to governmental centers have authenticity with public beliefs, and educational system, media, and sense of satisfaction reinforce them, political stability of that system increases (Verba, 1980: 398, 399). Whenever political culture in a society maintain their characteristics for a long term something, out of agents' will is imposed on it and its functions determine the logic ruling political culture (Lashgarit, 2018: 128).

Since changing these types of beliefs come true during the time and with wide extensive developments, fairly long stability, rules over these beliefs. Eventually, produced forces are effective in emergence, growth and loyalty to shaped values (Hafeznia & Kaviani Rad, 2004: 17), and with relying on shaped characteristics, it follows posing radical demands and claims (Hajjani, 2010: 53-54). Regarding above-mentioned theoretical discussion, theoretical framework of research has been indicated in figure 2 which presents political-social actions of local community.

Figure 2: Process of shaping political-social actions in local communities.



## Background

Philip Carl Salzman, Canadian anthropologist, researched about Baluchistan of Iran widely. He started his research in Baluchistan in 1968 and with writing a research called "Adaptation and shift among Yar Ahmadzahi "Baluch" was able to receive PhD degree of Chicago University in the US. He has studied similarities, differences, and changes of Baluch during the time, political, economical, and environmental cycles (Salzman, 1996: 7-12).

Some his research titles are:

- Baluchistan black tents
- Kinship and contract in Baluch battalion groups
- Baluch emigrants in market
- Multisource emigration in Baluchistan of Iran
- Adaptation and political structure in Baluchistan of Iran
- Islam and authority in tribal Iran: a comparative review

Mohammad Hosein Popali Yazdi in an article under the name of "political-economical consequences of Baluchistan without palm trees" in 1997 has analyzed the economical, cultural, and social role of palm trees and date and their political, social and economical consequences of their destruction, consequences which remind destruction of traditional economy and its unplanned replacement by products and new cultures. In this article Baluchistan and its economical structures like goat, camel and smuggling (business from Baluch point of view), has shaped a political, social, and economical culture which is different from other regions of the country and their destruction has deep consequences in this part of geographical space of Iran because of language and regional differences and communication inconsistency (Papoli yazdi, 1988: 51-34).

Gholamheidar Ibrahimy Salami in an article under the name of "landscapes of stable development of east of Iran" in the Quarterly of geographical research in 2005 has analyzed capacities of development in this part. In this study communication capacities have been considered as infrastructural agent of development. Implemented or planning designs with relying on rail communication paths are considered in this research (Ebrahimbak salam, 2005: 48-85).

Yadollah Karimpour in his PhD thesis under the name "geopolitical analysis of Sistan and Baluchistan regions" has analyzed geopolitical reasons of the criticality of this region and reasons like poverty, smuggling, Wahhabis, natural conditions. Afghans, drugs, divergence, and security weakness (karimpour, 1992)

Mohammad saeed Janebollahi in an article called political economical and social, systems in Sarhad Bahuch tribes (case study: Rigi tribe), has studied social and economical aspects and local actions of Rigi tribe in relation to local space. Researchers' emphasize in this article is on local structure and style of social life and anthropology of Rigi tribe (Janebollahi, 1995: 54-82).

Morad kaviani-rad has studied ethnic and religious heterogeneous features and Baluchistan situations and ethnic convergent and divergent identity elements of Baluch in his PhD thesis under name of "studying ethnic role in national alliance: case study: Baluch Folk" (kaviani Rad, 2001).

Mohammad Bagher Ghalibaf in his PhD thesis under the name of "studying the role of geographical elements in security of Sistan and Baluchistan" concluded that three basic agents are main reasons of problems in this area which are as follows, 1) Geographical and climatic conditions of the area, 2) centrifugal factor in the area, and 3) Border features of Sistan and Baluchistan (Ghalibaf, 1996).

Some other people like Hamid Ahmadi (2000), Davood Mir Mohammadi (1994), Mojtaba Maghsadi (2001), Niknam Hoseini Poor Sisakht (1991), Teimoor Nasiri fard (1992), Sayed Salman Hoseini (2009) Mohsen Rezaee (2005), Fahimeh Hoseinzadeh (2001), Barzin Zarghami (2008) and other have studied in this field.

## Research Findings

### Political-Social variables

Among extracted variables in the library part 17 variables influencing political-social actions of Iranian Baluch were extracted. With regard to this matter that extracted variables are numerous and sometimes inconsistent, they were given

to professional statistical community and their results weighed in a simple method. These results are presented in table 2 (Source of seventeen variables: Salzman, Philip Carl, 1996, karimipoor 1994, Ebrahimzadeh 2011, Ebrahimzade 2009, papli Yazdi 1989, and Janebollahi 1996). Most of confirmed variables were cultural and social which based on initial assumption, impact on political behavior of citizens. In other words, extracted social variables impact political actions in local, national, and even regional levels. Therefore the designed question was based on this assumption that you should give a number between 1-10 to each variable according to role playing and degree of importance in cultural political action of Baluch citizens. After gaining scores and their normalization, following results were achieved.

Table 2: Cultural-social c influencing political actions of Baluch citizens

variables	mean	Normalization	ranked
Religious leadership	6.6	0.121	1
Tribal structure	5.9	0.108	4
Family	5.72	0.105	5
State media	4.88	0.090	8
New social networks	4.96	0.091	7
Person as member of Baluch tribe	5.08	0.093	6
National level structure	4.32	0.079	10
Individual interests	4.7	0.086	9
Local customs and rituals	5.96	0.109	3
Baluch language	6.34	0.116	2

### Questioner Findings (Field research findings)

With Regard to confirming social-cultural variables influencing effected on political actions of Baluch citizens and conformity of resulted validity and reliability of primary tests, results of pervious stage were distributed among statistical community in the form of questioner containing different forms of confirmed items in Likert spectrum. Results of evaluating items in terms of statistical samples in statistical community related to binominal T-test are presented in table 3.

Table 3: Cultural-social variables resulted from statistical questioner

Variable	Groups	Agree/ disagree	Number	Ratio observed
Role of religious leaders in social political actions	Group 1	Agree	42	%96
	Group 2	disagree	2	%04
	Total		48	%100
The impact of tribal structure on social political actions	Group 1	Agree	42	%95
	Group 2	disagree	2	%05
	Total			%100
The role of family in emergence of social-political actions	Group 1	Agree	37	%93
	Group 2	disagree	3	%07
	Total			%100
State media influencing social-political action	Group 1	Agree	18	%51
	Group 2	disagree	17	%49
	Total			%100
Social networks influencing social-political action	Group 1	Agree	40	%95
	Group 2	disagree	2	%05
	Total			%100
Impact of the whole culture of the tribe on social-political action	Group 1	Agree	37	%93
	Group 2	disagree	3	%07
	Total			%100
Folk-centered of Baluch citizens' social-political actions	Group 1	Agree	38	%97
	Group 2	disagree	1	%03

	Total			%100
Role of national interests in emergence of social-political actions	Group 1	Agree	39	%93
	Group 2	disagree	3	%07
	Total			%100
The impact of local customs and rituals on social-political actions	Group 1	Agree	35	%95
	Group 2	disagree	2	%05
	Total			%100
The role of Baluch accent on booster of convergence with other Iranian citizens	Group 1	Agree	40	%91
	Group 2	disagree	4	%09
	Total			%100
Impact of religious structure on Baluch social-political actions	Group 1	Agree	36	%88
	Group 2	disagree	5	%12
	Total			%100
Individual sources on Baluch social-political actions	Group 1	Agree	21	%51
	Group 2	disagree	20	%49
	Total			%100
The impact of structures of national level in emergence of Baluch social-political actions	Group 1	Agree	20	%49
	Group 2	disagree	21	%51
	Total			%100

**The role of religious leaders in social-political actions:** Regarding this matter that observed possibility of significance in this item is 00% and this is < %5, the null hypothesis is rejected. Therefore, according to above sample the ratio of people who agree with hypothesis of "religious leaders encourage social-political actions" is 96% and as a result, the desired hypothesis is confirmed.

**The impact of tribal structure on social-political actions:** Regarding this matter that observed possibility of significance in this item is 00% and this is < %5, the null hypothesis is rejected. Therefore, according to above sample the ratio of people who agree with hypothesis of "tribal structures encourage social-political actions" is 95% and as a result, the desired hypothesis is confirmed.

**The role of family in emergence of social-political actions:** Regarding that observed probability of significance is 00% and this is < 5%. The null hypothesis is rejected. Therefore according to above sample the ratio of people who agree with the hypothesis of "family encourages political-social action" is 93% and as a result intended hypothesis is confirmed.

**State media influencing political-social actions:** Regard this matter that observed probability of significance is 1% and this > 05% consequently above test is not significant and the null hypothesis is not rejected. In other words, state media doesn't persuade social-political actions in Baluch citizens.

**Social networks influencing social-political actions:** with Regard to this matter that observed possibility of significance is 00% and this is < 05%, the null hypothesis is rejected. Therefore according to above sample the ratio of people who agree this hypothesis of "new social networks encourages social-political actions" is 95, as a result this hypothesis is confirmed.

**The impact of the whole tribal culture ruling social-political actions:** with regard to this matter that observed possibility of significance is 00% and this is < 05% the null hypothesis is rejected. Therefore according to above sample, the ratio of people who agree the hypothesis of "political-social actions follows tribal culture ruling folk" is 93% and the hypothesis is confirmed.

**Folk-centered political-social actions of citizens:** Regarding this matter that that observed possibility of significance is 00% and this is < 05% the null hypothesis is rejected. Therefore according above sample, the ratio of people who agree this hypothesis of "political-social actions are folk-centered" is 93% and the hypothesis is confirmed.

**The role of national interests in emergence of political-social actions:** Regarding this matter that observed possibility of significance is 00% and this is < 05% the null hypothesis is rejected. Therefore according above sample, the ratio of people who agree with hypothesis of "the role of national interests in social-political actions" is 95% and the hypothesis is confirmed.

**The impact of local customs and rituals in political-social actions:** Regarding this matter that that observed possibility of significance is 00% and this is < 05% the null hypothesis is rejected. Therefore according to above sample, the ratio of people who agree this hypothesis that "local customs and rituals encourage social-political actions" is 95% and the hypothesis is confirmed.

**The impact of Baluch accent on reinforcing convergence with other Iranian citizens:** Regarding this matter that observed possibility of significance is 00% and this is < 05% the null hypothesis is rejected. Therefore according above sample, the ratio of people who agree this hypothesis that "political-social actions reinforce convergence with other Iranian citizens" is 91% and the hypothesis is confirmed.

**The impact of religious structure of political-social actions of citizens:** with regard to this matter that observed possibility of significance is 14% and this is < 05% the null hypothesis is rejected. Therefore according above sample, the ratio of people who agree this hypothesis of "political-social actions are affected by their religions structure" is 88% and the hypothesis is confirmed.

**The impact of natural level structures in emergence of political-social actions:** Regarding this matter that possibility of significance is 5% the null hypothesis isn't rejected. Therefore, according above sample, the ratio of people who agree this hypothesis that "national level structure has bigger role in emergence of political-social actions" is 51% and the hypothesis is not confirmed.

National level structures have been emerged in shaping Intra-regional conflicts and ethnic religious competitions. With regard to religious- political structure ruling on the country, ethnic competitions made smooth Shia's entrance to administrative, political, cultural and managerial structures of Baluchistan. On the other hand under the influence of performance of national level and reducing use of Sunnis citizens in these structures, regional, ethnic, and religious competitions became stronger in this geographical space of Iran. Outcomes of the above conditions had impact on emergence of local challenges and conflicts.

**Individual interests influencing political-social actions:** Regarding this matter that possibility of significance is 05% the null hypothesis is not rejected. Therefore according above sample, the ratio of people who agree this hypothesis that "individual interests has more role in emergence of social-political actions" is 49% and the hypothesis is not confirmed.

### Analysis and conclusions

Considering features, characteristics, morals, values, and situations of Baluch citizens in studied variable shows that structures influencing political-social behaviors and actions are as follow in table 4.

Table 4: cultural-social variables influencing political actions of Baluch citizens

Indices	Rank
Religious leadership	1
Baluch language	2
Local rituals and customs	3
Tribal structure	4
Family	5
Person as a member of Baluch ethnic	6
New social network	7
Official State media	8
Individual interests	9
National level structures	10

Among other fairly stable local structures religious leaders have effective role in professional statistical community's point of view. Regarding results in any measured variables, professional statistical community believe that there are a lot of equalities and similarities related to Baluch citizens' point of view. In other words, religious and language variable and tribal structures have the most influence on shaping political-social actions of Baluch citizens on the other hand, individual intents, state media, and national level structure have the less effective on political-social actions of Baluch. The difference of elites and citizens survey is in middle part of studied variables. In this part, elite communities believe that the first effective variable is family and after that social networks are important, but Baluch citizen believe in importance of social networks.

Table 5: the results of against and for ideas of effective political-social variables on political actions

Variables	Agree	disagree
Religious leadership	42	2
The impact of religious structures	36	5
Baluch language	42	2
Local rituals and customs	35	2
Tribal structure	42	2
Family	37	3
ethnic -centered actions	38	2
New social network	40	2
Official state media	18	17
Individual interests	29	10
National level (national interest)	39	3
state level structure	21	20
Dominant culture	37	3

The results of analysis of studied structures in this research show that historical attempt and shard procedures of Baluch citizens related to some variable confirmed by professional statistical community and Baluch citizens are fairly similar.

Among studied variables the role of religious leaders is more than others. Religious beliefs have important role in their customs and behaviors and life style and undoubtedly in such a religious society, religious leaders lead political and social actions. Because of lack of cohesive political and influential organizations in Baluch area, citizens of this part are affected by religions leaders' point of view and decisions. In addition to the role of religious leader, tribal structures are effective in emergence of political-social actions.

External variables influencing political-social actions of Baluch citizens should be considered in national level structure and government role in emergence of individual and social actions of Baluch citizens which has often created historical social separation in this part of country, also should be considered. National level structure has been involved in emergence of separation and has shaped a kind of special separation among Zabol and Baluch citizens in north part of this region. This national effective structure and its outcome, influence on shaping political-social in shape of religious-ethnic separation and will produced stable controversial actions in local level.

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## The Impact of Tourism Development Strategies in the Albanian Economy

Vaeld Zhezha, PhD

### Abstract

Albania is one of the newest tourist destinations in Europe. The country is considered as one of the last findings in the field of tourism. Over the past few years, there has been an increase in the economic and financial weight that this sector brings to Albania's GDP, but this sector requires a specific direction as well as a political support for a strategic management and sustainable development. This increase also shows that the information about what Albania offers as a destination has begun to flow into the European market. In this paper will be presented some of the problems that Albania is facing regarding tourism and the steps taken by the government regarding the supporting policies for this sector in development. This study will unravel the Albanian favourable geographical position, as a new destination in the Mediterranean and will also focus on the system's deficiencies. It will be highlighted that, given the increased number of foreign tourists, as well as an extension of the time periods visited by tourists in Albania, there is an increase number regarding employment in this sector.

**Methodology:** The analysis is based on secondary data from public and private institutions.

**Keywords:** Tourism Sector, destination, strategy, Development Strategy, GDP

### Introduction

#### 1. Albania – A land to discover.

Albania is the last country in Europe to strike the communist political system, and as annex communist bloc country, from 1965 to 1990, has been a barrier to foreign tourism.

This closure of the borders brought a special interest to a segment of the European tourism market, regarding the untouched nature from investments in the field of tourism, both mountain and sea coastal.

Albania has a great tourist potential, based on the natural relief, such as the Albanian Alps with an average level of 1500m above sea level, 6 rivers, 3 lakes, lagoons, over 50 caves that date over 10,000 years, the Adriatic Sea with a stretch 325 km, Ionian Sea with a stretch of 151 km, islands and a peninsula.

Albania has about 30 mountain peaks in Albanian alps, over 2500m above sea level. The average altitude of the relief of the territory is 2 times higher than the European, with 708m above sea level.

Shkodra lake is the most important lake and the largest (second in size) in the Balkan peninsula and Ohrid.

Regarding seaside tourism, the main coastal destinations are Saranda, Vlorë, Ksamili, Himara, (Ionian Sea) Durrës, Shengjini, Velipoja, (Adriatic Sea).

Cultural Heritage is another important point related to tourism in Albania, given that in the past it has not been invested in the exploration of underground sites. Here we can mention, over 11 archaeological sites, as well as 5 castles, which are recently accessible to tourists.

Even though it has not been the main focus, cultural tourism is very important, since the resources and history of Albania in archaeology, culture and heritage offer considerable potential. Albania offers three World Heritage Sites: Butrint Archaeological Park, UNESCO<sup>1</sup> Berat and Gjirokastra, followed by a number of historical and cultural attractions and monuments.

<sup>1</sup>The data are taken from the official website of the Ministry of Tourism. <http://www.turizmi.gov.al/turizmi-at-a-glance/>

On the other hand, this potential also faces the problems and challenges inherited from the past in the communist system. We can mention infrastructural and property problems, deficiencies in the management of environmental protection as well as in investment development policies in the field of tourism.

Albania, "The Country of the Eagles" is a place to explore, this small Mediterranean country, consists of virgin nature with unexplored mountains and cultural sites full of undiscovered mystery. The landscape in Albania varies according to seasons, beginning with the snowfall that unfurls virgin mountains by tourists, where there is no investment in ski runs or Alpine hotels, up to green fields in the spring and also offering visitors a sunny vacation in the summer season, where beaches are different according to the needs of visitors, with black, white sand or stone as well, relief directly from the mountain to the sea.

At agro tourism level investments made so far have been successful in the field of combined formulas with sports, hotel plus rafting. This type of adventure tourism is one of the most successful, but further development is still possible if the government takes into account policies for sustainable strategic development.

Albania is recognized as one of the most important countries in terms of religious understanding, Visitors have a special hospitality, which is also related to the culture of the people. This situation makes visitors feel at their home, also based on foreign languages such as English, Italian, which most people speak.

*"The land of the eagles", Albania, is an attractive tourist destination, not only due to its varied landscapes, but also thanks to its rich cultural and historical treasures. An assortment of Byzantine and post-Byzantine churches, mosques, monasteries with valuable frescoes and icons, old Ottoman-style bridges and other monuments, will all enrich your visit to Albania.<sup>1</sup>*

*Albania is an upper-middle income country with, according to World Bank data, an average 2017 GDP per capita of \$4,537.86 which means – if we confront previous GDPs per capita (e.g. in 2006 it was \$3,005.01) – the country is undergoing massive economic expansion and therefore social change. Despite these significant economic indicators – registered GDP growth for 2017 has been 3.8% –, the country is still characterized by high unemployment rate – 13.8% (general), 30% (youth).<sup>2</sup>*

*The "Eagles' Country", having established itself as a parliamentary republic in 1991, is a relatively new democracy. Thus, its institutional framework is still a work in progress. Recent governments have made significant efforts to renew the economic, democratic, legislative and market structure. This renovation has been capital to succeed first (2014) in becoming official candidate for EU accession and then in progressing towards the respective beginning of accession negotiation talks – which have been backed by the Commission in April and received the crucial green light by the European Council on the 26th of June 2018.<sup>3</sup>*

As a growing sector, tourism industry is a good possibility to provide jobs for women and especially young people. In 2013 it reached 4.3% of total employment, and it is anticipated that, taking into account development policies, in 2024 it will reach 5.7%<sup>4</sup> of total employment, including employment in hotels, foreign travel agencies and domestic travel agencies.

## 2. Objective of Study.

The importance of strategic tourism development regarding the impact that this sector has in the economic field of Albania is the main purpose of this study.

An image will also be presented on how the importance of development strategies has had a direct impact on increasing the number of tourists in recent years.

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<sup>1</sup>[http://wp.akt.gov.al/article/26/cultural\\_heritage/](http://wp.akt.gov.al/article/26/cultural_heritage/)

<sup>2</sup><https://data.worldbank.org/country/albania>

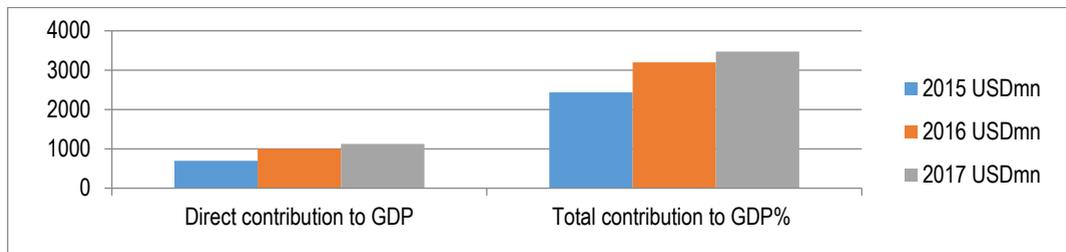
<sup>3</sup> <https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/20180417-albania-report.pdf> In general, EU enlargement is a long path that involves the harmonization of the candidate country to the Community Acquis – a list of 35 chapters candidate countries are obliged to adopt into their national legislation –. With regard to Acquis chapters, in the case of Albania, EU experts underlined different shortcomings in relation to legislative harmonization of chapter 11 "Agricultural & Rural Development", chapter 13 "Fisheries", chapter 25 "Science & Research" and chapter 28 "Consumer & Health Protection" 24 "Justice, Freedom & Security" – the last two thanks to the adoption of a comprehensive and still ongoing Justice Reform .

<sup>4</sup><http://www.assistimpact.org/wp-content/uploads/2016/05/Raporti-i-Turizmit-Permbledhes-edituar-4-May.docx>

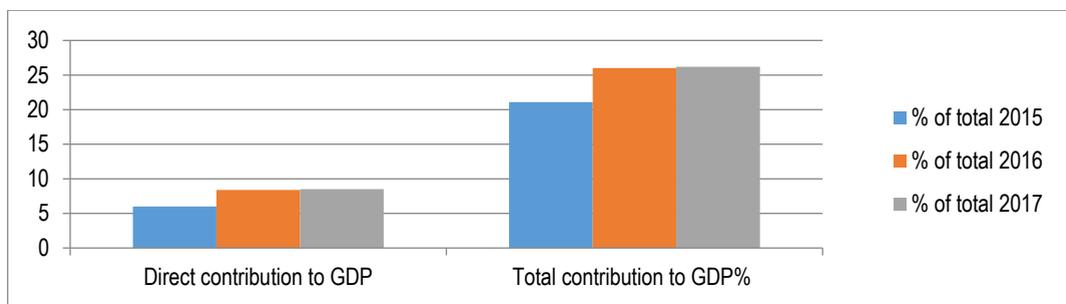
At the end of the research, results will give a clear picture of the impact that has been given by the planning of sustainable development strategies by the responsible institutions in the Republic of Albania and as well in Albanian GDP revenue.

### 3. Data Analysis.

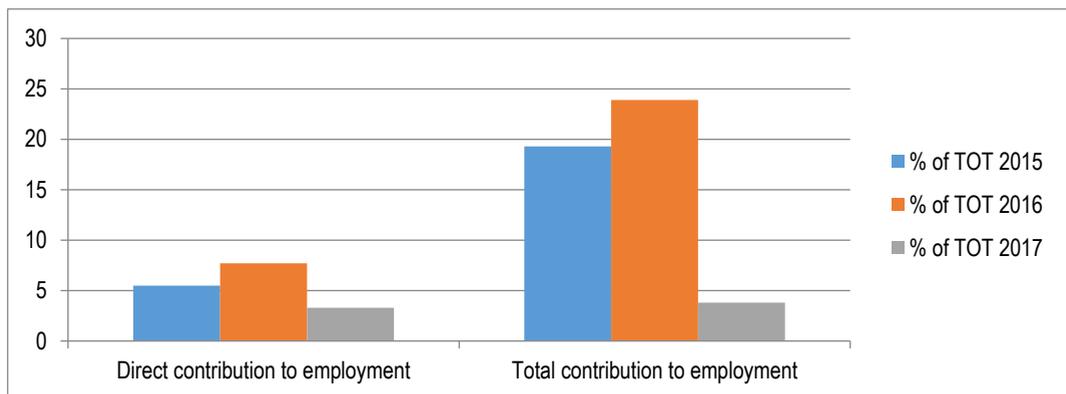
#### Albania: total contribution of travel & tourism to GDP<sup>1</sup>.



Graphic 1 – direct & total contribution of tourism in Albanian GDP in Million Dollar.



Graphic 2 – direct & total contribution of tourism in Albanian GDP in %.

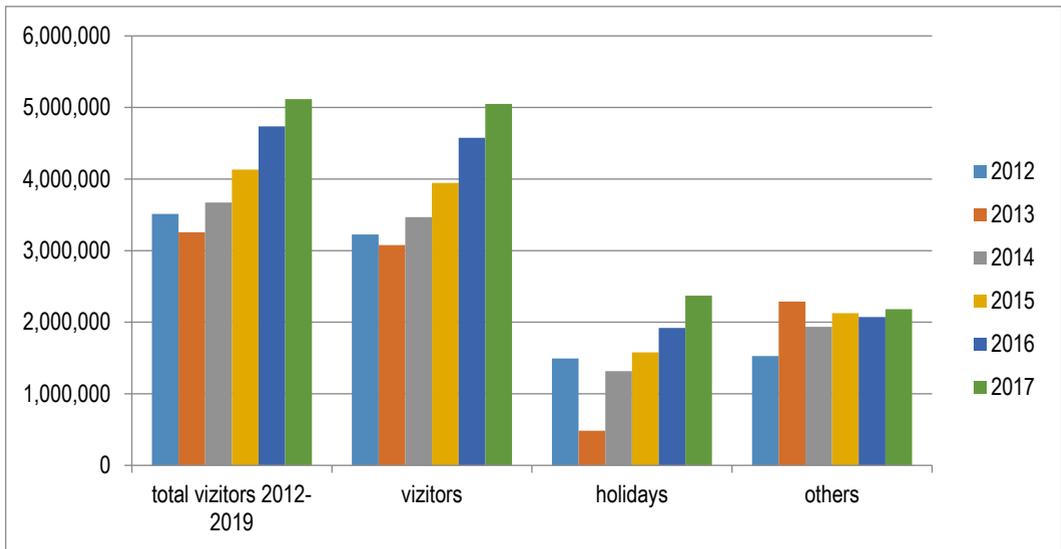


Graphic 3 – direct & total contribution of tourism in Albanian Employment in %.

In the above graphics it can be distinguished that tourism in the last three years, taken as a reference, in all variables has a significant increase. This shows the growing weight of tourism in GDP, as well as how it contribute directly to employment.

<sup>1</sup><https://www.wttc.org/-/media/files/reports/economic-impact-research/countries-2018/albania2018.pdf> Id TravWorld Travel & Tourism Council: Travel & Tourism Economic Impact 2018 el & Tourism Council: Travel & Tourism Economic Impact 2018World Travel & Tourism Council: Travel & Tourism Economic Impact 2018 - March 2018. World Travel & Tourism Council: Travel & Tourism Economic Impact 2018 - March 2018.

**The Number of Tourists over the Years<sup>1</sup>.**



**Graphic 4 - the flow of visitors over the years.**

Turist Region of origin	Year - 2015	Year - 2016
America	107,080	103,839
East Asia and Pacific	33,032	35,894
Middle East	3,604	4,274
Europe	3,747,457	4,485,405
South Asia	1,572	1,694
Central / Eastern Europe	151,457	182,581
Northern Europe	130,352	149,965
Southern Europe	3,152,369	3,855,617
Western Europe	246,811	221,492
Eastern / Mediterranean	66,468	75,750
Unspecified regions	233,811	103,328
<b>TOTAL</b>	<b>4,131,242</b>	<b>4,735,511</b>

The number of foreign nationalities visiting, from the European region accounts for 95% of the total number of visitors. Entrants from Europe's region have grown on average by 12.3% over the period 2013-2017<sup>2</sup>.

<sup>1</sup>Data are obtained from <http://www.instat.gov.al/>

<sup>2</sup><http://www.instat.gov.al/media/4169/turizmi-ne-shifra-2018.pdf>

#### 4. National Tourism Strategy.

Regarding the national strategies for the development of sustainable tourism, the analysis focus on the last two main strategies: 2014-2020 strategic plan, as well as the recent one 2018 - 2022.

The 2014 - 2020<sup>1</sup> platform was based on reforms and policies not only linked with the institutions responsible for tourism, but government programs were reflected in all sectors with the goal of directing tourism toward sustainable development, as well as minimizing the negative impact of unplanned and uncoordinated chaotic development.

Expectations of interested parties regarding the role that the responsible institutions for tourism should have, in the strategic development process, in the area of tourism can be found in this platform. The purpose of tourism development was to improve the livelihoods for a considerable number of people.

##### 4.1. Encouraging investment in tourism sector.

Regarding the strategic development of tourism, as well as the continuous increase of the impact on Albanian GDP, policy at the governance level 2018-2022, has undertaken some legal initiatives starting with the help of possible investments in the field of tourism.

These fiscal aid packages will primarily promote investments in the tourism sector.

Specifically, the initiative for exclusion from some of the taxes, such as: profit tax for a 10-year period, infrastructure impact tax and building tax, for accommodation facilities Hotels and Resort 4 or 5-star benefiting the special status until December 2024, also the reduction of VAT to 6% for the supply of all services<sup>2</sup>.

This strategy aims to make Albania much more attractive for investment and to position the country at a better level of competitiveness in front of the region countries of the Balkans.

The fiscal strategy regarding the exclusion from certain taxes, creates a new opportunity for both domestic and foreign investors. The initiatives in this important sector are regulated by law, 55/2015 "On Strategic Investments in Republic of Albania"<sup>3</sup>. It regulates administrative procedures which facilitate or accelerate projects that are qualified/benefit the status of "Investor / Strategic Investor, Assisted Procedure / Special Procedure".

Strategic fields and directions related to the latest national strategy 2018 - 2022: In this strategy there is a change of main goals to be achieved, giving priority to five main areas<sup>4</sup>, with the aim of increasing competition:

##### **Product development** (diversification of tourist offer)

- Coastal tourism product;
- The product of cultural tourism;
- Nature tourism product;
- Health tourism product;
- Business tourism / conference product.

##### **Development of human resources** (improvement of the quality of services)

- Creating a framework for education and training structures;
- Vocational training and staffing;
- Specific staffing programs in communities;
- Improving the quality of life at the local level.

##### **Marketing** (promotion of Albania as a destination for perennial tourism)

<sup>1</sup><http://risialbania.al/index/wp-content/uploads/2016/04/Sektor-i-Turizmit-n%C3%AB-Shqip%C3%ABri-dhe-pengesat-e-biznesit-p%C3%AB-ritje.pdf>

<sup>2</sup><http://www.mjedisi.gov.al/wp-content/uploads/2018/02/Strategjia-e-Turizmit-18-22-draft-1.pdf>

<sup>3</sup><http://aida.gov.al/images/ckeditor/VKM%20P%C3%8BR%20MIRATIMIN%20E%20PROJEKTEVE%20ME%20STATUSIN%20E2%80%9CPROJEKT%20ME%20POTENCIAL%20STRATEGJIK%E2%80%9D.pdf>

<sup>4</sup><http://www.mjedisi.gov.al/wp-content/uploads/2018/02/Strategjia-e-Turizmit>

- Marketing Strategy of Tourism;
- Promotion of tourist products;
- Inclusion of ICT.

#### **Private and public investment.**

- Increase of strategic investment;
- Improvement of investment climate parameters;
- Increase public investment.

#### **Policy framework and destination management.**

- Consolidation of the legal and institutional framework;
- Standardization of tourist activities;
- Improving the quality of statistics;
- Development of a suitable model for destination management.

#### **5. Conclusions and recommendations.**

According to the statistics presented, tourism in Albania is one of the profit - making industries in GDP and one of the most important generators in the country's economy.

Governance policies have been trying to find the right path through strategies that, over time, are updated according to market demands, not only regional but also European and wider. This is due to the marketing of the Albanian tourism market at numerous international fairs, where the responsible institutions have intensified their presence.

Currently, Albania is becoming a competitive factor not only in the region but also more widely, given the ever-increasing number of visitors and their background.

In the strategy for a sustainable development of tourism, policies aim not only to promote Albania as one of the last unexplored countries in the heart of Europe, but also to attract the attention of foreign tourism operators and to increase opportunities to develop investments in the field of tourism accommodation.

Policies aim to create opportunities for bid diversification, based on the development of human resources through training, and to improve the legal framework in the field of hotel investment at the level of 5 stars.

#### **Recommendations**

The development of legal packages related to investment and fiscal aids in the field of tourism, has also to take into account specific forms of tourism, not just the five-star hotels.

Tax differentiation related with a certification of accommodation and service capacities.

Financial support for businesses which have the possibility to expand or renovate accommodation structures in order to achieve standards of competitive market.

Construction of a European standard communication network, for the logistics of tourists, with all modalities of transport as well as information about the internal network.

Diversification of the offer, has to be created based on a segmented market study related to demand, quantity, variety, quality in order to meet needs and destinations.

As the tourism field is based on the product of service, a success factor is human resource. In this field there is a need for training at all levels, not just managerial ones.

Professional training should be done according to the requirements and standards, in order to create a breeding in the tourist field.

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## The Implementation Case in a Practical Network of a Check Point

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### Abstract

Check Point Software Technologies Ltd. is a multinational provider of software and combined hardware and software products for IT security, including network security, endpoint security, mobile security, data security and security management. Checkpoints are most commonly used to create backups before conducting updates. Should an update fail or cause problems, the administrator can return the virtual machine to its state prior to the update. The recover action is used to return the system to the checkpoint state. A checkpoint, in a virtualization context, is a snapshot of the state of a virtual machine. Like a restore point in Windows operating systems, a checkpoint allows the administrator to return the virtual machine. A virtual private network (VPN) on the other hand extends a private network across a public network, such as the Internet. It enables users to send and receive data across shared or public networks as if their computing devices were directly connected to the private network. Applications running across the VPN may therefore benefit from the functionality, security, and management of the private network. In this paper we show in practice the implementation and the interlaces of them with each other.

**Keywords:** Check point, Network, VPN, server

### Introduction

Internet is continuously, making the world look "smaller". Regarding its impetuous development, people's geographic position is not an essential problem anymore, due to the fact that we could freely communicate on-line, buy, play, and commit business transactions with another person with the same ease as having him at the front. Such a technology, which no longer than a decade ago was considered to be impossible or as a "miracle of technology", today it has become as common process in which everybody is invited to take part. Apart from that, a medal has both sides, and even "that" development is not to be excluded from not having its opposite side along with its drawbacks. A fact which should be taken under consideration is that the internet is bridging the gaps and shorting distances among two people, making them unimportant and by making more visible "the province phenomenon". Everyone has heard of those provinces where all the inhabitants know each-other and no one shows to be disrespectful by not inviting them in. This symptom is becoming more highlighted in the Internet's world and the all the cost of it is turning into detrimental for the tools and the network security, offering it, which constitutes as the only true security measure towards those "curious" people who seek to know everything. Due to the recent services and latest technologies inventions, business and company intranets are getting exposed towards malware attacks, which in its most of time cross the line of curiosity by causing a loss of the offered service at a static rate, information destruction, and even loss of money. Such a thing, makes security one of the key factors which should be taken under consideration during the project and implementation of the intranet and other sources offered by it. It is known that check pointing and rollback recovery are commonly used techniques that permit a distributed computing to progress in spite of a failure. There are two essential approaches for check pointing and recovery. One is asynchronous approach, process take their checkpoints autonomously. So, taking checkpoints is very simple but due to nonattendance of a recent reliable global checkpoint which may cause a rollback of computation. Synchronous check pointing approach assumes that a single process other than the application process invokes the check pointing algorithm intermittently to define a steady global checkpoint.

### Network Infrastructure

In order to see a practical implementation of it, we have chosen the network, thy infrastructure of which is displayed in the below figure. This could be the internal network of a business or company, any kind, therefore the network implementation can have the pattern of a daily one. The network is concept to be structured as of the below scheme. Servers, which for security purposes, are accessible by the internets like: Web Servi, Apache, and SMTP Relay which manages the inbound

and outbound e-mails, also including the DNS which are placed in a DMZ by isolating them from the internal company subnet in which important servers are placed, like DB server, that can hold confidential information which shouldn't be discrete, by any mean. In the internal network is placed the Firewall Smart Center Managing Server as well as GUI Smart Client which will be in our surveillance to administrate the Firewall. Let us see into more details the construction of the internal network.

**Internal Mail Server:** Its duty as a server is to manage the company's internal mail system. It has the Microsoft Exchange 2000 software installed in it.

**PDC, DHCP Server:** Company Domain Controller. Active Directory is installed in it, in which company's users and servers, are specified. It also serves as a DHCP server to supply with an IP address all the computers configured with a dynamic IP address.

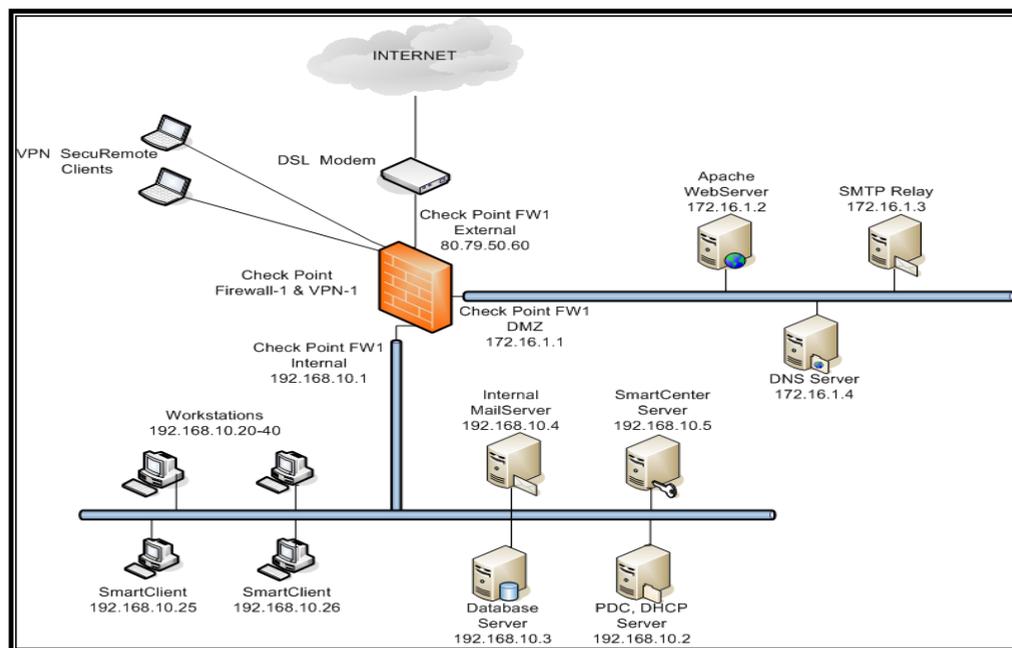
**Database Server:** It has all the containing information data basis of the company, stored in it, about its operation. In it are also stored all the documents which are used by the company workers.

**Smart Center Server:** Is the Firewall managing server and also saves all the log data registered by the enforcement module.

**DNS Server:** The DSN service offering server for the internal company computers.

In the internal network, internet, is secured by ISP through a special DSL dedication line.

We could also use a back-up dial line in any defect case consisting to the main line. Through a VPN, the internal network resources could be accessed by several remote users which may be ones of partner companies or mobile workers.

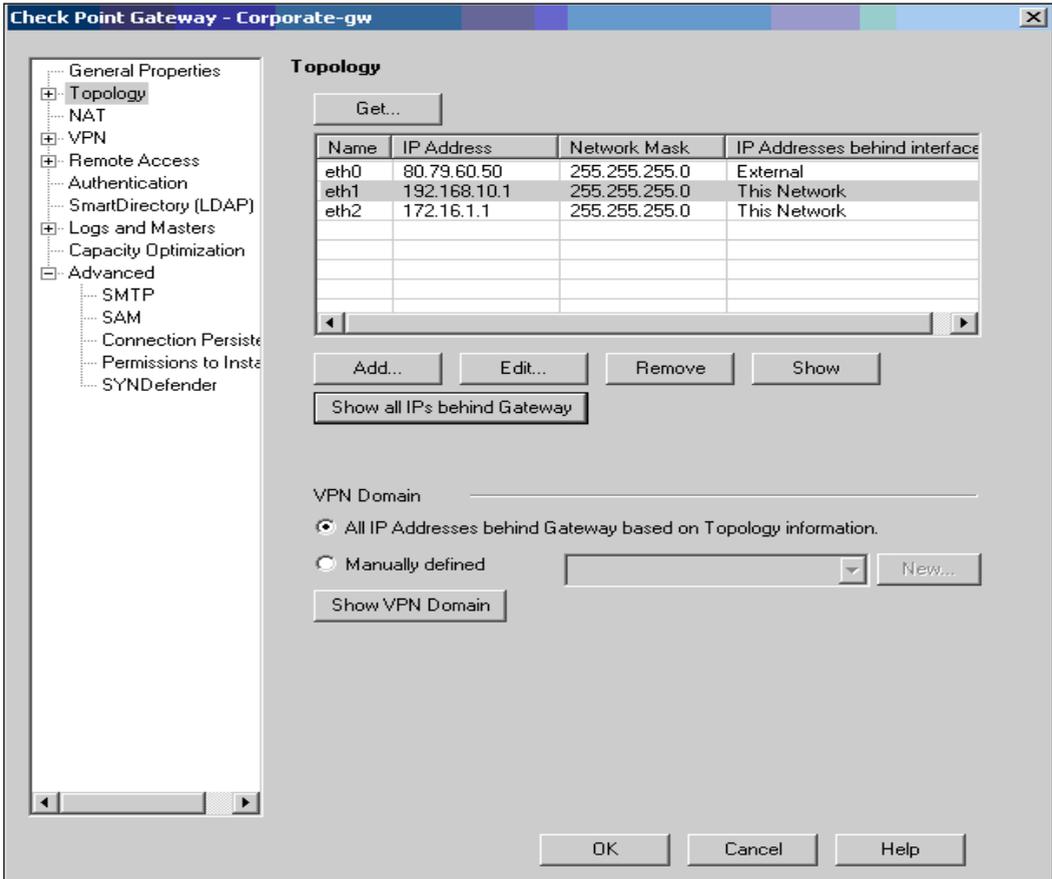


The main enforcement module Firewall-1 and VPN-1, could be a computer or a hardware platform, such as NOKIA IS500. For a simplicity in our analysis, we have selected the case where this module is a Windows 2000, by having available all the necessary services for its operation as a Firewall. There should be three configured network interfaces as shown in the figure. The mask should be the one default 24 corresponding to the subnet mask of 255.255.255.0. Right after we have done configuring all the three network interfaces of the enforcement module, we activate *IP Forwarding*, and after that we can start the installation of Firewall-1 & VPN-1 on this computer, on Smart Client and on client and managing server GUI according the previously described steps. During the Smart Client installation we will be asked to perform the registration of licenses for our Check Point product, determining of GUI clients by giving the IP address consisting of 192.168.10.25

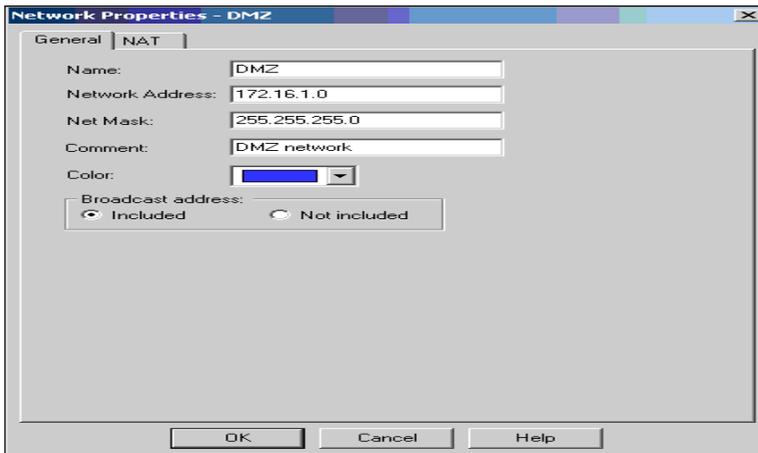
and 192.168.10.26 of the computers where we have it installed the Smart Client, as well as creating of entities by providing it fully administrative rights over the Smart Center managing server. In the end, it will also be performed the initialization of internal certifying authority. All these procedures are described in Chapter 3 under the title of the installation and configuration of NG Check Point.

### Network Object Creation

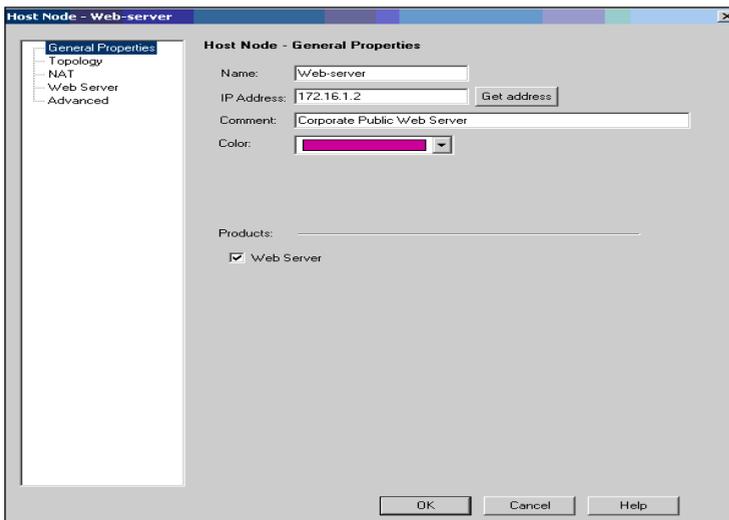
Before configuring the Rule Base, we must create the network objects on the managing server. We should, also, configure the network interfaces with the relevant IP, over the Firewall representing object. To realize it, we select Network Objects command on the Manage menu. Then we select *cooperate-gw* object which is representing the Firewall in our network and then we tap Edit. On the screen will be displayed the Firewall characteristics window, as shown in the figure below. Then, we select Topology and there we add the three firewall interfaces.



Must be created objects for all the servers that will be part of the internal network and that will be included in the Rule Base. We will create two Network objects named as *Internal* and *DMZ*. Below is shown the *DMZ* object example:



On both objects we have enabled NAT on *hide* modality and all internal addresses are hidden behind the external interface IP address. Despite of those two objects that represent our two subnets, we should create objects that represent network hosts. Thy creation of these objects is similar to the one of the subnets objects. WebServer representing object is shown on the folloeing example:



On General Properties we will name our WebServer and its IP address. On Typology we will create the interfaces of WebServer's network by marking its IP address and Subnet Mask. If we applied the NAT mechanism, then, such a thing should be configured on NAT menu, including the in use *Hide* or *Static* modality. On WebServer menu, we must choose the enforcement module which will serve as a protection which in our case we are referring to the *Corporate\_gw* firewall. The same procedure will be followed even for the other hosts which are part of our network and are included on the security policy. After we finish, the main menu object tree will have the view as the following:

The screenshot displays the Check Point SmartDashboard interface for Firewall-VPN. The left pane shows a tree view of Network Objects, including Check Point, Nodes, and Dynamic Objects. The main pane is divided into two sections: a rule base table and a network diagram.

NO.	SOURCE	DESTINATION	VPN	SERVICE	ACTION	TRACK
5	Internal-mail-server	* Any	* Any Traffic	smtp	accept	Log
6	* Any	* Any	* Any Traffic	* Any	accept	Log
7	* Any	* Any	* Any Traffic	* Any	drop	Log

Name	IP	Comment	Behind NAT	Version
Corporate-web-server	172.16.1.2	Corporate Public Web Server	Yes	N/A
Database-server	192.168.10.3		Yes	N/A
DNS-Server	172.16.1.4		Yes	N/A
Internal-mail-server	192.168.10.4	Corporate Mail Server	Yes	N/A
PDC-Server	192.168.10.5		Yes	N/A
SMTP-Relay	172.16.1.3	WPOP3 Server	Yes	N/A

The network diagram below shows connections between Corporate-gw, Corporate-web-server, LAN, DMZ, Database-server, and SMTP-Relay. The SMTP-Relay is highlighted with a red box.

### Rule Base Creation

After we have created the network objects, we can start with the conception of Rule's the implementation of security policy in firewall. The first thing to be done is the identification of the enabled traffic, then the rest will automatically will be disabled. Though, such a thing depends on many factors, for instance; the services allowed by the company, IT staff collaboration, etc. The enabled traffic is determined as in the following table:

Source	Source Location	Destination	Destination Location	Gate Number
X	X	SMTP Relay	DMZ Network	25 TCP
X	X	Web Server	DMZ Network	80 TCP (http) 443 TCP(https)
X	X	DNS Server	DMZ Network	53 TCP 53 UDP
SMTP Relay	DMZ Network	Internal Mail Server	Internal	25 TCP
Internal Mail Server	Internal	SMTP Relay	DMZ Network	25 TCP
X	Network	X	X	80 TCP 443 TCP
Web Server	DMZ Network	X	X	53 TCP 53 UDP
IT Sector	Internal Network	X	X	20 TCP 21 TCP
IT Sector	Internal Network	X	X	23 TCP

IT Sector	Internal Network	X	X	23 TCP
IT Sector	Internal Network	X	X	161 UDP

Now that we have decided which will be the enabled traffic on network, we can start configuring the Rule Base. As a requirement we must add even Stealth and Clean Up rules, which will be precisely the first and the last rules on our Rule Base. Like is mentioned, Stealth rule is the one avoiding and saving on Log files the destined traffic of Firewall-1. Always, it should be the first rule on the Rule Base for is the Firewall's protecting rule. Whereas, Clean Up is the last one in list and avoids all the traffic that has been disabled.

NO.	SOURCE	DESTINATION	SERVICE	ACTION	TRACK	INSTALL ON	TIME	COMMENT
1	Corporate-intern	Corporate-gw	Any	drop	Alert	Policy Targets	Any	Stealth rule - prevent the firewall host from being scanned or attacked
2	Any	Corporate-dmz-n	http, https, smtp	accept	Log	Policy Targets	Any	Allow incoming connections to the mail and web servers
3	Corporate-mail-s	Corporate-intern	smtp	accept	Log	Policy Targets	Any	Allow outgoing SMTP connections, but don't allow the mail server to initiate connections to the internal networks, in

After having compiled all the rules we must save them on rule's databases which is found on the managing server. To realize that, we go to Policy menu and select Install command.

In order to enable the ICMP towards Firewall, we go on Policy menu and select the Global Properties command. On the Firewall corresponding tab we essay whether the Accept the ICMP Option checkbox is enabled. On the very same window, we have to enable even the Accept Domain Name over UDP and Accept Domain Name over UDP options in order to allow the DNS server commit its function by connecting with other DNS servers. On the right of every option we specify the rank of the belonging rule implied on the Rule Base. We can have it take three values First, Last and Before Last. Out of all the enabled rules, we choose the *Before Last* one, which will make the second to last one rule came before the last one, which is the Clean Up rule. After clicking OK, we can see the results on the Rule Base. In the end we select the Install on the Policy menu.

**Global Properties**

**FireWall-1 Implied Rules**

Select the following properties and choose the position of the rules in the Rule Base:

- Accept VPN-1 & FireWall-1 control connections: First
- Accept Remote Access control connections: First
- Accept outgoing packets originating from Gateway: Before Last
- Accept RIP: First
- Accept Domain Name over UDP (Queries): Before Last
- Accept Domain Name over TCP (Zone Transfer): Before Last
- Accept ICMP requests: Before Last
- Accept CFRID connections (SmartUpdate): First
- Accept dynamic address Modules' DHCP traffic: First

Track

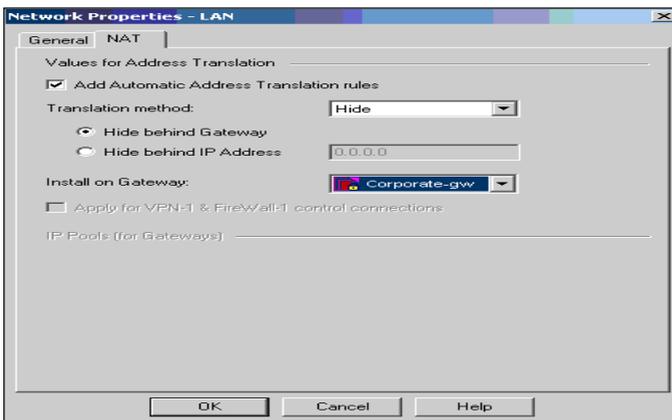
- Log Implied Rules

OK Cancel Help

NO.	SOURCE	DESTINATION	VPN	SERVICE	ACTION	TRACK	INSTALL ON	TME	COMMENT
6	LOCAL MACHINE	Any	Any Traffic	Any	accept	None	Policy Targets	Any	Enable outgoing packets from Module
6	Any	Any	Any Traffic	domain-udp	accept	None	Policy Targets	Any	Enable Domain Name Queries (L
6	Any	Any	Any Traffic	domain-top	accept	None	Policy Targets	Any	Enable Domain Name Download
6	Any	Any	Any Traffic	ICMP request	accept	None	Policy Targets	Any	Enable ICMP request
7	Any	Any	Any Traffic	Any	drop	Log	Policy Targets	Any	Clean up rule - block all other co

### Automatic NAT Application

In the internal subnet and in the one of DMZ, we will apply the NAT mechanism. By using the Hide modality, all the packages going out of our network will be deleted from the Firewall's external interface address. To realize the NAT mechanism, we select the internal network representing objects and the DMZ ones followed by the Edit command. On the NAT menu, we specify the modality and the IP address which will be used. If we choose the Hide Behind Gateway option, the Firewall's external interface is going to be used. Later on we will see the result.

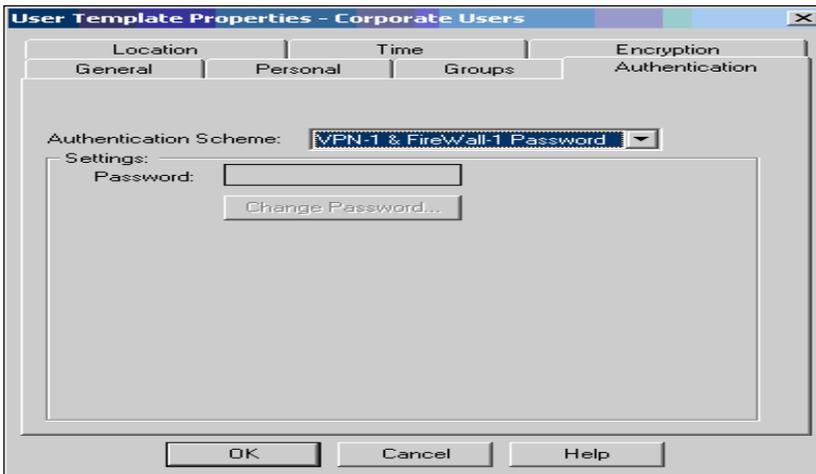


NO.	ORIGINAL PACKET			TRANSLATED PACKET			INSTALL ON	COMMENT
	SOURCE	DESTINATION	SERVICE	SOURCE	DESTINATION	SERVICE		
9	DMZ	DMZ	Any	Original	Original	Original	All	Automatic rule (see the network object data).
10	DMZ	Any	Any	DMZ (Hiding Add)	Original	Original	All	Automatic rule (see the network object data).
11	LAN	LAN	Any	Original	Original	Original	Corporate-gw	Automatic rule (see the network object data).
12	LAN	Any	Any	LAN (Hiding Add)	Original	Original	Corporate-gw	Automatic rule (see the network object data).

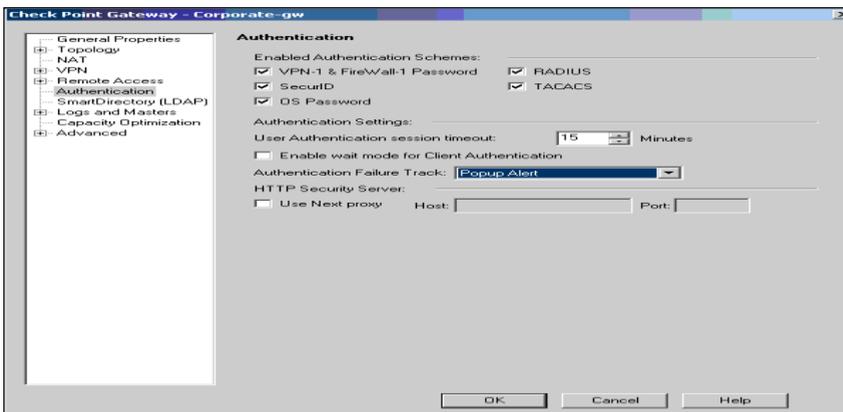
### User Authentication

After applying the automatic NAT is the moment to configure the users' authentication. We have chosen to use the "user" authentication type for the purpose he is independent from the "client" computer, but is orientated towards the user's profile.

Such a thing is not adjustable for the domain users which can get logged on every computer, part of domain. Authentication may be used for many reasons. For instance, we can authentication to reduce the users' access towards different network resources by dividing it into according to specific departments. Also, authentication can be used to record for each user the network traffic because on the log files the name of the logged user, will be displayed. By doing so, we can understand who is using the internet in the safe mode and who is logging on "malware" classified sites. Seeing that the authentication rules use group users instead of individual ones, we must firstly create the groups that we are using and later to create the users in them. We can create a "specific template" for the, to be created users. In such a way, recent users' creation will be more simplified. For creating a template or a user group, simply go to User icon on the object tree or on the Manage menu, Users and Administrators, New. A Firewall user template is created.



On General menu, we have to name the template we are going to create. In the meantime, on Groups Menu, we to specify which users are going to be part in the template. We have created two user groups: Local\_Users are the all the internal workers of the company, and Mobile\_Users are the remote access users who log in the network by using a VPN. Of a special importance is the Authentication menu, for there is specified the authentication scheme which will be used. A preferred scheme would be the RADIUS one, but in the absence of a RADIUS server, we have chosen the scheme which makes the authentication possible through a password of the Firewall-1 module, as is shown in the picture. In the end, on Policy menu, we give the Install Database command, so that all the changes we have made to be saved in users' database located in the managing server. After having finished with the process of creating users, we have to configure the Firewall-1 module in order for it to support the authentication scheme we are going to use. For so, on Manage Menu we select Manage Objects. On the displayed list, we select the object which represents Firewall-1 and then choose Edit. On Authentication tab, we select the authentication scheme we are going to use. Meanwhile, other options remain unchanged.



The last step, is the authentication of rule creation on Rule Base. With the right-button mouse, we click on Source field and select Add User Access and choose the group ready to be authenticated. We could also determine the location in the terms of the computer of the networks from where we desire this authentication to get realized. On Service field we specify the service/services we like to authenticate whereas on Action field we select User\_Auth which represents the authenticated user action.

NO.	SOURCE	DESTINATION	VPN	SERVICE	ACTION	TRACK	INSTALL ON	TIME	COMMENT
6	Internal-mail-server	Any	Any Traffic	smtp	accept	Log	Policy Targets	Any	Allow outgoing SMTP connections, but don't allow the mail server to initiate connections to the internal networks, in case it is compromised
7	Any	Any	Any Traffic	Any	accept	Log	Policy Targets	Any	User access to DMZ servers and Internet
8	Local_Users@LAN	Any	Any Traffic	telnet smtp ftp	User Auth	Log	Policy Targets	Any	Regula e autentikimit te userave
9	Any	Any	Any Traffic	Any	drop	Log	Policy Targets	Any	Clean up rule - block all other connections

### VPN Realization

Now we can configure the VPN connection for remote users, who can be partners of the company, or its mobile agents. The VPN connection will have the features of a client-gateway type. In order to make the VPN connection possible, should be configured firstly the enforcement module of our company, and Client VPN programs should be installed, like as: SecuRemote or SecureClient. To configure the Firewall-1, we give the Edit command on the object representing it.

**Check Point Gateway - Corporate-gw**

**Check Point Gateway - General Properties**

Name: Corporate-gw

IP Address: 80.79.60.50   Dynamic Address

Comment: Moduli i Perforcimit

Color: [Color Picker]

Check Point Products

Version: NG with Application Intelligence

Type: Check Point Enterprise/Pro

Firewall  
 VPN  
 QoS  
 SecureClient Policy Server  
 SecureClient Software Distribution Server  
 Secondary Management Station

Additional Products:

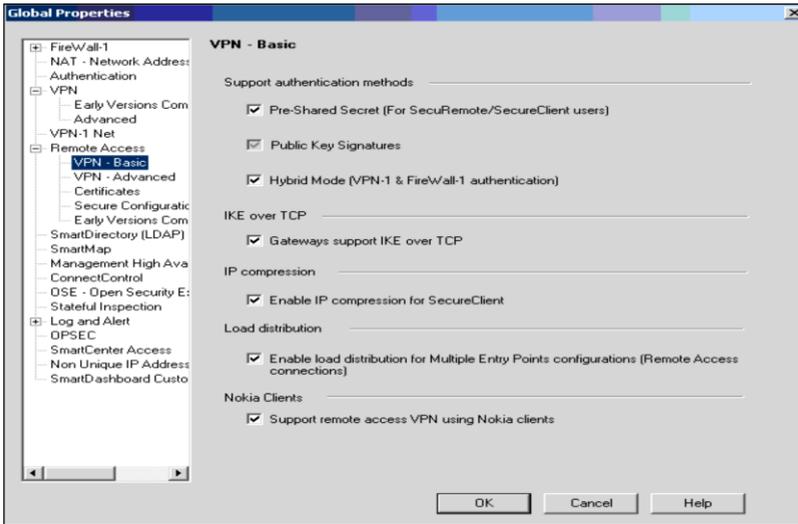
Web Server

Secure Internal Communication

Communication... DN: [Text Field]

OK Cancel Help

On General Properties we select SecureClient Policy Server. This form, allows all the VPN clients who use SecureClient to download from the Managing Server the security rules Desktop Security in order to be used by the personal SecureClient firewall. On VPN Menu, we select the Traditional Mode Configuration. On the displayed window, we select Exportable for SecuRemote/SecureClient option and then click OK. Now we have to configure the Global Properties on Policy menu.



On Remote Access, we open the VNP Basic menu and choose to activate the Pre-Shared Secret and all the other options shown in the figure. The Pre-Shared Secret option enables the usage of a common password for clients' authentication. This "key" will be transmitted through on IKE protocol, which in our Firewall is configured as shown in the figure below. The key exchange will realize through the encryption scheme 3DES, since we are using a symmetric key, whereas to verify the data integrity we will use the hash function MD5.



NO.	SOURCE	DESTINATION	VPN	SERVICE	ACTION	TRACK	INSTALL ON	TIME	COMMENT
5	* Any	* Any	* Any Traffic	TCP http TCP https TCP smtp	accept	Log	* Policy Targets	* Any	Allow incoming connections to the mail and web servers
6	Internal-mail-server	* Any	* Any Traffic	TCP smtp	accept	Log	* Policy Targets	* Any	Allow outgoing SMTP connections, but don't allow the mail server to initiate connections to the internal networks, case it is compromised
7	Remote_Users@Any	DMZ LAN	* Any Traffic	TCP http TCP ftp TCP https	Client Encrypt	Log	* Policy Targets	* Any	Regula per lojhen VPN
8	* Any	* Any	* Any Traffic	* Any	drop	Log	* Policy Targets	* Any	Clean up rule - block all other connect

Now we have to determine the rule which is going to be used for the VPN connection and even the rules which are going to be used by the SecureClient firewall. On VPN connection rule, the Source field will contain the remote users group, unlike the Destination field which may contain a network, a server or a group of servers, depending on the network resources user remotes have to access. The Service field will be completed according to the needs, whereas the Action field will contain the Client Encrypt action. The VPN connection rule is shown in the below figure.

Inbound Rules						
NO.	SOURCE	DESKTOP	SERVICE	ACTION	TRACK	COMMENT
1	* Any	All Users@Am	* Any	Block	Log	Block incoming connections from the Internet

Outbound Rules						
NO.	DESKTOP	DESTINATION	SERVICE	ACTION	TRACK	COMMENT
2	All Users@Am	* Any	* Any	Accept	Log	Allow outgoing connections to the Internet

In the meantime, the Desktop Security rules will be determined as in the below figure. More precisely the Inbound rule will disable the connections coming from the Internet in the computer where the SecureClient is installed and the Inbound rule will enable the connections directed to the Internet. After we have finished with the VPN authentication we have to proceed with the installation and configuration of SecuRemote and/or SecureClient clients. Both these programs are located on the CheckPoint CD package and are going to get installed on the computers which are going to be used by mobile users that will log on our network. After the installation of the client program we will continue by configuring the connection of the client. In order to make that happen, we have to add the VPN module through which we will realize the connection. We firstly, go to File menu, Name, IP and there we give the external interface IP address of our firewall. We will be asked to give a username and password which may be the users that created during the user authentication. In the end, we have to create a new security rule that will allow the users to log into the network. This rule will be the same to the one we created on firewall. At the this moment, we can say that the VPN connection is ready and we can control the log data to see if the tunnel has been created.

## Conclusions

Communication overhead converts a minor foundation of overhead as the latency of network communication diminutions. It is rational to say that the major source of overhead in check pointing schemes is the stable storage latency. Thereby, the synchronized checkpoint becomes earnest since it requires less accesses to firm storage then clumsy checkpoints. Additionally, the low overhead improvement on uncoordinated check pointing do not authenticate neither the complications of finding the recovery line after failure and performing the junk collection nor the high request for storage space caused by multiple checkpoints of each process. Check pointing protocols need the processes to take sporadic checkpoints with fluctuating degrees of coordination. At one end of the spectrum, coordinated check pointing involves the processes to coordinate their checkpoints to form global consistent system states. Nondeterministic types of these protocols complicates garbage collection and worsens performance.

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## The Relationship between Interactivity and Brand Attitude Formation: The Role of Advergimes as Intermediate of Brand Communication Tool in this Relationship.

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### Abstract

Advergimes are considered as interactive advertisement which best fit the purpose of attitude formation process when they are used as brand communication tool. In this regard, their interactivity characteristic shows the level on which users are affected on the aspect of attitude formation and modification, and at the same time, it provides to brands the ability to control and exchange on a continuous way the selected promoting message. Furthermore, for brands is crucial the positive attitude formation since it is the starting point of branding process. For this reason the aim of this work is to measure the positive relation of interactivity and brand attitude formation through the analyze of advergimes used as intermediate on brand communication. To achieve some results it is conducted a deductive approach. The research material used on it is collected through the Survey and the sample consists of 600 people, clients of "Vodafone Albania" Sh.A from the telecommunication sector in Albania. Differently from previous studies this work uses quantitative method, and by the use of SPSS program are quantified the data collected, than test of hypothesis using Chi-square test; finally it does some cross tabulations in order to specify in more details the results using demographic data. Based on the results it may be concluded that advergence is a very effective communication tool used by brands and it positively affects the relationship between interactivity and brand attitude formation. Due to positive results achieve it is strongly recommended to brands of different sectors, the adoption of this tool as brand communication strategy on the attitude formation process. It is a very effective strategy mostly for young group ages, but not only since the advergence users profile has been increased and expanded.

**Keywords:** *Interactivity, Attitude Formation, Advergence, Brand Communication*

### Introduction

This research topic is based on three interrelated concepts: brand attitude formation, interactivity and advergence. The relationship between them is somehow: **attitude formation** shows the initial connection between a brand and client, and it is the fundamental step in branding process since from that are developed further branding elements; **interactivity** is very important in attitude formation so that to form a wide branding base, in order to resist the filtering process till the highest client-brand connection; and **advergence** perfectly possess the interactivity characteristic and lastly is identified as a very effective brand communication too. Advergence is listed the last one because it is the communication tool which best interrelate the two other concepts. Its purpose of creation is promotion of a good or service and at the same time promotion of the brand itself. Some authors define it as a branded game. Numerous studies and specialized companies in advergence design (Hernandez, 2011; Herrewijn dhe Poels, 2013; Van Reijmersdal et al., 2012; Vanwesenbeeck etj, 2016) identify and present various advergence features in their brand communication like: accessibility by all, player and non-players; inclusion and involvement due to the continuous player's attention they receive for several minute; challenging and understandable; relevant to the product/company being promoted; and finally viral and encouraging participation. While this paper takes into consideration also authors like Sukoco and Wu (2011), Okazaki and Yagüe (2012); Goh and Ping (2014) who mainly emphasize the interactive nature of it, and define it as a very effective tool in encouraging interactivity among group ages. In this regard the main focus is the link between interactivity and attitude formation based on Ferrier (2014) statement that actions change the attitude faster than the attitude changes actions. Raney et al. (2003) have suggested that prolonged exposure to an online advertisement may result in generating a positive attitude because of familiarity with the brand.

Moreover, Adding interactive components and additional features, dynamic insertions can positively influence users' attitude towards that game and consequently towards the brand (van Reijmersdal et al., 2010).

No other work quantifies the relationship between interactivity and attitude formation by the use of advergame as a brand communication tool. It form two sample groups and compare the relationship between the group having information about the advergame and the group without information, to see the effectiveness of the communication tool used. For this reason, this paper provides an empirical approach to the positive relationship between interactivity and brand attitude formation. To measure the link it considers the role of advergames as intermediate of brand communication tool in this relationship by making a concrete study of a successful case applied in Albania in the telecommunications sector. *Using survey method this research tests the hypothesis that advergame used as a brand communication tool is a very effective intermediate in the relationship between interactivity and brand attitude formation.* Differently from previous studies this work uses quantitative method to come up with some concrete results: by using SPSS program it quantifies the data collected, and test the hypothesis using Chi-square test. To date, there is no other application like this in Albania and it's the first of its kind (basing the survey on a concrete case study). The work contribute by providing something original to scholars of the filed, enters new concept in Albanian marketing literature, provide marketing practitioners with some deep inside about advergames usage, as a sophisticated brand communication tool and a very effective one. The results showed that there is a positive relationship between interactivity and brand attitude formation and that the advergame is e very effective tool in this process.

This study is structured into five parts. After the introduction in the first part, the literature review part deals with the theoretical aspects of the advergame and groups interactivity, attitude formation and the link between attitude toward the game and attitude toward the brand. In the third part is presented a clear development of the methodology used. The next part shows the main the findings, analyzes the results and test the hypothesis. Finally it comes to some concluding marks and give some recommendations.

## Literature Review

### Advergame and groups interactivity

Now days many webpages have the necessary technology for their advertising function and the attachment of various games have enabled the interactivity function by advertisers, moreover, the creation of advergame as part of their marketing strategy (Faber et al., 2004). Although the level of interactivity may vary from the type of site, the basic characteristic of advergames is that they are interactive and promote distinctive brand attributes through this process (Deal, 2005). Specifically, advergames generate human-mode interaction (occurs when people reach out to the message by changing or modifying content, etc.) during game play (Ko et al., 2005). Advergames are interactive in two aspects; both in technology and in the interaction of human-messages (Cho and Leckenby, 1999). Advergame is a type of interactive advertising that helps advertisers create brand attitude and build relationships between brand and customer (Lee et al., 2009). Cho and Leckenby (1999) define interactivity as the level at which a person is actively involved in the advertising process by constantly transmitting advertising messages. Steuer (1992) defines as the level at which users influence modifying the form and content of a real-time intermediary environment, including the ability of the user to regulate the advertising message. In the same line, according to various authors (Coursaris and Sung, 2012, Lombard and Snyder-Dutch, 2001), interactivity enables the media to give the user the power to control content and shape it during the presentation of something or the communication of different experiences.

In the context of digital gaming, interactivity is defined as a continuous exchange between the game and the player where they can change the way of the game (Klimmt and Vorderer, 2003). Another broader definition is proposed by Heather (1989), including 6 elements: choice complexity; the level of effort that the player has to show; the player's level of responsiveness; the monitoring capacity of the information used; ease of access to information; the potential to use interpersonal communication. A medium is considered interactive if only one or more of the elements are present. Advergame interactivity involves, clicking, attracting, moving character or other advergame features. As such, most advergames by nature are interactive Lee, et al. (2014). Interactivity is not only considered as one of advergame characteristics but also used as a term by different authors (Lee et al., 2009).

A concept that is closely related to advergame interaction is the brand interaction that is defined by Lee, et al. (2014) as the level of control and customer's ability to modify brand-related features. In this context, interactive advertising, where the main message is usually a brand, interaction results from users who choose and control the message (Cho and Leckenby, 1999). According to Lury (2004), a brand is an object of interactive communication with target customers. Evidences suggest that advergame interactivity has a positive impact on brand perception and attitude formation (Mallinckrodt and

Mizerski, 2007) and results in favorable attitudes towards advergame (Van Reijmersdal et al., 2010; 2012). There are arguments amongst the researchers that the positive impact of brand interactivity influences the positive attitude towards the brand promoted (Lee et al., 2014) and that advergaming with brand interaction have more to do with creating a positive attitude than advergames without brand interaction (Arnold, 2004; Appiah, 2006). Johnson et al., (2006) conclusions show that there is a positive relationship between perceived interaction and staying on the web site. Similarly, Raney et al. (2003) argue that customers exposed to a form of brand interactivity increase their positive attitude to the form of advertising and the brand itself. While most of the literature has found that the positive relationship between the level of interactivity and the brand's message results in positive attitudes towards the brand (Lombard and Snyder-Dutch, 2001; Sicilia et al., 2005). Among other things, evidence shows that when consumers experience interacting with the product, the tendency to buy the product is higher (Nelson, 2002).

### **Attitude Formation**

The fundamental concept of this study is the formation of attitudes and preferences. Attitudes are defined as a person's overall assessment of an object, brand, advertisement, etc., (Pelsmacker, et al., 2007). When analyzing the effect of communication, in general, the focus is on the potential of communication effort to the positions of the targeted segments. Attitude toward a specific brand can be considered as a measure of desirability of that brand, or a measurement of the level at which a person has in favor of that brand. Obviously, the more favorable the attitude towards the brand the higher the possibility of buying it. Although attitudes are relatively stable they can change over time and this is definitely the marketing communications goal and challenge; change the attitude in favor of the brand (Pelsmacker, etc., 2007). Attitudes play an important role in the hierarchy of effect patterns, according to which consumers pass through different phases in response to marketing communication.

### **Link between attitude toward the game and attitude toward the brand**

Within the field of attitudes formation, a significant theoretical concept is the relation between attitude towards advertising and attitude toward the brand, which can be directly translated as the relation between attitude toward advergame and attitude toward the brand. Attitude to the advertisement represents a favorable or disadvantageous feeling which serves as a mediator towards the attitude toward the brand and the purchase intention (Lutz, et al., 1983; MacKenzie, et al., 1986). Lutz et al., (1983), constantly describe the relationship between attitude towards advertising and attitude toward the brand. The model of their relationship relies on dual mediation through which the attitude towards advertising is at the same time a fair relationship with the attitude toward the brand and the indirect relationship through the recognition of the brand (Brown and Stayman, 1992, Gardner, 1985, Homer, 1990, Lutz, etc., 1983). Different advertising campaign models have proposed and attempted to explain the relationship between attitude towards advertising and brand-based attitude in the context of traditional advertising (Brown and Stayman, 1992). Chen and Wells (1999) broadened the concept of attitude toward advertisements on the website. With this extension, advergame attitude represents an attractive construct that explains the predisposition to advergame itself resulting from user interaction (Hernandez, et al., 2004), thus defining advergame attitudes as a constructive affection.

### **Methodology**

In this study it is used deductive approach under which, it is developed a theoretical and conceptual framework and then goes on with the empirical part in order to test the hypothesis raised. The empirical part consists on primary data collected through the use of quantitative method. The procedure followed is gathering information from different customer of the service offered by the company taken as a case study through the survey research material. Questionnaire was self-designed and after the conduction of the appropriate structure and form of the survey (appropriate questions that gather information for the raised hypothesis, listing the questions in accordance with the importance and appropriate order, formulation of question understandable, easy enough, and so forth) it is decided for the sample of the research to consist on 600 participants. It is taken care that all participant of the survey to be client of "Vodafone Albania" company, which are contacted randomly after they have done any transaction near the service shops of the company. The direct research focus is the case of Mobile Advergame called "Vodafone City" which is conducted by "Vodafone Albania" company within the Albanian territory. Surveys are filled on 10 different cities (Tirana, Durrsi, Fier, Vlora, Elbasan, Shkodra, Korca, Berat, Gjirokastra, Kuksi) where the above mentioned advergame has been conducted. The main aim of the study is to analyze the effectiveness of advergame used as a brand intermediate in the link between interactivity and the brand attitude formation. For this reason the sample is separated into two parts: 300 of the respondents which have been part of the advergame by fully or partially playing the game have filled all the questionnaire while the other 300 which have not been part of the game have filled only the part of it consisting on demographic issues and the questions regarding advergame

involvement, attitude toward it and attitude toward the brand itself, in order to make a comparison between the results pointed out from the two separate groups. Surveys have been conducted during the period May 1- June 30, 2018. Those are unique data gathered of such a kind from which may be extracted different results and can lead to considerable conclusions. Despite the subjective nature of the customer level data and the reliability of self-reported answers, they are advantageous for allowing benchmarks and specifications and since they are the first can be taken as references for other similar applications.

## Empirical Part

### Descriptive Analysis

**Table 1: Distribution of Participants According to Demographic Data**

1.1 Age Group	n	%	1.2 Gender	n	%
14-24	340	56,7	Female	284	47,3
25-34	200	33,3	Male	316	52,7
35 +	60	10,0	Total	600	100,0
Total	600	100,0			
1.3 City	n	%	1.4 Education Level	N	%
Tirana	260	43,3	Secondary School	16	2,7
Durrës	68	11,3	High School	324	54,0
Fier	52	8,7	Bachelor	260	43,3
Vlora	44	7,3	Gjithsej	600	100,0
Elbasan	40	6,7			
Shkodra	40	6,7			
Korça	32	5,3			
Berat	24	4,0	1.5 Employment Status	N	%
Gjirokastra	20	3,3	Yes	242	40,3
Kuksi	20	3,3	No	358	59,7
Total	600	100,0	Total	600	100,0

According to the data presented in Table 1.1, where is given the distribution of participants in this study by the respective age groups, it results that 56.7% of them belong to the age group 14-24, 33.3% are 25-34 year olds, 10% of the adult age 35+ and over. The main result extracted from here is that, as it is stated on literature also the main users of the mobile company and its applications (which automatically means that at the same time are the main users or requestors of the services those companies offer) are teenagers, adult and young people till the age of 35 years-old.

According to the data presented in Table 1.2, where is shown the distribution of participants in this study by gender, 47.3% of them belong to the female gender and 52.7% belong to the male gender. As it is seen there is not any considerable difference in usage of the offered services by the company according to the gender (both genders use it approximately on the same level).

Table 1.3, shows the distribution of the participants according to the residential towns where the "Vodafone City" game was played, it turns out that most of the participants in the study have become part of the game in the city of Tirana, to be followed by the city of Durrës. Specifically, 43.3% of the participants are in Tirana, 11.3% in Durrës, 8.7% in Fier, 7.3% in Vlora, 6.7% in Elbasan, 6.7% in Shkodra, 5.3% in Korça, 4.0% in Berat, 3.3% in Gjirokastra and 3.3% in Kukes. As it is expected most of the participants come from metropol of the country, which in general can be considered as country representative since the concentration of population is high. But, the result is related with one other fact also, it was the second time this game was played in Tirana, and they were more informed about the game and maybe more familiar also.

The distribution of participants according to the "level of education that are enrolled or have completed" presented on Table 1.4 points out that, 2.7% of them follow or have completed secondary education, 54% are attending or have completed higher education, and 43.3% are attending or have completed university (bachelor).

Employment status reported on Table 1.5 showed that 40.3% of participants are employed, while 59.7% of them are not employed. As stated on literature participation on different online games (among them advergame) is linked among others

with leisure and the manner how people decide to pass free time. Since there is no any huge difference between two groups, it means that it is effective for both employed and unemployed people

*Results of the Study*

**Table 2: Information/contact participants have for "Vodafone City" advergence.**

"Vodafone Cityadvergence" Information	n	%
Yes. I have information what "Vodafone City" advergence is	300	50,0
No. I have no idea	300	50,0
Total	600	100,0

The above given figures in Table 2 present the information which make the seperation of participant on two different equal: 50% of respondents are the one that are informed aboutVodafone City advergence, while 50% of them do not have information about it. The sample of participants without information is used to make a comparison at the final stage for the level of loyalty between two groups.

**Table 3: Participants distribution according to positive atributes of "Vodafone City" advergence**

Positive atribute of "Vodafone City" advergence	n	%
Interesting game	200	18,5
Game for young grup age	156	14,4
Game with very good rewards	138	12,7
Inovative game	136	12,6
Different/special game	94	8,7
Unbiased/credible game	86	7,9
Community engagement game	56	5,2
Game engouraging interactivity on age groups	217	20,0
Total	1083	100,0

\* Multiple Answer Questions. As this question may have responded to several alternatives at the same time, the number of responses may be higher than the number of participants.

Based on Table 3, which shows participants distribution according to positive atributes of "Vodafone City" advergence, it turns out that 18.5% of them rate it as an interesting game, 14.4% consider it as e game for young age groups, 12.7% value the rewards of the game, 12.6% think that it is an inovative game, 8.7% as being special, 7.9% found it unbiased/reliable and 5.2% value its attribute of community engaegement. The highest percentage of the sample amprise its attribute of encouraging interactivity among young people.

**Hypothesis Testing**

*H<sub>1</sub>: There is a positive relationship between interactivity and brand attitude formation.*

**Table 4: The positive relationship between interactivity and brand attitude formation**

	What is your attitude toward "Vodafone " brand?				
	Positive		Negative		
	n	%	n	%	
Positive attribute of advergence	Interesting Game	196	98.0%	4	2.0%
	Game for young group age	156	100.0%	0	0.0%
	Game having very good rewards	138	100.0%	0	0.0%
	Innovative Game	136	100.0%	0	0.0%
	Special game	94	100.0%	0	0.0%
	Unbiased/Reliable	86	100.0%	0	0.0%
	Community engagement	55	98.2%	1	1.8%
	Stimulate Interactivity	202	93.1%	15	6.9%

Total	265	379.6%	15	7.1%
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To test this hypothesis, the Chi-Square test was used and according to the results obtained at the conclusion of the Chi-Square Trial, the relationship between interactivity and brand attitude formation is statistically significant at the 0.05 level ( $\chi^2=87.268$ ;  $p=0.000$ ;  $p<0.01$ ).

In order to test the relationship between interactivity and brand attitude formation are taken into consideration the attributes of advergence among which is listed also the interactivity as the main characteristic of it and the attitude toward "Vodafone" brand. As it is seen from the results the attribute mostly valued by the participants is interactivity of the game, and moreover this attribute has a positive relationship with the attitude toward brand which goes to 93.1% and only 6.9% of those that value interactivity have a negative attitude toward the "Vodafone" brand.

**H<sub>2</sub>:** *Advergence is a very effective brand communication tool in intermediating this relationship*

Table 5: Effectiveness of advergence usage as brand communication tool in brand attitude formation

			What is your attitude toward "Vodafone" brand?		Total
			Positive	Negative	
Do you have information/contact related to "Vodafone City" advergence?	Yes	n	277	23	300
		%	92.3%	7.7%	100.0%
	No	n	180	120	300
		%	60.0%	40.0%	100.0%
Total	n	457	143	600	
	%	76.2%	23.8%	100.0%	

To test this hypothesis, the Chi-Square test was used and according to the results obtained at the conclusion of the Chi-Square Trial, the relationship between interactivity and brand attitude formation is statistically significant at the 0.05 level ( $\chi^2=86.386$ ;  $p=0.000$ ;  $p<0.01$ ; The minimum expected count is 71.50.).

To measure how effective advergence is in intermediating the relationship between interactivity and attitude formation are taken into consideration the type of information that participant have about the advergence and the attitude they hold according to that. The results showed that those participant which had information about the "Vodafone City" advergence hold a positive attitude toward the brand which goes to 92% while the group of participants which do not have information about the advergence hold a positive attitude toward the brand at the level of 40%.

**H<sub>3</sub>:** *Positive attitude of advergence has a positive effect on the brand attitude formation*

Table 6: Attitude toward the advergence and attitude toward the brand

			What is your attitude toward "Vodafone" brand?		Total
			Positive	Negative	
What is your attitude toward "Vodafone City" advergence?	Negative	n	45	13	58
		%	77.6%	22.4%	100.0%
	Neutral	n	60	10	70
		%	85.7%	14.3%	100.0%
	Positive	n	172	0	172
		%	100.0%	0.0%	100.0%
Total	n	277	23	300	
	%	92.3%	7.7%	100.0%	

To test this hypothesis, the Chi-Square test was used and according to the results obtained at the conclusion of the Chi-Square Test, the relationship between interactivity and brand attitude formation is statistically significant at the 0.05 level ( $\chi^2=36.433$ ;  $p=0.000$ ;  $p<0.01$ ; The minimum expected count is 4.45).

Most of the literature consider the relationship between the attitude toward the advergame and attitude toward the brand. To measure this relationship and to test the hypothesis raised are considered the questions regarding the attitude formed on "Vodafone City" advergame and the attitude hold about the "Vodafone" brand. From the resulted is obvious that there is a 100% positive relationship between the positive attitude toward the advergame and positive attitude toward the brand. The opposite also holds true because those participant which hold a negative attitude toward the advergame is related to the negative attitude toward the brand at the level of 77%.

### Conclusions and recommendations

This study's aim is to analyze the effectiveness of advergame as an intermediate in the relationship between the interactivity and brand attitude formation. It is chosen "Vodafone City" advergame developed and conducted by "Vodafone" brand, which is a very successful company from the telecommunication sector in Albania. The results showed that there is a positive relationship between interactivity and brand attitude formation and that the advergame is a very effective tool in this process. Among the attributes mostly valued from the participants is the interactivity and it contributes to a very high percentage level in the positive brand attitude formation.

Tirana was the city from which appeared the most significant results due to the fact that it was the second time the game was played which means that recognition of the game is very important and we recommend to any future application of the same practices to make a detailed awareness of the game before applying it. The age group belonging the range 14-24 years old value more the advergame attributes and consequently they form a higher positive brand attitude, which means that this type of intermediating tool is more effective to this group. Based on this we recommend to further applications to predetermine the target group in accordance to this or to make any specification while playing the games so that to best fit to every group age, because if we refer to this advergame it was mostly considered as a game for young ages. It resulted to be mostly played by males and the sample mostly consists of persons having a high school education level, followed by those with a bachelor degree. It is suggested to further studies to make a measure on other brand elements and to measure the direct effect those communication efforts have on sales.

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## The University Social Responsibility and the Higher Education Institution

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### Abstract

Now days University role has transformed radically from the narrow frame of teaching and graduating students to get their diploma, into preparing and configuring the Social Responsible Leaders of the future. The core stone of the University is the Student, where it creates his sense of responsibility, involves him in the environmental matters, and teaches him the essential ethical conducts and social behaviors. This paper aims to explain the Concepts of USR, and the different USR strategies applied in Universities, moreover presenting the challenges in the higher educational system.

**Keywords:** The University Social Responsibility, the Higher Education Institution.

### Introduction

“CSR is much more than a cost, a constraint, or a charitable deed- it can be a source of opportunity, innovation, and competitive advantage” Michael Porter and Mark R. Kramer (2006 - Strategy and Society). CSR has become a top priority needed to exist in every country; it has infiltrated in all Business Companies, Governmental institution, Hospitals, Universities, NGO's, Hotels, Travel and Tourism companies. There was a change in Concepts from CSR to USR, where Social responsibility has been known first in small and mid-size companies, then universities just like any other enterprise starts setting a social responsibility strategy that meets the needs and expectations of the stakeholders (present and future students).

Reiser (2008) defines the USR concept as “a policy of ethical quality of the performance of the university community (students, faculty and administrative employees) via the responsible management of the educational, cognitive, labor and environmental impacts produced by the university, in an interactive dialogue with society to promote a sustainable human development.”

The Phenomenon of CSR has changed from the concept of “philanthropy” to turn in to more wide notion “sustainable development”, it become an effective tool in solving the complicated society and environment problems. “The growing concern of nowadays universities to satisfy the needs of different stakeholders and to deal with a profound ecological and social commitment has imposed greater social responsibility on them (Kunstler, 2006).”

Meanwhile, due to many reasons the concept of USR still not applied in many universities, one of them is the University itself, the other related to Higher Education Institution problems, and also to the international system concepts and the role of Unions and NGO'S, although some of the universities have succeeded in implementing social responsibility in their management system and curriculum.

### Research Question

What is the Concept of USR? When it was emerged? What are the barriers of USR implications? How does USR been applied in many Universities? What is the role of Governments and NGO'S?

### Methodology

The qualitative case study approach is particularly useful when concepts and contexts are ill defined, because it enables the derivation of in-depth understanding and explanation (Blaikie, 1993; Eisenhardt, 1989), as well as when change in the study context is radical and unpredictable (Matthyssens & Vandenbempt, 2003).

Thus, our research is inductive and qualitative, we started researching the roots of CSR and USR, and analyzing the traits of USR, and what reasons barriers the USR implementation, to end up with a set of Procedures and Programs, with the help of essential of primary researches and websites.

### **Literature Review about University Social Responsibility**

The Concept of University Social has had a conceptual development mainly in Ibero –American countries during the first decade of the 21 century as a social demand for a higher educational model that should contribute to society with professionals with a sense of responsibility (Marti & MartiVilar, 2014). While from the concept of European Universities that are experiencing a process of world change which materializes into a new way of looking at the approach and purpose of education (Nuñez, Alonso, 2009). Where university mission has developed from education to reach society and environment concerns, moreover economic growth. For this purpose, universities play a significant role in the next generations' ability to succeed and deal with globalization and economic growth, as well as to build a sustainable future for people all over the world (Setó-Pamiés et al., 2011).

In order to meet the expectations of the stakeholders the external and internal one as the students, employers of graduates, funding agencies, and society, as well as internal stakeholders such as administrators, faculty, and staff in higher education institutions, university need to apply a social responsibility strategy just like any other institution. USR underlines an ethical collaboration not only with the university community, but also with ecology as a significant component of stakeholder involvement (Esfijani & Chang, 2012a, 2012b; Esfijani et al., 2012).

The authors Ruxandra Vasilescua, Cristina Barnab, Manuela Epurec, Claudia Baicud- Elsevier 2010 define (USR) concept as: It is about the need to strengthen civic commitment and active citizenship; it is about volunteering, about an ethical approach, developing a sense of civil citizenship by encouraging the students, the academic staff to provide social services to their local community or to promote ecological, environmental commitment for local and global sustainable development. Another important definition is for Business Dictionary (2009): "Obligation of an organization's management towards the welfare and interests of the society which provides it, the environment and resources to survive and flourish, and which is affected by the organization's actions and policies". From the above Definitions' the process of integration of USR in the universities has become a must, as universities become a part of the social matrix and involved in solving the ecological and environmental matters. Therefore, universities are not only educational services providers, but also shapers of identity with major responsibilities to the nation and to the wider world (Sullivan, 2003).

According to the European Commission's view (2011), every organization has an impact on society. Therefore, universities have to take responsibility for the effects and consequences caused by their strategies, structures, policies and performances, just like any other organization (Argandoña, 2012). Universities are not only educational services providers (Sullivan, 2003) but also produce good citizens who are trained for both competency and character (Ehrlich, 2000; Wilhite, Silver, 2005).

In other words USR is trying to change the way we think towards things, it is an operation of making the students more human, more philanthropic, more sociable, more obliging, more conscience, more friendly, from this view " De la Calle, Garcia Ramos, and Gimenez Armentia (2007) realizes the concept of USR as :

"The Implication of developing in the students the ability to commit, to listen and to dialog, to distance oneself when facing problems, to know how to see through somebody eye's, to learn to put oneself in somebody else's place, to possess critical thinking capable of identifying parts of a whole and their interdependency, to have empathy... To form persons committed to their environment and their fellow men, from the recognition that their actions as professionals not only have repercussions in their more immediate surroundings but far beyond .

### **Challenges in implications of USR in Universities and the Higher Educational System**

Many efforts in laying the USR in Universities end in failure, due to several reasons started with the educational institutions and curriculum; others could be the University management itself, as having an undefined strategy and goals related to social matters. Nowadays, social challenges lead universities to play a critical role into society, being their actions essential in its development (UNESCO, 1998). In this context, it is necessary to rethink the Higher Education Institutions (HEI) role and its objectives (GUNI 2017). Therefore, University Social Responsibility (USR) represents a topic worthy of study, and its existence is justified from its public nature and its intrinsic responsibilities to society (Neave 2000).

### Internal Challenges Related to University itself

Many Universities till now don't know what USR stands for? It's Concept? Its values? It's applied strategies? Why it is important for each University to embrace USR ?, or even if they knew, implementation of USR is still in its early beginning stages, let's take an example **CSR in Thailand** where is still in the early stage of development (Prayukvong & Olsen, 2009). Even though the Thai Society has practiced many Social responsible practices, but it took a form of religious Buddhism (Thai CSR, 2010), the western development of the term and concept of CSR has just evolved in Thailand after the World Trade Organization Ministerial Meeting in 1999 (Prayukvong & Olsen, 2009), and has developed further through the efforts of multinational companies and many large business corporations in the form of business strategies campaigns and activities.

Some of the USR barriers related to the **University Limited Human and Financial Resources**, as an example some of Lebanese Private Universities still don't know what USR goes for, or how it could be applied, but others may have an effective USR system like **AUB University**, but due to their limited resources can't start their own Social System or engage themselves in social programs.

Many other reasons related to **University Vision and Values**, where USR must be emerged in the **University board of Ethics and Values**, it is about a matter of setting goals, what does the university needs exactly! To triple its Revenues or be an effective Social Organ in Society:

"In any company, drawing up short- and longer-term strategies is a familiar procedure. What is often still missing up till now is the integration of the three P's (planet, people and profit) into the strategy and the action plans which derive from it" (Cramer, 2005: 588)

### External Challenges related to Higher Educational System and Institutions

Sanderson and Watters (2006) argue that a recent change in the higher education system refers to the "**Corporatization**" of higher education. In the absence of governmental Strategies towards USR, and in the presence of Private universities which cares the most to maximizing profits rather than Social problems and environmental concerns, Corporatization in some places obstruct the USR operation .

There is another Social Scientist who mentions Corporatization as a barrier; Jason Allaire is a director of community development at Cornerstone University's wrote an interesting study in 2018 related to this issue. He mentioned five obstacles facing the higher education, as **The Growing Privatization of Public Colleges and Universities**, where some Universities with high profit programs fund their expenses through a combination of student tuition, businesses and other private sources. Another reason is the **The Rising Cost**: As valuable as a college education is, the cost is often the first and most important factor people face in weighing the value of universities, moreover **The Declining Completion Rates** where many students transfer to other universities or even drop out without finishing their degrees . **New Methods and Curricula**, changing the teaching methods and curricula and old fashioned techniques, the last one is **The Role of University Free Speech and Campus Civility**, where the current political climate and potentially violent threats that form a huge problem not just for universities but other institutions in each country. When one or two of those problems occurs the implementation of USR values in the University will be hard and even impossible.

More Over, The higher education institution in each country don't have a **clear and Unified USR program** to present it to Universities in order to apply it, they don't have strategies , standards, rules , or even **specified USR human and financial resources** to support Universities in their path. On the other hand, we miss the **laws related to USR implications in the Higher education Regulation System**. All those reasons can be solved with the Ministries of Education Strategies in each country through clear and determined intentions to build a Unified Social System for Universities to walk on, a set of Regulations to follow, Social activities to work on yearly, and a board of standards to be applied in teaching, management, and Curricula.

### Other Challenges related to International System , NGO'S , Unions

In the other side, the **new teaching techniques** and the smart technology tools starts storming the educational institutions, from the door of **Profitability and Competitiveness between Governments**, where we have enter a for example some of Chinese Schools use the I-pad to explain the lessons, and even it could be teaches for students at home with no need for teachers, which threatens the future of Teachers and Human Resources role in Society, in a word it will kill the USR System and values!

ANDY HARGREAVES-2007: Currently, **fashionable educational change** and reform strategies similarly treat our teachers and human resources as **expendable waste**, just as multinational businesses and politicians have undermined the sustainability of our natural resources. Imposed short-term targets, endless testing and quick political wins at the cost of deep learning for all students are the enemy of educational sustainability.

Moreover, we are facing a **Tornado of Cultural Change in Values**, and it is effecting many countries where we can see the problems of poverty, starvation, environment, pollution and many other problems, due to Change in our **Ladder of Values, where many big governments concerns is GDP, Imports and exports, Stock market ....** And this is turning to be an international Problem that needs serious international efforts to be solved, especially in the **absence of some NGO'S serious actions** in this field.

All those Obstacles in the Higher Educational Institution and Curricula effects the process of USR implementation in Schools and Universities, but some Universities has succeeded in this experience through effective USR strategies.

### **How does Universities succeeded in implications of Social Responsibility**

In order for a successful Social Responsibility System to be implemented in the Universities, there is a serious steps that must be applied and settled, and every part has his own responsibility in emerging USR in the educational system, starting with University Management, Teachers, Students, Governments, Curriculum, NGP's, international System ...

### **Strategies Held By Universities ( Internal Strategies )**

Since higher education has become a highly competitive market and both a "mature and diversified sector", universities have to reshape themselves in order to face new challenges and opportunities (Burcea, Marinescu, 2011) to improve the quality of service and student satisfaction. Higher education, therefore, can change the world by training and expanding a student's mind, researching answers to challenges, showing its own understanding and commitment through responsible campus management (Tilbury, 2011).

A Successful implication of USR in **Thailand** (Nasongkla, 2013; Nasongkla, etc., 2014). Chulalongkorn University sets targets for **sustainable development**. The knowledge base of information has been accumulated for almost a hundred years and more than a thousand items of content are **being offered for publication in the form of open educational resources (OER)** (Nasongkla & Chen, 2013). Moreover, in 2008 it address from a level of true sincerity and friendship in order to fulfill the following, (1) **bridging communities**, (2) **goodwill commitment**, and (3) **sharing beyond border** (Pooyaporn, 2011).

Also in the **Asian region**, **The Association of Southeast Asian Nations (ASEAN) University Network (AUN, 2012)** proposed an AUN University Social Responsibility and **Sustainability conceptual framework with the following major components: (1) teaching and learning, research and academic services, (2) university's governance and administration, (3) community involvement, and (4) campus life in order to promote USR practice and address the social, economic, and environmental challenges facing in ASEAN Community.**

Another Successful USR story was emerged in **USH University in Romania**, where it adapted a traditional Romanian educational system to its own, and sets it in a **new perspective and changed its strategic priorities in parallel with European education standards and social requirement**, where it started with providing access **to all social categories to higher education through low tuition fees, text book subsidies, special discount for students whose parents are retired or disabled**. USH University also ensures the main access to educational resources delivered online printed or broadcast through special supplies, through this it is delocalization the education process by Distance Learning Centers.

**In Lebanon**, A good example of **USR university** is the **American University Of Beirut**, "AUB" is one of the world's top in producing successful alumni and one of the most reputed and attractive universities among employers in the world, it is ranked 41 globally in QS' category of Graduate Employability. The success of AUB in this mission could not be more attested to than through the 2018 QS Graduate Employability Rankings," said Dr. Lokman Meho, director of AUB University Libraries. "This QS ranking is evidence of AUB's success in achieving its mission of producing outstanding graduates, many of whom go on in their careers to become among the world's most innovative, creative, prosperous, entrepreneurial, and or philanthropic individuals."(AUB-Top Universities Ranking 2017).

AUB also sets a USR targets in its vision and mission, and has its own CSR department.

### **Strategies held by Higher Educational System (External Strategies )**

A study in the **Japanese higher education** financing mechanism done by Futao Huang(2016), and the main changes that have occurred in these mechanisms, and their influences on higher education development. Japan has done a serious steps in progressing its higher educational institutions, and improving quality of teaching and researches, which is a step towards building an effective USR system, where it starts with reducing public funding to all higher education institutions, and especially to national and local public sectors, increasing the share of competitive funding at a national level, thus encouraging individual institutions to diversify their channels of generating revenue, and stimulating the collaboration and partnership of government, industry, and university.

The higher education system and ministries is the core center for emerging a social responsible System in universities, where they must build an extensive system of values, standards, rules, procedures, steps, and present it to All Public and Private Schools and Universities Starting with:

**Step 1 : Raising USR awareness inside the Schools;** where it must introduce to students, Staff, Deans, about the good aspects of USR to University and to Society.

**Step 2: Explaining USR Concept , its Values, Standards, Laws:** where University starts understanding What USR is ? What it tends for? What are its Organs and Factors? How it will be applied? Who is responsible of its enforcement?

**Step 3: Establishing All together a USR system :** Each University has its own Vision and Targets, and when building a USR system it must fits the University Vision and Board of Values, so Higher education Institution, University management , Staff , Teachers , must all sit together and build their own Social body , Of course with the involvement of the students who are the Social responsible leaders of the future.

**Step 4: Assessing the Available USR situation and Building an intergrated Strategic plan:** Where University management must draw a clear yearly USR plans with the help Of Higher education Ministries, which may support financially and through Expert USR Human Recourses.

**Step 5: Auditing the USR applied system :** where it can Form a committee of auditors composed of members of Higher Education Institution and University, in order to evaluate the work done , and the what is still missing ? And in which level oh USR the university is?

**Step 6: Awards for Ideal USR universities and Sanctions for NON :** with this step it encourages universities to do more to try more to give more

### **Strategies Done by Governments , NGO'S , International Committees**

It seems that there is much to do in informing universities as organizations on how to learn, to evolve to a higher form of learning capability that enables them to learn better and faster from their success and failures (Marquardt, 2002), and how to exert the effort of maintaining the new higher level of learning power (Marquardt, 2011). Another contribute of applying USR was held in **Romanian Universities**, a study investigated the relationship between learning organization and university social responsibility. This relationship was studied between groups of students, staff with leadership, monitoring, evaluation and control roles, and staff. First, the dimensions of the learning organization was measured, followed by the data collection on university social responsibility. The results supported the seven correlated-factors and the second-order structure of the 21-item DLOQ. The interpretation of the present findings must take into account some limits. One limit consists in the lack of representativeness of the samples for the Romanian working population in the higher education sector. Claudia LenuGa Rusa,\* , Sofia Chirică a, Lucia RaGiua, Adriana Băban(2014).

For this purpose, universities have a crucial role to play by incorporating social responsibility in the design of their curricula and researches, as well as into their mission, vision and corporate strategy (Muijen, 2004), and always taking into account that educators ought to help their students to understand the powerful effects that business decisions and actions can have on society and the potential collateral damage (Setó-Pamiés et al., 2011).

**In Lebanon a NGO called Teach for Lebanon (TFL), has set a simple goal:** the five-year-old Lebanese NGO hopes to end educational inequality in Lebanon. It sets a set of procedures starting with improving the quality of classroom instruction, and carrying its positive message beyond the individual classroom into the participating school as a whole and then into the broader community. Finally, by collaborating with like-minded government officials, school administrators, teachers and NGOs and thereby developing a self-sustaining momentum for educational reform.

TFL recruits fresh graduates from Lebanese universities, trains them, and then sends them to work for two years in schools that request TFL's help (Nicholas Boke 2013).

**On the Governments side**, Governments must set national programs, starting with **reserving an amount of expenditures for the Schools and Universities to support University Financial plan, and also ask for the help of Social Trainers and experts**, in order for helping them to apply USR in their programs, neither in teaching and Curricula, nor in in relation with Society and stakeholders. Also Governments can apply an Award system, where it can give **Annual Rewards** for good USR universities.

**NGO'S also can play an effective Social role in society**, where it must split itself from the small Cocoon and starting serious steps in Society.

**On the International side**, Country Governments and Committees must have annual meetings in order to audit USR implication in their Universities, such as Overall Conferences of Social Experts and trainers, University Deans , Representatives from Higher education System and Ministry of Education , NGO's , all those Intensive-Recourses , push USR in the enforcement level.

### Conclusion

The European universities are committed to raise the students' awareness to the needs of the society, as fully involved and dedicated individuals, not as individual personalities but as social personalities. This accountability to the whole society involves personal improvement to the benefit of the society and to its main concerns: climate change, global inequities, environment protection,

A 'green' university cares for its people and environment, aspires to worldwide academic diversity, rejects monopolies and the standardization of knowledge production, and encourages sustainable and equitable learning and research in communities of knowledge. There is no indication that its contribution to the universal cognitive and spiritual progress of humanity might be less than that of the model that holds science and knowledge to be commercial goods. It is time for universities to choose which model of society they aspire to. Here lies their moral responsibility regarding social responsibility. François Vallaey(2004).

At the end, the University is an important organ in the social body life, and it can't live without society neither put its target nor its vision and letter, and in order to start implementing USR it must starts improving its educational system and Curricula and social Programs, cause USR can't be implemented far away from the progress in the educational institution where any problem in the sector will stand as a stone in the journey of USR emergence.

USR emergence is our all responsibility, as students, professors, Deans , Ministry of Higher education, Governments , NGO's , International System , and international Committees , We are all involved in this matter to make our Society more clean , more productive , more equal and collaborative .

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## University Students' Family Resilience and the Organization of Their Own Free Time

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### Abstract

The aim of the research is to determine the correlation between the factors of students' family resilience and the ability to organize their own free time in a proper way. The study was done on students (N = 135) enrolled to the Faculty of Educational Sciences of the Juraj Dobrila University of Pula, Croatia. The purpose of the research is linked to planning adequate activities for university students of the first study years regarding their free time in a wide sense. The modified instrument Family Resilience Assessment Scale (FRAS) was standardized for the Republic of Croatia and used in the research. The factors of students' family resilience represent a predictive group of items. The criteria item is the ability to properly organize one's free time. The basic statistical values of the observed items have been calculated during data processing, while the regression analysis has been used as the multivariate method of data processing by which the prognostic value of the predictive variables set is determined. The results have shown that there is a connection between the ability to properly organize one's own free time and resilience factors: *In case of troubles, we know that we can get help from our relatives or friends and Both parents take part in leading our family to the same extent.* The scientific value of the obtained results is manifested through indicators showing that the help and support offered by family and friends is important for a proper organization of one's own free time.

**Keywords:** university students, free time, family, resilience, regression analysis

### 1. Introduction

Numerous researches have been dealing with family resilience (Luthar et al., 2000; Luthar & Cicchetti, 2000; Patterson, 2002a; Patterson, 2002b; Walsh, 2006; Walsh, 2012; Southwick, Douglas-Palumberi, & Pietrzak, 2014). As an upgrade of individual resilience, the concept of family resilience appeared and its roots can be found in researches about stress and families' facing and adaptation to adversities (Patterson, 2002a).

Initial researches of family resilience were under the influence of the strength-oriented approach (Hawley, 2013) and researchers defined resilience as a characteristic of the family (Henry et al., 2015). Researchers were oriented toward the identification of characteristics or strengths of the resilient family, while the level of those strengths was seen as resilience. The most commonly mentioned family strengths were respect and love, positive communication, commitment, spiritual wellbeing, time spent together and the ability to cope with adversities (DeFrain & Asay, 2007). Such an understanding of family resilience is also dominant among practitioners (Patterson, 2002a). They consider family resilience a synonym of family strength and it includes the capacity of the family to successfully cope with challenging life circumstances (Patterson, 2002b). A major objection to such a view of family resilience is that it does not take into consideration the level of risk to which the family is exposed, or the potential interaction between risks and protective factors (Ungar, 2013), while the importance of differentiating between family resilience and strength is pointed out (Patterson, 2002b; Walsh, 2003; Ungar, 2013).

Family resilience is usually defined as a dynamic process in which good outcomes are realised despite being exposed to risks (Luthar et al., 2000; Luthar & Cicchetti, 2000). Hawley & DeHaan (1996, after Becvar, 2013) define family resilience as the path followed by the family during their adaptation and advancement in facing stress, both in the present and during

the pass of time. According to them, a resilient family has a positive reaction toward such conditions, but in a unique way which depends on the context, developmental level and the interactive combination of risks and protective factors, as well as the family perspective.

The American Psychological Association (2014) defines resilience as the process of well adaptation in the face of adversity, trauma, tragedy, threats or even significant sources of stress. Some authors (Southwick, Douglas-Palumberi, & Pietrzak, 2014) think that this definition does not reflect the complex nature of resilience because determinants of resilience include a host of biological, psychological, social and cultural factors that interact with one another to determine how one responds to stressful experiences.

Black & Lobo (2008) point that family resilience is the successful coping of family members under adversity that enables them to flourish with warmth, support, and cohesion. Notable factors of resilient families include: positive outlook, spirituality, family member accord, flexibility, family communication, financial management, family time, shared recreation, routines and rituals, and support networks. A family resilience orientation, based on the conviction that all families have inherent strengths and the potential for growth, provides the family nurse with an opportunity to facilitate family protective and recovery factors and to secure extrafamilial resources to help foster resilience.

Researches have also shown (Walsh, 2006) that the success of the family in overcoming a stressful situation and adapting to new circumstances depends on the way the family successfully deals with aggravating circumstances, protects itself from the influence of stress, organises itself in a functional way and succeeds in conducting everyday life during the stressful situation.

On the other hand, exploring the ways in which free time contributes to counteracting stress has become a popular area of recent studies. Free time provides opportunities for promoting life balance, whereby the intentional organization of free time involves personal renewal in a physical, psychological and emotional way that facilitates resilience and the capacity to proactively cope with or counteract stress. Iwasaki, MacTavish & MacKay (2005) found that role of leisure incorporates two elements: a positive diversion or 'time-out' from stress-inducing situations and thoughts, and a context for rejuvenation and renewal, while another reaserch (Kleiber, Hutchinson & Williams, 2002) does not distinguish free time resources that make events less stressful from those that are employed in coping with stressful events after they occur.

Free time is extremely suitable for completing one's personality on an intellectual, physical and emotional plan. It is the space of intimacy in which individuals search their own potentials and compensate for what has been necessary to achieve, according to their own judgement, to feel completely whole and competent (Arbunić, 2002). Free time represents the possibility of development for individuals and societies because this time is appropriate for education and learning, critical thinking, creation and a different view of the world.

Besides, structured free time is consequently one of the most important areas in which strength and measures for the prevention of conduct disorders should be found. Free time is a source of numerous possibilities for the development of young people if it is used with a plan. Tendencies show that it is necessary to assure as qualitative a use of free time for young people as possible, which means a planned action to make them fill their free time with quality activities and programs which will fulfil their various needs and interests and prevent various forms of conduct disorders.

A supportive family and the ability to organize one's own free time are determinants of resilience that include a lot of factors, mostly biological, psychological, social and cultural. Those factors interact with one another to determine how one responds to different, mostly very stressful, experiences. This research was carried out on this path.

## **2. Aims, Hypothesis and Purpose of the Research**

The aim of the research is to determine the correlation between the factors of university students' family resilience and the ability to organize their own free time in a proper way. The study was done on university students (N = 135) enrolled to the Faculty of Educational Sciences of the Juraj Dobrila University of Pula, Croatia.

The hypothesis was based on the assumption that there are statistically significant connections between the ability to organize their own free time in a proper way and factors of university students' family resilience.

The purpose of the research is linked to planning adequate activities for university students of the first study years regarding their free time in a wide sense.

### 3. Methods

#### 3.1. SAMPLE OF EXAMINEES

The convenient sample of examinees was formed by first-year students of the Faculty of Educational Sciences of the Juraj Dobrila University of Pula, Croatia, namely 135 students.

A total of 98.5 % female and only 1.5 % male students took part in the research. This is consistent to the fact that educational jobs are greatly feminized today (Timmerman, 2011). The largest number of examinees or 58.5 % were in their nineteens. If summed up, most students, about 85 % of them, were aged 18 to 20.

#### 3.2. SAMPLE OF ITEMS

The Questionnaire for the evaluation of family resilience was used for the needs of this paper. It is the instrument Family Resilience Assessment Scale (FRAS) (Sixbey, 2005) which was taken over and standardized for the Republic of Croatia (Ferić at al., 2016).

FRAS started to exist following the family resilience model set by Walsh (1998). The model was based on the paradigm oriented toward competences and strengths (Walsh, 2002). It included three processes important for family resilience: the family system of belief, the family organisation and communication and solving problems. Sixbey (2005) developed the FRAS instrument based on the aforementioned Walsh's model. Its original version had 66 variables divided into nine sub-constructs which described the model and one "open" question. The factor analysis of the original instrument did not confirm the theoretical model of nine constructs (factors) because the items did not follow it by content. Based on the screen plot analysis, the characteristic square root and explained variance, Sixbey (2005) checked the six-factor solution which proved to be meaningful. This resulted in the exclusion of 12 items of the original questionnaire.

More experiments were carried out in different countries with the aim of validating the FRAS instrument:

On Malta (Dimech, 2014) it was considered a valid instrument to measure the family resilience in the Maltese context, but with the notification that it was necessary to carry out a research on a larger sample to determine the validity of FRAS – MV.

Kaya and Arici (2012) carried out a research with the aim of validating the FRAS instrument in Turkey. The authors concluded that the Turkish version of the abbreviated instrument showed an acceptable reliability and could be used in psychology as a valid and reliable instrument, while a similar research was conducted in Romania on a population of pupils and their families (Bostan, 2014).

However, the foreign researches carried out with the aim of validating the FRAS instrument showed that this instrument had some flaws. The family connection as a scale had lower or low Cronbach alphas in all aforementioned researches, while in some researches this was the case for the scale Family spirituality as well. The reason for such results can lay in the translation of the instrument, but also in the different understanding of family connections and/or spirituality in different cultures and environments.

This instrument's metric characteristic and factor structure were conducted and checked in Croatia even earlier (Blažević, 2012). The results of this research have to be carefully analysed since a large number of variables of the original questionnaire has been excluded.

In the version used in this research (Ferić at al., 2016), the confirmatory factor analysis has shown that the shortened version of the FRAS instrument extracts six factors. This factor solution is similar to the original instrument to a great extent (Sixbey, 2005), but also to other inspections of the factor structure in various countries (Kaya and Arici, 2012; Bostan, 2014; Dimech, 2014). The reliability of the four scales is satisfactory ( $\alpha$  from .65 to .92), while two scales show a lower reliability (Giving meaning to adversities,  $\alpha$ =.58, Neighbours' support  $\alpha$ =.60). Descriptive factors indicate an asymmetry in the results distribution on all factors, or high values of results, which could indicate a poor sensitivity of the instrument.

The factors of university students' family resilience represent a predictive group of items. The criteria item is the ability to properly organize one's free time.

The predictor items were evaluated on a five-level Likert-type scale: 1 = I completely disagree, 2 = I mostly disagree, 3 = I neither agree nor disagree, 4 = I mostly agree and 5 = I completely agree.

Pursuing all previously said, the items found in the paragraph Results and Discussion have been considered as factors of family resilience for the needs of this research.

### 3.3. METHODS OF DATA PROCESSING

Basic statistical value and the regression analysis as the multivariate method of data processing determining the prognostic validity of the predictor items set were used for data processing. Data were analysed using the SPSS Statistics 24.0 Standard Campus Edition (SPSS ID: 729357 of 20 May 2016).

### 3.4. METHODS OF DATA COLLECTION

The research was carried out at the beginning of 2017 using the method of polling among first year students of the Faculty of Educational Sciences of the Juraj Dobrila University of Pula. Before students started to fill in the questionnaire, the author gave them instructions on how it was to be filled in, she guaranteed anonymity and explained that the collected data would be only used for scientific purposes. The participation in the questionnaire was voluntary and students were explained that they could give it up at any moment of its completion.

## 4. Results and Discussion

The family resilience factors' arithmetic means (Table 1) are highest for items: *In hardship, members of our family support each other*, *We feel good when we spend time at home*, *In our family we believe that we have the strength to cope with difficulties* and *Our relatives and friends are ready to help in need*.

Table 1. Basic statistical values of the observed items

	Minimum	Maximum	Mean	Std. Deviation
The ability to organize their own free time in a proper way	3.00	10.00	8.4815	1.4955
We reach important family decisions together	1.00	5.00	3.7926	1.0587
We are able to reach common understanding even when we go through hard moments	1.00	5.00	3.8148	1.0663
Family members understand each other	1.00	5.00	3.6370	1.0832
We seek help and support from relatives and friends	1.00	5.00	3.0889	1.1360
Each of us can "vent" at home not upsetting the others	1.00	5.00	2.7630	1.1603
We can rely on relatives and friends	1.00	5.00	3.6815	.9514
When our family undergoes troubles, we find consolation in religion and/or spirituality	1.00	5.00	2.9111	1.3353
We consult each other about decisions we make	1.00	5.00	3.7556	1.0182
We discuss problems until we find the solution	1.00	5.00	3.5778	1.2606
Our relatives and friends are ready to help in need	1.00	5.00	3.9407	.9832
When something bad happens to our family, religion/spirituality makes us stronger	1.00	5.00	2.9556	1.3487
We know we are important to family and friends	1.00	5.00	3.8519	1.1494
We get presents and other tokens of appreciation from relatives and friends	1.00	5.00	3.6370	.9432
We share responsibilities in the family	1.00	5.00	3.7407	1.0145
We think it is better not to get too much involved with relatives and friends	1.00	5.00	2.0963	.9213
When our family encounters a problem, we draw the strength from religion and/or spirituality	1.00	5.00	2.5037	1.2689
We can go through difficulties as a family	1.00	5.00	3.6296	1.3424
When reaching important decisions, members of our family talk to each other	1.00	5.00	3.4815	1.3375
In our family there is a pleasant atmosphere	1.00	5.00	3.5111	1.4135
Religion/spirituality is an important part of our family life	1.00	5.00	2.6222	1.3376

In case of troubles, we know that we can get help from our relatives or friends	1.00	5.00	3.4222	1.3297
In our family, when we expect something from another family member	1.00	5.00	3.6889	1.0613
In our family we are honest to each other	1.00	5.00	3.8741	.9882
In our family we show each other how we feel	1.00	5.00	3.6519	1.0881
It seems like it is forbidden to show certain emotions in our family	1.00	5.00	2.1111	1.2852
When members of our family say they will do something, they keep their word	1.00	5.00	3.4667	.9044
In our family we see problems as part of life	1.00	5.00	3.8593	.8566
When our family finds itself in a problem, we know what caused it	1.00	5.00	3.4741	.7806
Religion/spirituality gives sense to our family life	1.00	5.00	2.7481	1.3085
When our family finds itself in a problem, we believe that everything will end up for the best	1.00	5.00	3.7704	.9055
We feel good when we spend time at home	1.00	5.00	4.0296	.9921
In our family we believe that we have the strength to cope with difficulties	2.00	5.00	3.9778	.8505
When problems occur, our family finds new ways of solving them	1.00	5.00	3.8815	.9065
Members of our family feel very close to each other	1.00	5.00	3.8889	1.0414
Both parents take part in leading our family to the same extent	1.00	5.00	3.3852	1.5160
In hardship, members of our family support each other	1.00	5.00	4.0667	1.0089
Disciplining is fair in our family	1.00	5.00	3.5556	1.1569
Our family's religion and/or spirituality helps us in coping with pain and serious problems	1.00	5.00	2.9185	1.4354
Our family can adapt to changes when it is necessary	1.00	5.00	3.8667	.7899
Members of our family like to spend part of their free time together	1.00	5.00	3.7778	1.2012
In our family, we share house chores	1.00	5.00	3.3185	1.3138
Although our family members have their personal interests, they take part in family activities, too	1.00	5.00	3.6815	1.2073
The rules and roles in our family are clearly set	1.00	5.00	3.2074	1.1402
When problems occur in our family, we are ready to compromise	1.00	5.00	3.6444	1.0753
Religious/spiritual rituals/activities are an important part of our life	1.00	5.00	2.3852	1.3326

The obtained results of the multiple regression analysis (Table 2) show that there is a statistically significant connection between predictor items and the criterion item “the ability to properly organize one’s free time”. The predictor set of items has explained 55 % of the common variance. In other words, by knowing the predictor set of items, it is possible to anticipate the progression of the ability to properly organize one’s free time of university students in the analysed sample.

Table 2. Coefficient of the multiple regression of the predictor set of items and the criterion

	Value
Multiple R	0.555056
Multiple R2	0.308087
Adjusted R2	-0.041757
F(11, 119)	0.880641
p	0.676355
Std. Err. of Estimate	1.243379

Table 3. Multiple regression analysis for the criterion

	Beta	Std.err. of Beta	B	Std.err. of B	t(89)	p-level
Intercept			6.217841	1.153504	5.39039	0.000001
We reach important family decisions together	0.072881	0.130207	0.067949	0.121396	0.55973	0.577053
We are able to reach common understanding even when we go through hard moment	-0.020809	0.128359	-0.019294	0.119017	-0.16211	0.871579
Family members understand each other	-0.040018	0.140956	-0.039224	0.138159	-0.28391	0.777135
We seek help and support from relatives and friends	0.067865	0.104348	0.072576	0.111591	0.65037	0.517107
Each of us can "vent" at home not upsetting the others	-0.085053	0.113482	-0.088485	0.118061	-0.74948	0.455521
We can rely on relatives and friends	0.086151	0.118689	0.089823	0.123748	0.72585	0.469813
When our family undergoes troubles, we find consolation in religion and/or spirituality	0.198394	0.155590	0.181309	0.142190	1.27511	0.205551
We consult each other about decisions we make	-0.087496	0.141049	-0.084943	0.136934	-0.62032	0.536615
We discuss problems until we find the solution	0.046537	0.114596	0.041395	0.101934	0.40610	0.685634
Our relatives and friends are ready to help in need	-0.149934	0.131639	-0.135254	0.118750	-1.13898	0.257733
When something bad happens to our family, religion/spirituality makes us stronger	0.013043	0.144005	0.011776	0.130012	0.09057	0.928033
We know we are important to family and friends	-0.006739	0.131880	-0.005779	0.113103	-0.05110	0.959360
We get presents and other tokens of appreciation from relatives and friends	-0.132461	0.108799	-0.141620	0.116322	-1.21748	0.226603
We think it is better not to get too much involved with relatives and friends	0.042105	0.128905	0.040453	0.123846	0.32664	0.744699
When our family encounters a problem, we draw the strength from religion and/or spirituality	-0.169682	0.136383	-0.155578	0.125047	-1.24416	0.216671
We can go through difficulties as a family	-0.030148	0.143823	-0.025143	0.119943	-0.20962	0.834436
When reaching important decisions, the members of our family talk to each other	0.052178	0.154683	0.044770	0.132724	0.33732	0.736662
In our family there is a pleasant atmosphere	-0.147963	0.145293	-0.122673	0.120459	-1.01838	0.311227
Religion/spirituality is an important part of our family life	-0.075126	0.140490	-0.066635	0.124611	-0.53474	0.594145
In case of troubles, we know that we can get help from our relatives or friends	0.362135	0.128643	0.316211	0.112330	2.81503	0.005991
In our family, when we expect something from another family member	-0.067222	0.129566	-0.066058	0.127323	-0.51882	0.605158
In our family we are honest to each other	0.146563	0.144614	0.136580	0.134764	1.01348	0.313549
In our family we show each other how we feel	-0.064197	0.148374	-0.063014	0.145638	-0.43267	0.666289
It seems like it is forbidden to show certain emotions in our family	0.051422	0.120789	0.045506	0.106892	0.42572	0.671329
When members of our family say they will do something, they keep their word	-0.076710	0.114887	-0.091873	0.137595	-0.66770	0.506032
In our family we see problems as part of life	0.227794	0.120537	0.228356	0.120835	1.88982	0.062001

28. When our family finds itself in a problem, we know what caused it	0.063142	0.113808	0.084540	0.152375	0.55482	0.580396
Religion/spirituality gives sense to our family life	-0.055973	0.127893	-0.052937	0.120955	-0.43766	0.662684
When our family finds itself in a problem, we believe that everything will end up for the best	-0.063657	0.124613	-0.065206	0.127644	-0.51084	0.610715
We feel good when we spend time at home	-0.053306	0.152816	-0.047148	0.135164	-0.34882	0.728037
In our family we believe that we have the strength to cope with difficulties	0.088816	0.144725	0.084404	0.137535	0.61369	0.540967
When problems occur, our family finds new ways how to solve them	-0.125943	0.146595	-0.122449	0.142527	-0.85912	0.392554
Members of our family feel very close to each other	-0.046583	0.135734	-0.041627	0.121291	-0.34320	0.732252
Both parents take part in leading our family to the same extent	0.288539	0.117706	0.225689	0.092068	2.45134	0.016164
In hardship, members of our family support each other	0.120816	0.128324	0.106535	0.113156	0.94149	0.348974
Disciplining is fair in our family	0.161305	0.128480	0.153014	0.121877	1.25548	0.212554
Our family's religion and/or spirituality helps us in coping with pain and serious problems	0.097710	0.155230	0.082977	0.131823	0.62945	0.530648
Our family can adapt to changes when it is necessary	-0.081969	0.130384	-0.086452	0.137515	-0.62868	0.531153
Members of our family like to spend part of their free time together	0.049941	0.145882	0.043029	0.125691	0.34234	0.732897
In our family, we share house chores	-0.064345	0.119285	-0.058525	0.108497	-0.53942	0.590930
Although our family members have their personal interests, they take part in family activities, too	-0.014009	0.125880	-0.012535	0.112630	-0.11129	0.911634
The rules and roles in our family are clearly set.	0.054163	0.106119	0.056948	0.111577	0.51040	0.611022
When problems occur in our family, we are ready to compromise	0.097519	0.111909	0.094713	0.108690	0.87141	0.385848
Religious/spiritual rituals/activities are an important part of our life	0.099291	0.145376	0.087901	0.128699	0.68300	0.496362

The standard regression coefficient (Table 3.) is the highest and statistically significant for both *In case of troubles, we know that we can get help from our relatives or friends* and *Both parents take part in leading our family to the same extent*. The other predictor items also participate in defining the latent criterion, but are not statistically significant predictors of the criterion item. Thus, the items *In case of troubles, we know that we can get help from our relatives or friends* and *Both parents take part in leading our family to the same extent* mostly contribute to the criterion item of progression, while the other items do not significantly anticipate progression.

## 5. CONCLUSION

The scientific value of the obtained results is manifested through indicators showing that the help and support offered by relatives, friends and parents is important for a proper organization of one's own free time.

Similar data were also obtained during other studies (Cohen, 2004; Horwitz, Reynolds, and Charles, 2014). Authors point out that emotional support from family and friends is associated with lower psychological distress.

Besides, children do in general have a better life with two biological married parents (McLanahan & Sandefur, 1994; Hawkins & Booth, 2005; Musick and Meier, 2010). Children who grow up with both their biological or adoptive parents (if parents are not in poor quality marriages) have higher levels of occupational attainment than children who grow up with a single-parent.

In this context, it is especially important for each family to develop, preserve and improve its capacity for resilience and thus directly or indirectly affect the organization and spending of free time.

The limitations created by a relatively small sample size may affect the outcome and are certainly worthy of this study.

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## Austrian-Italian Encounters: Notes on Some Films Produced Between Rome and Vienna in the 1930s

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### Abstract

This essay deals with a number of Italian and Austrian films produced around the mid-1930s as a result of the cinematic cooperation that developed between Rome and Vienna at the time. The essay's goal is to investigate a complex chapter in the history of Italian and Austrian film which has yet received little attention. The Austro-Italian cooperation in the field of film, which developed against the backdrop of the political alliance between Fascist Italy and Austria's so-called Corporate State, involved some of the biggest names in Italian and Austrian cinema of the time, including Italian directors Carmine Gallone, Augusto Genina and Goffredo Alessandrini, Viennese screenwriter Walter Reisch, and Italian novelist Corrado Alvaro. In particular, the essay will consider the Italian film *Casta Diva* (1935) and its debt to one of the most famous Austrian productions of the 1930s, Willi Forst's film *Leise flehen meine Lieder* (1933). Further films to be discussed include *Tagebuch der Geliebten* (1935), *Una donna tra due mondi* (1936), *Opemring* (1936), and *Blumen aus Nizza* (1936). *Tagebuch der Geliebten* was based on the diary of Russian painter Marie Bashkirtseff, who lived in Paris in the late 19th century. *Una donna tra due mondi* starred Italian diva Isa Miranda, *Opemring* Polish tenor Jan Kiepura, *Blumen aus Nizza* German singer Erna Sack. These films should be truly regarded as transnational productions, in which various cultural traditions and stylistic influences coalesced. By investigating them, this essay aims to shed light on a crucial period in the history of European cinema.

**Keywords:** Austro-Italian relations, Fascist politics, Italian cinema, Austrian cinema

### 1. Introduction

Marta Eggerth, a star of German musical films in the 1930s; Austrian screenwriter Walter Reisch; Franz Planer, a master of cinematography, active in Berlin and Vienna; film composer Willy Schmidt-Gentner; and set designer Werner Schlichting: what do they have to do with the Italian film *Casta Diva*, directed in 1935 by Carmine Gallone and generally considered a high point in Italian cinema of the 1930s? The question may serve as an introduction to the following investigation of a number of Austrian and Italian films, among which *Casta Diva*, made in cooperation between Rome and Vienna around the mid-1930s. Linking to previous studies by the author on Austrian-Italian cinematic cooperation during the 1930s (Bono, 2015) as well as the influence of German cinema on Italian musical films of the time (Bono, 1999), this essay will specifically examine some of the major Austrian-Italian cooperation projects in the field of film developed in the mid-1930s.

Beside Gallone's film *Casta Diva*, further films which will be considered in this essay are *Tagebuch der Geliebten* (1935), *Una donna tra due mondi* (1936), *Opemring* (1936), and *Blumen aus Nizza* (1936). Their production involved some of the biggest names in Italian and German-speaking cinema of the time, including, besides Gallone, Italian directors Augusto Genina and Goffredo Alessandrini; the Germans Arthur Maria Rabenalt and Hermann Kosterlitz (who would later work in Hollywood as Henry Koster), as well as Italian novelist Corrado Alvaro and some of the greatest stars of Italian and German film in the 1930s, from the aforementioned Eggerth to Italian Isa Miranda and Polish tenor Jan Kiepura. With closer examination of these films, the present text aims to shed light on a crucial period in the history of interwar Italian and Austrian film, which has so far received little attention at scholarly level (Loacker, 1999; Loacker & Prucha, 2000; Spagnoletti, 2006).

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## 2. Political and Cinematic Context

Austrian-Italian cinematic cooperation developed against the general background of the political alliance binding Austria and Fascist Italy in the 1930s (Di Nolfo, 1974; Ara, 1990). Since the late 1920s, the strengthening of Italian-Austrian relations became a primary goal of Italy's foreign policy. Italy favored Austria's independence, opposing Nazi Germany's ambition to expand its influence along the Danube, and Vienna found support in its southern neighbor against Berlin's aspirations to incorporate Austria into the German Reich. When in July 1934 an attempted putsch supported by Berlin shook Austria, Italian troops were dispatched to the Italian-Austrian border, in a gesture that exemplarily marked Italy's role at the time as a protector of Austria. The political friendship also encouraged closer economic relations, and in spring 1934 the Italian and Austrian governments signed a comprehensive agreement of cooperation, known as the "Rome Protocols". A further agreement with the aim of promoting cultural relations between Rome and Vienna followed in February 1935. Together with the "Rome Protocols" the latter marked the high point of Austrian-Italian collaboration during the 1930s.

The situation of Italian film in early 1930s must also be considered. After WWI, Italian cinema, which had enjoyed worldwide renown in the 1910s, underwent a severe crisis, and at the outset of the 1930s, the Fascist government made efforts to revive Italian film production (Manetti, 2012; Venturini, 2015). This led to the establishment in fall 1934 of the General Office for Film (Direzione Generale per la Cinematografia) as part of the Secretariat of State for Press and Propaganda (Sottosegretariato di Stato per la Stampa e la Propaganda), with the responsibility "to regulate, stimulate, direct and oversee," as summarized by its director Luigi Freddi (1949, vol. 1, p. 85), all areas of Italian cinema. Under Freddi's impulse, Italian cinema made efforts to develop cooperation with foreign partners, in order to raise the quality of production and regain an international standing. Next to that with France, the Austrian-Italian cooperation was the most significant one that Italy developed in the field of film around the mid-1930s.

In addition to the political alliance between Italy and Austria, the international renown Austrian film enjoyed at the time also played a major role, adding to Italy's interest in cooperating with Vienna. Films such as Willi Forst's *Leise flehen meine Lieder* (1933) and *Maskerade* (1934), as well as Walter Reisch's *Episode* (1935) contributed to the recognition and appreciation of Austrian film abroad. When *Leise flehen meine Lieder* was distributed in Italy in spring 1934 as *Angeli senza paradiso*, the film was met with high praise: "It is very beautiful, speaks to the heart and the imagination, [...] persuades and moves," wrote an Italian critic (Roma, 1934). In the same year, *Maskerade* participated in the Venice film festival, where Forst's film won a prize for the best screenplay. A year later, Austrian actress Paula Wessely was awarded the prestigious Coppa Volpi for her performance in *Episode*.

At the same time, Austrian film was finding itself in growing difficulty following the Nazi takeover in Germany; there were increasing efforts from Berlin to take control of Austrian cinema (Loacker, 1999; von Dassanowsky, 2007). Actors, screenwriters and directors of Jewish origins were barred from Austrian productions, if these were to be allowed distribution in Germany (which historically represented the most important market for Austrian films), and Austrian exports to Germany became severely curtailed. To counter the German boycott, Austrian film searched for foreign partners, aiming at international co-productions. Particular importance was ascribed to the alliance with Italy; the Southern neighbor was to serve as an economic counterweight to Berlin's predominance, reducing Austria's dependence on the German market. "A reorientation toward Italy appears to be the way out," noted the magazine *Internationale Filmschau* (P.M., 1935).

## 3. *Casta Diva* and Its Austrian Model

At the end of 1934, Gallone's film *Casta Diva* marked the beginning of the cinematic cooperation between Rome and Vienna, with a number of prominent figures in the Austrian and German cinema of the time participating in its production. To answer the question opening this essay, the screenplay was by Reisch, Eggerth played the female lead, Planer handled the cinematography, Schlichting the scenery, and Schmidt-Gentner was in charge of the music. *Casta Diva* was produced by Alleanza Cinematografica Italiana (ACI), founded in Rome in fall 1934, with the participation of Austrian producer Wilhelm Szekeley. One of the major figures in Austrian cinema of the 1930s, Szekeley also owned the Gloria company in Vienna. The other co-founders of ACI were Italian director Gallone and Roberto Maltini, the latter a prominent figure in the Fascist regime. In the late 1920s he was member of the Fascist Party directorate, among other things.

*Casta Diva* represented the first project of greater scope taken on in Italy after the establishment of the Direzione Generale per la Cinematografia and its production also involved two of the major producers in German cinema of early 1930s, Austrian Arnold Pressburger and Russian émigré Gregor Rabinovitch. In his memoirs, Freddi (1949) explicitly recalled their involvement in *Casta Diva*: "For this film, the general staff of European cinema came to Rome, from Pressburger to Rabinovitch" (vol. 1, p. 383). The project was strongly supported at political level. According to a document from the German embassy in Rome, the film fell under the auspices of the Sottosegretario di Stato per la Stampa e la Propaganda. The goal

was ambitious, and ACI also produced an English version of *Casta Diva*, called *The Divine Spark*. "The aim of the undertaking is to create top international films, the likes of which have not yet occurred in Italy," the press reported (Rom dreht zum 1. Male englisch, 1934).

It is worthy of remark that the foreign names involved in *Casta Diva* had all taken part in the production of Forst's film *Leise flehen meine Lieder* one year before, from Reisch to Eggerth, Planer, Schlichting and Schmidt-Gentner, including the duo Pressburger and Rabinovitch, whose Berlin company Cine-Allianz produced Forst's film. It is a telling coincidence. In fact, *Casta Diva* appears conspicuously to be modeled on Forst's film, one of the greatest successes of Austrian film of the 1930s, centered on a fictional episode from the life of Austrian composer Franz Schubert. Contemporary critics underscored this affinity. In reviewing *Casta Diva* in *La Stampa*, Mario Gromo (1935), one of Italy's leading critics of the time, placed Gallone's film in direct connection with *Leise flehen meine Lieder*. Forst's film had been accurately studied and its formula replicated, another critic would later remark (Blasco, 1953), and some papers expressed dissatisfaction for *Casta Diva*'s debt to foreign models (Mori, 1936).

A detailed comparison between *Casta Diva* and Forst's film would go beyond the scope of this essay; however, some elements of affinity should be briefly discussed. They regard as much the narrative level as Gallone's direction, who seems to be partly inspired by Forst's work. *Casta Diva*'s protagonist is Italian opera composer Vincenzo Bellini, and the story revolves around his unhappy love for a girl, Maddalena, who moves him to write the world-famous aria *Casta Diva*. Characters and plot constellations recall Forst's film, and *Leise flehen meine Lieder* evidently functioned as a pattern for Gallone's film, which overtly drew on elements of Forst's work. Individual parts as well as larger complexes were adapted and reworked, and a remarkable affinity may be observed between *Casta Diva* and Forst's film.

Recurring situations are, among others, that of the girl (Emmi in *Leise flehen meine Lieder*, Maddalena in *Casta Diva*) who helps the musician (be he Schubert or Bellini) to get a chance to play his music in public; of the woman (a Hungarian countess, an opera singer) who leads the composer astray; of the song (*Leise flehen meine Lieder*, *Casta Diva*) dedicated to the loved one by the composer and giving the films their titles. The female protagonists resemble each other as well, with Maddalena recalling the Karoline of Forst's film. A count's daughter, Karoline falls in love with Schubert, but her father does not approve. Their fates appear similar. Like Karoline, Maddalena must eventually marry a man whom she does not love, and both will be consumed by sorrow. Yet the passions the characters feel for each other and that almost destroy them, are expressed in quiet, muted tones. A similar mood pervades *Leise flehen meine Lieder* and *Casta Diva*, and Gallone's and Forst's film have in common the resignation with which the characters accept their fate. Maddalena suffers and dies silently, and a sense of melancholy envelopes everything. It is a feeling that grips both characters and the spectator, a mood that *Leise flehen meine Lieder* and *Casta Diva* deeply share.

At the same time, the character of Maddalena represents a nuanced development of the unhappy countess with whom Schubert falls in love in Forst's film. She appears far from the role of the nice girl, naïve, adventurous and who regularly falls in love with the protagonist, as personified by Eggerth in many German films in early 1930s. *Casta Diva* modified Eggerth's image radically. The girlish, coquette traits characterizing Karoline in *Leise flehen meine Lieder* are alien to her. When Maddalena first appears on the screen, her looks already proclaim the transformation. Where are the rebellious locks that framed her face in the films of early 1930s? Her style is severe; her blonde, bright hair lies flat, contouring her face; this accentuates her eyes, and a whiff of melancholy clouds her smile. She looks down on us from the top of the staircase, her position and the shot's angle signaling her remoteness; she does not belong to this world. She is not the ingénue type with whom the protagonist obviously falls in love; rather, she represents an unapproachable muse who inspires him, and *Casta Diva*, apparently relating an episode from Bellini's life, actually tells of the magic that a pair of female eyes produce on the protagonist (and the spectator).

From the first shot that *Casta Diva* dedicates to her until the film's finale, it is Maddalena's eyes that dominate on screen. Of note is the construction of the fatal scene in which young Bellini, invited to a soirée hosted by her father, first sees her portrait on a wall in the salon. The camera slowly moves toward the painting, which gradually fills up the screen, and the roles are reversed: it is not the camera that shows Maddalena, but rather she who gazes at the spectator. A light effect emphasizes her eyes, they pierce the screen. Now the music swells, and her eyes grow bigger, then double and multiply. She becomes a vision that puts the protagonist under its spell. When some friends ask him the next day, "What does she look like? Is she blonde or brunette?" Bellini answers dreamily, "I only saw her eyes." This scene stands in strict connection with the finale. The camera lingers on Maddalena's face; she is dying. The shot is suffused in white light, her face alters, the image gradually blurs. Her eyes still gleam, then they gradually grow hazy, as the camera moves back. Yet her gaze (which first introduces Maddalena to the spectator, when the camera discovers her portrait) continues to live, her eyes filling up *Casta Diva*'s last shot, held fast and eternalized on screen.

#### 4. Co-productions for the International Market

*Casta Diva* was followed in summer 1935 by the first Austrian-Italian co-production, *Tagebuch der Geliebten*. The film's production took place against the backdrop of the cooperation talks that concurrently developed between Rome and Vienna at political level. They gained momentum following the Austrian-Italian cultural agreement, and the prospect of a cinematic cooperation between Rome and Vienna was met with animated interest by the Austrian press. A special value was ascribed to such an alliance in comparison to concurrent efforts from Austrian side to work together with Hungary and Czechoslovakia. "Especially Italy should be ready for a wide-ranging cooperation with Austrian film companies," noted *Internationale Filmschau*, emphasizing the political valence of a cooperation with the Mediterranean neighbor: "Italy could in fact have an interest in the continuation of an independent Austrian production" (P.M., 1935). The comment seems to hint at Fascist Italy's efforts to oppose Austria's subjugation to Nazi Germany, characterizing its foreign policy during the first half of the 1930s.

A number of elements point to a close connection between *Casta Diva* and *Tagebuch der Geliebten*. An Italian version, *Diario di una donna amata*, was produced alongside the German one; Szekely reportedly was in charge of it, and contacts probably run through him between Viennese company Panta Film which initiated the project and Italy. The film was originally to be produced together with Soc. An. Stefano Pittaluga (SASP). At the beginning of the 1930s, SASP was Italy's largest film company. Its activity was not confined to production; it also included distribution, and SASP owned studio facilities in Rome and Turin, as well as an extensive cinema chain. The company was also involved in the production of *Casta Diva*. At the time SASP was undergoing a deep crisis, and *Casta Diva* and *Dario di una donna amata* represented an attempt through cooperation with Vienna to lend new impetus to its activity. Austria's major film company of the time, Tobis-Sascha, was also meant to participate in the project, and the prominent delegation that traveled to Rome in July 1935 to finalize the project points to the significance attached to it. Together with Panta's head Eduard Albert Kraus, it also included Oskar Pilzer, president of Tobis-Sascha.

Ultimately the film was co-produced by Panta and Rome-based Astra Film, which presumably took over the project from SASP when SASP was being liquidated in the course of 1935. Through the Astra company, a firm link between Rome and Vienna was to be established, and the press announced that the new company "pursues the goal of effectively promoting Italian-Austrian cinematic cooperation through the making of a number of co-productions" (UFA und Tobis-Cinema in Italien, 1935). The company was founded by the Italians Arturo Collari and Oreste Cariddi Barbieri together with the Hungarian producer Julius Hadju. The latter evidently played a key role. He owned four-fifths of the Astra company and Hadju's name also appears connected to ACI; the Hungarian was one of the company's statutory auditors.

The first Austrian-Italian co-production was conceived as an ambitious project; "[the film] shall be made with the biggest means," declared the press (Paul Freiwirth - ein neuer Filmverleih, 1935). Following the example of *Casta Diva*, *Tagebuch der Geliebten* was likewise intended as a production for the international market. The possibility was considered of shooting also English and French versions, alongside the German and Italian ones. The plan remained unrealized, yet in early 1936 news circulated that *Tagebuch der Geliebten* was going to be remade in Hollywood. The remake was to be produced by RKO with Katherine Hepburn in the leading role. This plan, too, did not materialize. *Tagebuch der Geliebten* was eventually distributed in the US as *The Affairs of Maupassant*.

The choice of material evidently corresponded to the goal of conferring international appeal to the project. The narrative revolves around the figure of Marie Bashkirtseff, a female painter of Russian origins who was active in Paris in the second half of the 19th century. She died of tuberculosis at age of 26, and *Tagebuch der Geliebten* is loosely based on her diaries, published in 1887, after her death, under the title *Journal de Marie Bashkirtseff*. In a short time the book was translated into several languages (in 1889, it was published in England, the first German edition dates from 1897) and the figure of Marie Bashkirtseff enjoyed wide renown in the interwar period (Cosnier, 1985). Proof of this are also the numerous books published on her life at the time. The same year of the film's production saw the publication of *D'Héloïse à Marie Bashkirtseff. Portraits de femmes* by French journalist Émile Henriots as well as a German translation of Alberic Cahuet's biography from the 1920s *Moussia ou la vie et la mort de Marie Bashkirtseff*.

At the same time, *Tagebuch der Geliebten* boasted a cast of high caliber. A star of German-speaking theater of the time, Lili Darvas, was entrusted with the role of Marie Bashkirtseff, and the Austrian Hans Jaray portrayed French writer Guy de Maupassant, who falls passionately in love with the Russian artist in the film. After debuting in Budapest in the early 1920s, Darvas attained great renown working under Max Reinhardt's direction, and the actress lived in Vienna since the mid-1920s, where she was part of the ensemble of the Josefstadt theater. According to one paper, Darvas counted as "the most important representative of Austrian dramatic art" alongside Wessely (Lili Darvas' Filmdebüt, 1935). The film marked

Darvas' debut on the screen, and the press emphasized her participation: *Tagebuch der Geliebten* "boasts as special sensation the screen debut of famous actress Lili Darvas", noted *Das Kino-Journal*; "she finally found a film role congenial to her" (Lili Darvas' Filmdebüt, 1935).

In entrusting theatrical star Lili Darvas with the lead, *Tagebuch der Geliebten* apparently assumed as model one of Austria's most successful films of the time, Forst's *Maskerade*. Usually considered Forst's masterpiece, *Maskerade* was produced the year before with another star of German-speaking theater, Paula Wessely, who likewise debuted on screen with Forst's film. Her participation greatly contributed to *Maskerade*'s success. *Tagebuch der Geliebten* apparently aimed to reiterate the coup. The press underscored the parallel: "Doubtless this debut is apt to produce the same sensation as the first Wessely film" (*Großfilme der Wiener Filmproduktion*, 1935). At the same time, *Tagebuch der Geliebten* attempted to connect to *Leise flehen meine Lieder* through Jaray's engagement, who in Forst's film played Schubert. It appears telling that Jaray also took part in the Italian version *Diario di una donna amata*, whereas Darvas was replaced with an Italian actress. The great popularity that Jaray enjoyed following Forst's film was evidently meant to help marketing *Tagebuch der Geliebten* internationally.

Contemporary critics commented laudatorily on the first Austrian-Italian co-production. *Tagebuch der Geliebten* was widely praised, and the film counts as a high point of Austrian cinema of the time. As Armin Loacker and Martin Prucha (2000) noted, together with *Zauber der Boheme*, *Tagebuch der Geliebten* "can be regarded as the classic melodrama of Austrian film of the 1930s" (p. 193). "With *Tagebuch der Geliebten*, a representative masterpiece of Viennese film art goes round the world," wrote one paper (*Das Tagebuch der Geliebten*, 1936), and the film was regarded as "a work of great level, which makes honor to the Austrian film brand:" "the Marie Bashkirtseff of Lili Darvas deserves highest admiration," noted the Viennese paper *Neue Freie Presse*, acknowledging also Kosterlitz's direction: "He marvelously manages to capture the entire atmosphere of Paris around the 1880s, bringing it alive" (F. Cl., 1935). The Italian press also had words of appreciation for the film, with one of Italy's major critics favorably comparing *Diario di una donna amata* to Forst's *Maskerade*: "Kosterlitz, working in Vienna, bears in mind Forst, and replicates tones and colors of *Maskerade* here and there" (Sacchi, 1936). The political significance of the first Austrian-Italian co-production was explicitly remarked: "It is notable that *Diario di una donna amata* was shot in Vienna, in two versions," wrote *Il Giornale d'Italia*, "and thus a cooperation in the field of film has effectively been started, that will lead to always better results, in the general framework of Italian-Austrian friendship in the political, economic and cultural area" (Sar., 1936).

Austrian-Italian cooperation then proceeded with *Una donna tra due mondi*. Initially, the film was not intended as an Austrian-Italian co-production. When the project was first announced in early 1935, the film was to be made by Vienna's Panta and directed by German émigré Kurt Geron. Engaged by Panta for a number of films, the year before Geron had made *Bretter, die die Welt bedeuten* for Kraus' company. Later, Geza von Bolvary was announced as director, with Tobis-Sascha and SASP also entering the project. The film may have developed into an Austrian-Italian co-production through Tobis-Sascha and SASP, that were in talks about *Tagebuch der Geliebten* at the time. Like *Tagebuch der Geliebten*, *Una donna tra due mondi* was eventually made by the Italian Astra and Viennese producer Kraus.

*Tagebuch der Geliebten* and *Una donna tra due mondi* appear to be tightly connected. In a certain sense they form a diptych. *Una donna tra due mondi* was likewise conceived for the international market, with the film representing the Italian counterpart to *Tagebuch der Geliebten*. It is significant that *Una donna tra due mondi* was produced in Rome, after *Tagebuch der Geliebten* was made in Vienna. A German-language version of *Una donna tra due mondi* was also realized, as *Die weiße Frau des Maharadscha*. In contrast to *Tagebuch der Geliebten*, the Italian and German versions were made by different directors, i.e. Goffredo Alessandrini and Arthur Maria Rabenalt. Originally, the Italian was probably intended to direct both.

In both versions the leading role was entrusted to Italian star Isa Miranda, in apparent continuity with *Tagebuch der Geliebten*, where she portrayed Bashkirtseff in the Italian version. The year before, Miranda had played the lead in *La signora di tutti*, directed by German émigré Max Ophüls. The film counts among the first efforts in Italian cinema of the 1930s to create an international product through the involvement of a foreign director and it marked Miranda's breakthrough. In the following years, she would become the most international star of Italian cinema, taking part in a number of European co-productions and eventually making a couple of films in Hollywood at the end of the decade, before returning to Italy on the breaking out of WWII. *Una donna tra due mondi* should have opened to the Italian star a career in German film. The German version *Die weiße Frau des Maharadscha* was partially financed by one of Germany's major film companies, Bavaria, which would also produce *Du bist mein Glück*, with Miranda starring at the side of Italian tenor Beniamino Gigli.

Also worthy of remark is the participation in the project of Italian writer Corrado Alvaro. One of the most important Italian novelists of the first half of the 20th century, Alvaro had lived in Berlin for some time and mastered German (Faitrop-Porta, 2001). His involvement is a further element that connects *Una donna tra due mondi*, *Casta Diva*, and *Tagebuch der Geliebten*. Together with the Austrian Georg C. Klaren, he wrote the screenplay for *Una donna tra due mondi*, based on Ludwig von Wohl's novel from the early 1930s *Die weiße Frau vom Maharadscha*. Previously, Alvaro had been in charge for the Italian dialogue of *Casta Diva*. He also played a key role in *Tagebuch der Geliebten*. He collaborated on the screenplay alongside Kosterlitz and German author Felix Joachimson, and there are references to the project in a number of letters to his wife. On May 13, 1935, he wrote: "I continue my work on the screenplay for the film and prepare an own conception; this shall follow the notations I sent yesterday" (Galateria, 1995, p. 63). Alvaro also participated in the film's shooting. In summer 1935, he travelled to Vienna together with the Italian cast, and he presumably assisted Kosterlitz on the Italian version (Alvaro, 1936, 1950). Occasionally he was mentioned in the press as director alongside Kosterlitz.

*Una donna tra due mondi* shares with *Tagebuch der Geliebten* and *Casta Diva* genre of belonging and certain elements. Central to this film, too, are a woman's destiny and an impossible love, and like *Casta Diva* and *Tagebuch der Geliebten*, *Una donna tra due mondi* may as well be categorized as melodrama, despite a relatively happy ending. (When Mira realizes that the Indian prince only loves her for her resemblance to his late wife, she returns to Stephan). At the same time, *Una donna tra due mondi* was designed as a musical film; the story is punctuated by songs and musical numbers, and in assembling the cast, care was taken again in engaging a performer of great renown, with the part of Stephan entrusted to Czech violinist Váňa Přihoda. One of the great violin virtuosos of the interwar period, Přihoda had often played in Italy and extensively toured South America and the US; since the late 1920s he lived in Vienna. *Una donna tra due mondi* represented Přihoda's debut on screen and his participation was evidently intended to guarantee international appeal to the project.

Contemporary critics met the film with reservation. Miranda's performance was praised: "Magnificent eyes, a face of unusual, noble, soulful beauty, a voice," noted an Austrian paper, "that recalls Marlene Dietrich" (F. Cl., 1936), and the press emphasized the beauty of the Mediterranean landscape which serves as backdrop to the story: "The wonderful scenery of San Remo forms the film's setting" (*Die weiße Frau des Maharadscha*, 1936). The film manifestly banks on the exotic background, the camera lingering on the blue sky, the open, placid sea, the lush vegetation, that visually frame the unhappy love story. The other attraction which the film boasted was Přihoda's performance: "Let us admit it," wrote one critic, "[the parts] in which this wizard plays are indisputably the most delightful of the entire film" (F. Cl., 1936). The Italian press shared the same opinion. "It seems to me that the film was made to exploit Přihoda's fame and talent on screen," noted Dino Falconi (1936) and another critic wrote: "Přihoda plays superbly [...] he represents the film's greatest attraction" (Setti, 1936). On the whole, though, *Una donna tra due mondi* disappointed, with the blame put on the screenplay and an inadequate direction which in the eyes of the Italian press lacked "liveliness, skill and interest;" the film was "correct and nothing else," judged the critic of *Il Lavoro* (Setti, 1936).

## 5. Italian Directors at Work in Vienna

At the beginning of 1936 the Italian press announced, "In Vienna further cooperation projects with Italy are taking shape," and the Austrian-Italian collaboration continued through the course of the year with the films *Opernring* and *Blumen aus Nizza*. Both were shot in Vienna by Italian directors. *Opernring* was again directed by Gallone and co-produced by Kraus and Szekeley's Gloria company. It is explicitly a musical film, with the story revolving around a taxi driver of humble beginnings "who does not at all want to be a singer," as one paper summed up the story, yet "is forced to become one through absolutely credible events" (*Kieपुरa fährt nach Wien*, 1936). He is played by Polish tenor Jan Kieपुरa, who had already made two films under Gallone's direction, *Die singende Stadt* and *Mein Herz ruft nach Dir*. Production of *Opernring* begins in early 1936. At the end of January, the press reported that Gallone "has arrived in Vienna to oversee to the preparations for the new Kieपुरa film" (Wel, 1936). Shooting started in the second half of March. The film was widely praised. "Viennese film production has a new success to its credit," remarked one magazine, commending Gallone's "tasteful direction, emphasizing the Viennese milieu" (*Opernring*, 1936). "This film has for sure an unusual appeal," maintained *Lichtbild-Bühne* (Schneider, 1936) and *Opernring* would represent Austria at the Venice film festival in the summer of 1936, alongside films by Werner Hochbaum, Max Neufeld and Walter Reisch.

"Brisk and sweet, with delightful humor, with perfectly chosen types and actors," so the Italian critic Filippo Sacchi (1936) summed up *Opernring*, when the film was screened in Venice, and the press commented approvingly on Kieपुरa's performance: "Of all singers who have ever appeared in front of the camera," noted a Berlin paper, "Kieपुरa has a lot to his advantage [...] he knows to move, he can play theater" (E. Kr., 1936). Gallone's direction was praised, too. He expertly stages the action, contrapuntally commenting on it through little remarks. As an example may serve the close-up of Mizzi,

the Viennese girl in love with the taxi driver, twisting her handbag out of uneasiness in front of the lady who has made the vocally talented young man her protégé, providing for his training and helping him to fame. Likewise, humorous details loosen up the paths of musical numbers. While the taxi driver sings on the street for alms, the camera lingers on a chubby-faced baby in a perambulator. *Operrning* is notable also for its long and elegant camera movements, that similarly distinguish *Casta Diva*. One in particular stands out: from the stage where the taxi driver is celebrating his debut, continuing past the audience in the parquet and the various rows of boxes, the camera reaches the gallery, where it finds young Mizzi tearfully listening. The camera movement at the same time illustrates the taxi driver's success and emblemizes the distance at this point of the narrative between him and Mizzi, yet also evokes their inner bond, which eventually will lead to the happy ending.

*Blumen aus Nizza* followed in fall 1936. The film, directed by Augusto Genina, was also produced by the Viennese Gloria company and though *Operrning* and *Blumen aus Nizza* do not figure as Austrian-Italian co-productions, in contrast with *Tagebuch der Geliebten* and *Una donna tra due mondi*, a number of elements point to an Italian involvement. At the end of 1936, the collaboration between Gloria and the Rome-based Astra company was mentioned in the press as one of the major cooperation undertakings being developed at international level in Italian cinema, and it is of note that *Blumen aus Nizza* and *Operrning* were distributed in Italy by Ente Nazionale Industrie Cinematografiche (ENIC), that also released *Diario di una donna amata* and *Una donna tra due mondi*. The ENIC company had been established at the end of 1935 on the initiative of the state-owned Istituto Luce by taking over SASP's theater circuit and distribution network. *Casta Diva* was released through ENIC as well and the company is likely to have participated financially in the production of *Operrning* and *Blumen aus Nizza*.

*Blumen aus Nizza* clearly connects to *Casta Diva* and *Operrning*. Like the Austrian-Italian co-productions *Tagebuch der Geliebten* and *Una donna tra due mondi* that preceded it, Genina's film was also intended as an international product and, again, was a musical film, with the female lead entrusted to German soprano Erna Sack, who enjoyed great renown at the time. As one paper summed up, she plays "a singer who achieves success through a publicity trick, but when it comes out, is exposed to public scorn" (*Blumen aus Nizza*, 1936) and the film represented Sack's debut on screen. Work on *Blumen aus Nizza* began in late spring 1936. In May, the press reported: "The Gloria company has acquired as subject material for the first Erna Sack film the novella *Blumen aus Nizza* by writer Maria Fagyas" (*Wiener Filme in Vorbereitung*, 1936a). The latter was also to write the screenplay together with German author Max Wallner. At the end of June, Szekely travelled to Rome to meet with Genina, and *Mein Film* reported in mid-July: "Sack is expected in the next days in Vienna for the preliminary discussions about her first film, *Blumen aus Nizza*" (*Wiener Filme in Vorbereitung*, 1936b). Shooting began in mid-August. In late September, a number of scenes were shot in Nice, on the Côte d'Azur, and in Paris, and *Blumen aus Nizza* premiered in Vienna in November 1936.

## 6. Conclusions

After the lively crescendo noted between 1934 and 1936, the Austrian-Italian cinematic cooperation lost its momentum. A number of new projects were announced. Austrian novelist Karl Burger was to write a screenplay for an Italian company; the film was to be called *Flirt* and take place in pre-war Vienna. Italian theater director Guido Salvini negotiated in Vienna for a film about Milan's opera house La Scala; opera singer Jarmila Novotna was to play the lead and the Austrian Fritz Eckhardt was entrusted with the screenplay. Also Viennese producer Kraus planned a new Austrian-Italian joint production. Yet none of these projects would eventually be realized.

A number of reasons may account for the ending of the Austrian-Italian cooperation in the field of film after 1936. One cause may have been the loss of the major partners that Italian film had in Vienna, producer Kraus and the Tobis-Sascha company. Together with Szekely, they are at the center of Austrian-Italian cinematic cooperation in the 1930s. In fall 1936, Kraus declared bankruptcy, while, following Pizner's exclusion from the company, Tobis-Sascha fell under the control of Berlin. At the same time, Austrian film underwent a severe crisis as a result of Nazi Germany's boycott, leaving production at an almost total standstill. The worsening of political relations between Rome and Vienna in the course of 1936 must also be taken into account. The Italian occupation of Ethiopia in fall 1935 led to a rupture between Rome, London, and Paris. The international isolation of Italy fostered a closer relationship with Berlin, which negatively affected the Rome-Vienna partnership, eventually leading to Austria's annexation to the German Reich in March 1938.

*Blumen aus Nizza* was in fact the last film made in cooperation between Vienna and Rome in the course of the 1930s. Austrian-Italian cinematic collaboration would eventually be circumscribed to a limited period of time, yet the films that resulted from it appear to be of great interest. Together they make up a noteworthy chapter in the history of interwar

European cinema, and as this essay has attempted to show, they need to be truly investigated as transnational productions, in which a variety of cultural traditions and aesthetic influences effectively coalesced.

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## Analysis of Student Satisfaction for the Continuous Quality Improvement

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### Abstract

The presented survey pursued two main purposes: at first, within the frames of The Pedagogy Department continuous quality improvement we wanted to check satisfaction of our students with teaching and learning process and the second, to use obtained results while designing 300 credit Teacher Preparation Program. Practically, we used the survey as the input in the process of designing new program. As the world is entering the new phase of civilization educators need to take into account new paradigms, such as: artificial intelligence, machine learning, advanced robotics, advanced materials, which will transform the way we live, learn and the way we work. Thus, universities should prepare students to enter such an environment and equip them with appropriate skills, knowledge and values. We structured our survey in the way that provided us with the insight in existing problems and got feedback and recommendations from the students for the improvement of shortcomings. Overall the survey revealed, that the first year students are more satisfied with teaching/learning process, course materials and resources than the senior students, though senior students showed greater satisfaction with university and faculty reputation.

**Keywords:** Students satisfaction, teaching/learning process

### Introduction

For the universities to be competitive at regional and international level having effective leadership, knowledgeable and professional staff, impressive learning and teaching facilities, innovative and relevant curriculum is of paramount importance. Akaki Tsereteli State University Pedagogy Department based on the eighty-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. Like other universities, before introducing changes in the curriculum we need to be sure that the education we offer meets the expectations of students and the requirements of labour market, both today and for the future.

### An Overview of the Situation

In 2016, The Ministry of Education and Science of Georgia has launched a reform concerning a pedagogical education. The aim of the reform was to develop a teacher integrated Bachelor-Master's 5-year educational program (300 credits) and launch by 2017-2018. <sup>1</sup>

Kutaisi Akaki Tsereteli State University as other state universities in Georgia<sup>2</sup> faces the same challenges of modern education. Today, one of the major responsibilities of the university staff and lecturers is to provide effective service and teaching. For these purposes, we need to adopt a sustainable culture of continuous quality improvement. It refers to relevant teaching process, fulfilling teaching necessities, developing the ability to anticipate stakeholders' expectations in teaching and learning, creating appropriate environment, having friendly staff, and great administration services.

We carried out the survey which pursued two main purposes. At first, within the frames of The Pedagogy Department continuous quality improvement we wanted to check satisfaction of our students with teaching and learning process and

<sup>1</sup> <http://mes.gov.ge/content.php?id=6343&lang=eng> (2/02/2018)

<sup>2</sup> <https://atsu.edu.ge/>

the second, to use obtained results while designing 300 credit Teacher Preparation Program. Practically, we used the survey as the input in the process of designing new program.

Before designing our survey questionnaire, we took into account policy areas identified by OECD Education 2030, which clearly states that due to **curriculum overload**, Students often lack sufficient time to master key disciplinary concepts or nurture friendships, sleep and exercise. It is time to shift the focus of our students from "more hours for learning" to "quality learning time". Another important point is that content must be of **high quality** if students are to engage in learning and acquire deeper understanding. Curricula should **ensure equity while innovating**, allowing all students to benefit from social, economic and technological changes.<sup>1</sup>

### Modern Challenges for Educators

As the world is entering the new phase of civilization educators need to take into account new paradigms. Alex Gray, in his article "*The 10 skills you need to thrive in the Fourth Industrial Revolution*" states: "Five years from now, over one-third of skills (35%) that are considered important in today's workforce will have changed. By 2020, the Fourth Industrial Revolution will have brought us advanced robotics and autonomous transport, artificial intelligence and machine learning, advanced materials, biotechnology and genomics. These developments will transform the way we live, and the way we work. Some jobs will disappear, others will grow and jobs that do not even exist today will become commonplace. What is certain is that the future workforce will need to align its skillset to keep pace."<sup>2</sup>

Thus, university education, and the mode of learning whilst at university, will need to prepare students for entry to such an environment and equip them with appropriate skills, knowledge, values and attributes to thrive in it.<sup>3</sup>

At the same time, student's attitude towards teaching and learning opportunities have become more sensitive, they demand quality education (teachers, resources etc.), equal treatment, and fair assessment. This means that teachers are required to have effective pedagogical skills for delivering student learning outcomes and they also should be co-operative with students.

OECD an IMHE Guide for Higher Education Institutions provided us with the new teaching and learning paradigms. Some of them we used as the basis for our research: a new type of communication and collaboration, re-designing of curricula, bridging teaching and research more intensively, re-thinking of student workload, use of technologies, assessment models aligned with student-centred learning, providing guidance and tutoring to students with new means and methods.

We structured our questionnaire in the way that provided us with the insight in existing problems and getting feedback and recommendations from the students for the improvement of shortcomings.

### Method

In order to check students' satisfaction with the university, the faculty and education we provide, we designed a questionnaire, and thus we used quantitative study to gather information. Overall, our aim was to find out how satisfied our students are with university education, professors, learning process and resources, life and study, generally, what determines their satisfaction as students. The last question provided space where students could express freely (the answers were anonymous) their suggestions, recommendations, wishes to the university and professors.

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.

The survey provided us with specific results, which required from the Department in-depth analysis and solutions. The research results were discussed at the department meeting and later at the Faculty meeting. Research findings were fully used while working on the 300 credit Teacher Preparation Program, which was modified according to the new requirements set by National Center for Educational Quality Enhancement of Georgia for program accreditation.

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<sup>1</sup> <http://www.oecd.org/education/2030/international-curriculum-analysis.htm> (28/05/2018)

<sup>2</sup> [https://www.weforum.org/agenda/2016/01/the-10-skills-you-need-to-thrive-in-the-fourth-industrial-revolution/\(6/23/2018\)](https://www.weforum.org/agenda/2016/01/the-10-skills-you-need-to-thrive-in-the-fourth-industrial-revolution/(6/23/2018))

<sup>3</sup> <https://www.oecd.org/education/imhe/QT%20policies%20and%20practices.pdf>

### Student Satisfaction Analysis

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:

I Year -128

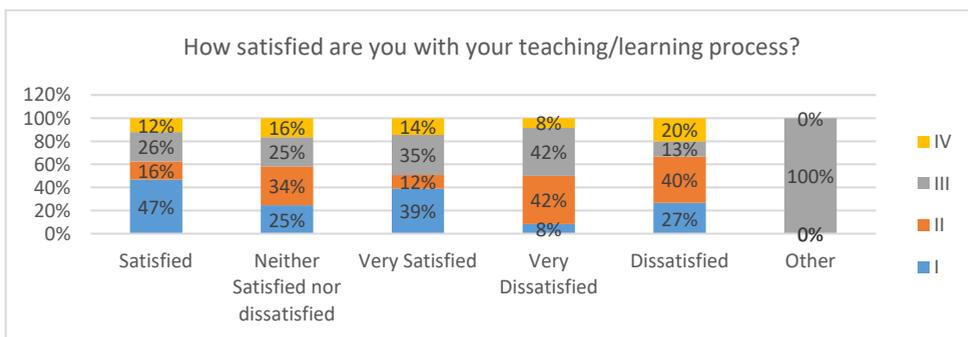
II Year -82

III Year - 99

IV Year - 51

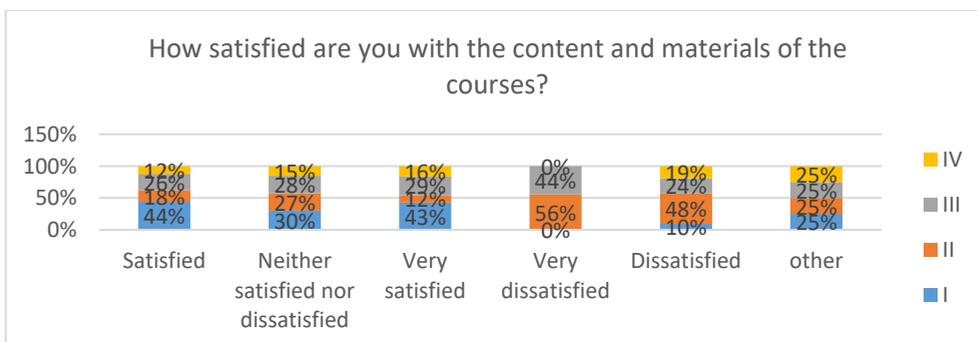
The first question was to check student general satisfaction with teaching and learning process. It revealed that student satisfaction level is higher among the first and the second year students. There might be several reasons for students' dissatisfaction among seniors. At first, student satisfaction is positively associated with program completion rates and grade achievement. According to our statistics, the first year students perform better and have better grades. Second, the student dissatisfaction in many cases are related to factors other than the educational experience itself; there are demographic characteristics (early marriages, children etc.) and outcomes that can influence satisfaction levels. Moreover, the third, the first year students lack the experience to make critical evaluations and are satisfied even by the chance of being university student.

Table 1



The question related to course content and resources showed the same results, where junior students are mostly satisfied with materials provided by the courses, but the second and the third students were totally dissatisfied. These answers confirmed our consideration about renovating course syllabuses and materials.

Table 2



Most students find difficult to cope with their workload, especially first year students. The result was rather surprising. At first, we thought it was caused by the lack of time management skills, but in the question: "How satisfied are you with your

time management and meeting deadlines?" 42 % of the first year students answered that, they were very satisfied, whilst senior students find it rather difficult to manage meeting deadlines. The answer to question: "How satisfied are you with your university and life balance?" strengthened our assumption, as the majority of students are quite satisfied, apart from fourth year students as many of them try to combine work and study. These results inspired us to introduce more induction courses and trainings.

Table 3

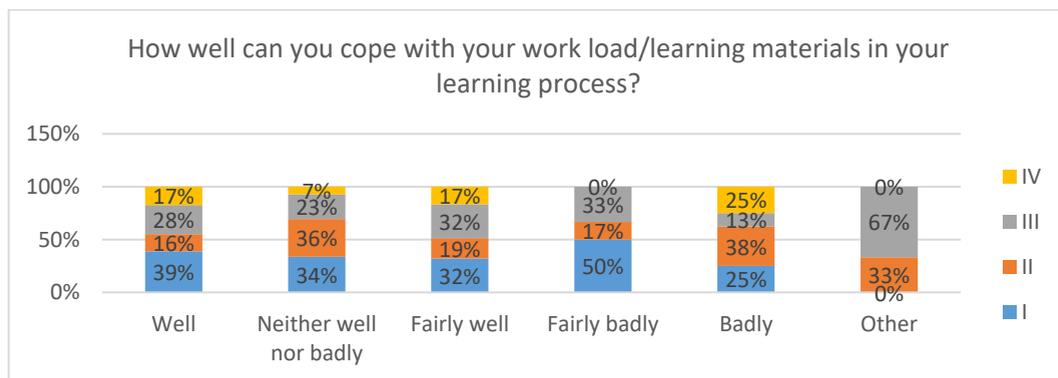


Table 4

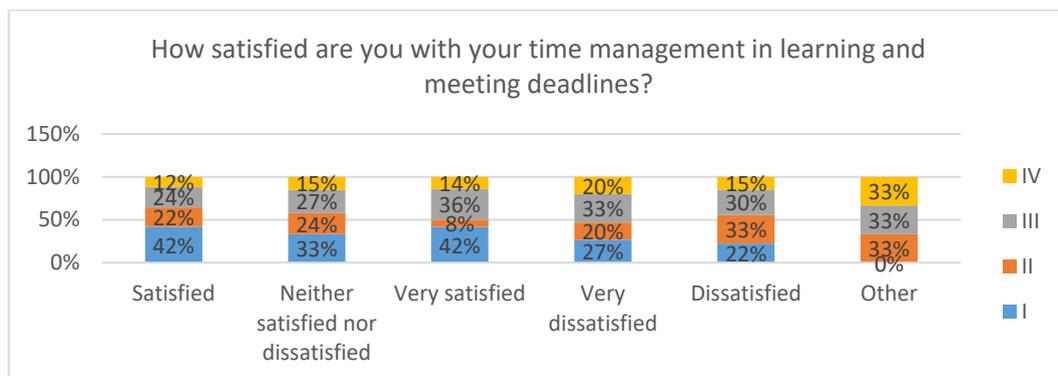
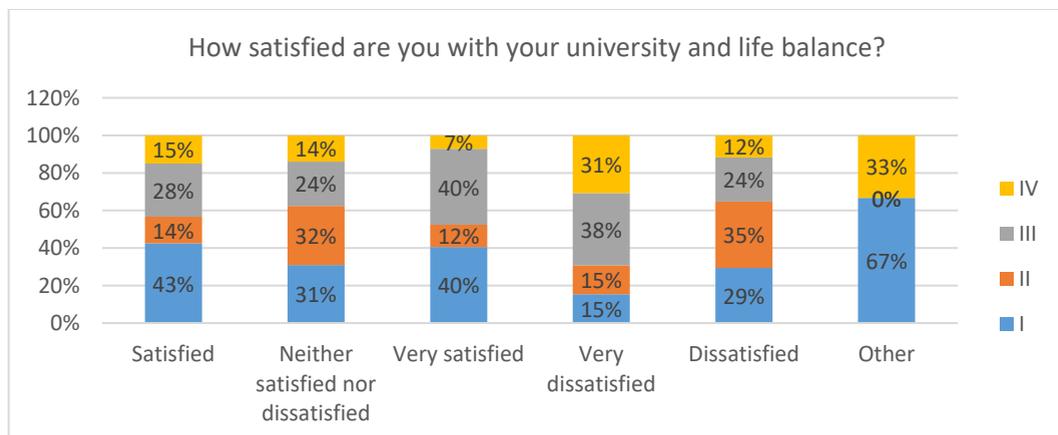


Table 5



Majority of students are quite satisfied with their learning outcomes and think that they meet the standard requirements. Approximately same number of students 38% are quite satisfied with their assessments. Again, the third and fourth year students were more self-critical and showed dissatisfaction 31%.

Table 6

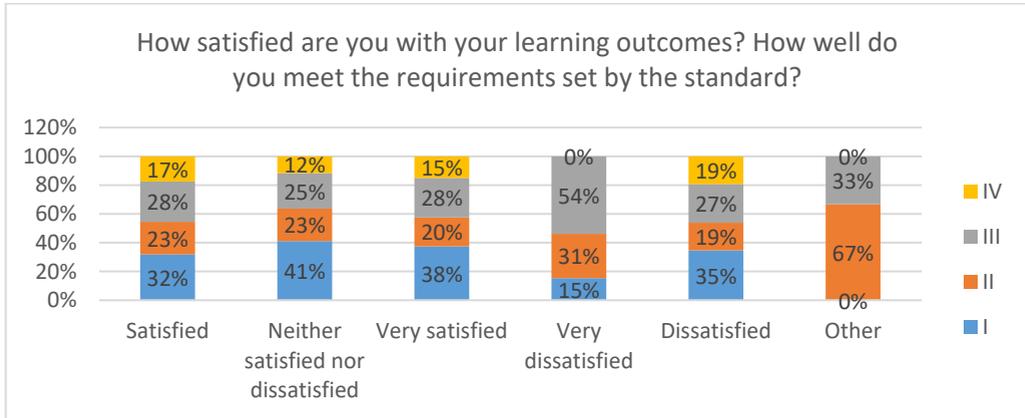
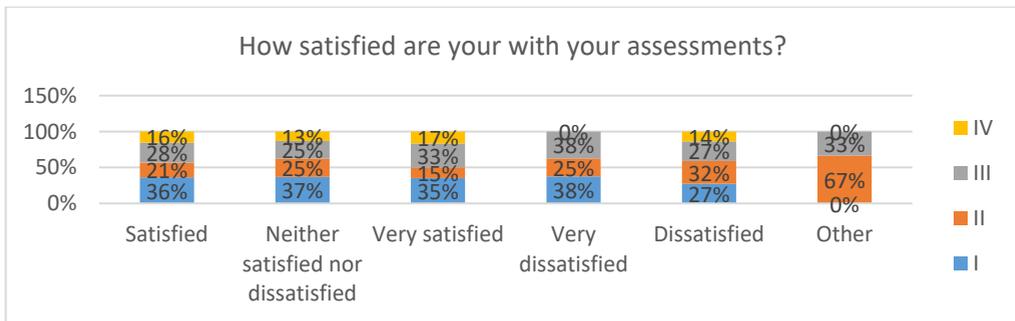
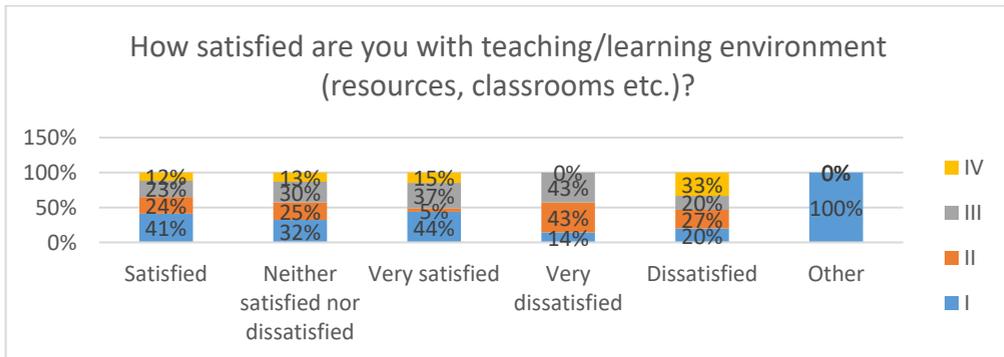


Table 7



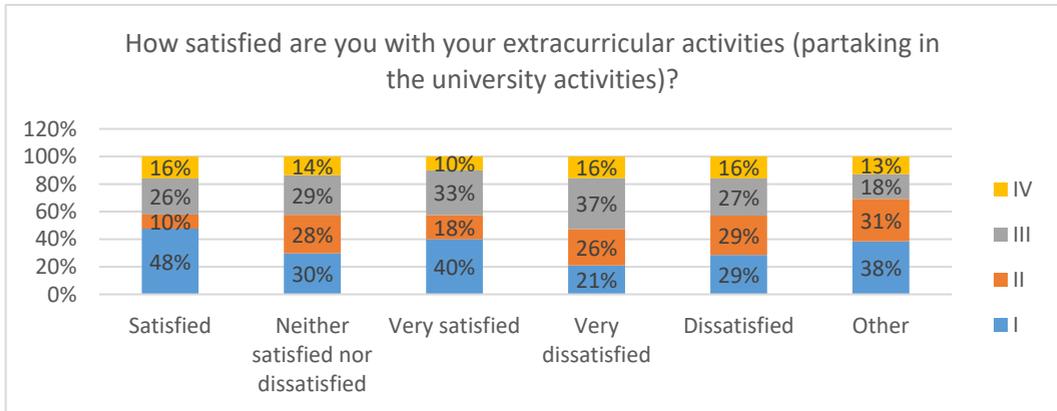
Most students showed satisfaction in terms of teaching and learning environment. The University resources are equally assessable to all students and generally, the teaching process is student oriented, but much need to be done for achieving desired standards.

Table 8

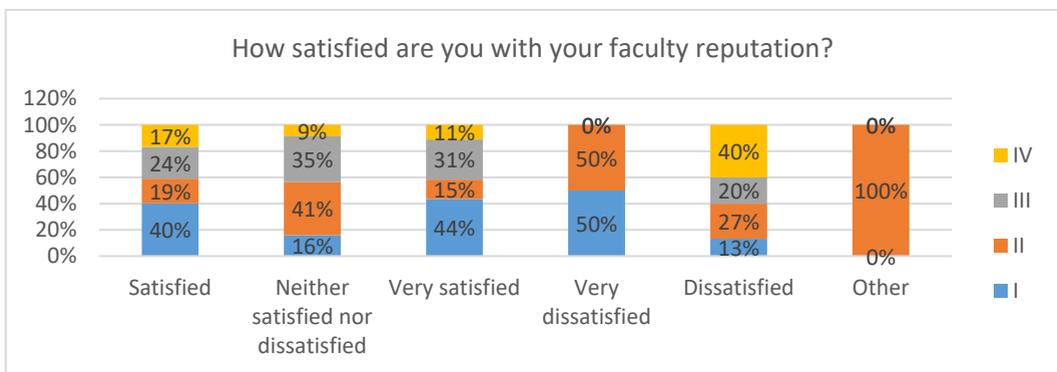
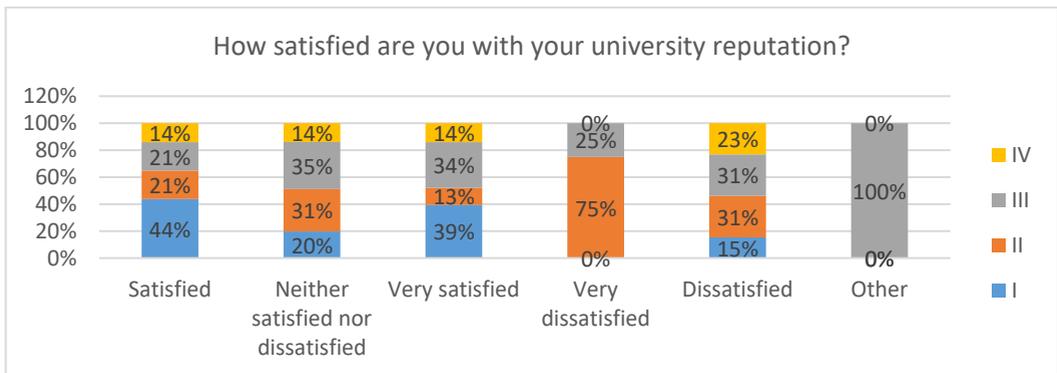


In terms of student's satisfaction with extracurricular activities the same trends were revealed: the first year student are mostly satisfied and the fourth year students are less satisfied.

Table 9



The last two questions were dedicated to students' opinion about the university and the faculty reputation, which revealed that majority of students, in spite of the discontent they expressed in relation to other factors were quite satisfied with the university and faculty reputation.



**Conclusions**

The aim of the conducted survey was investigating student's satisfaction with teaching and learning process, the university, the faculty, teachers, resources and environment. In order to keep pace with technological developments and requirements

of the future labour market Pedagogical Faculties need to educate teachers equipped with innovative knowledge and practical skills.

Overall there are some unique findings in this survey. Firstly, the first year students are more satisfied with teaching and learning process and course materials and resources than the senior students, though senior students showed greater satisfaction with university and faculty reputation. The next step was thorough analysis of the survey findings and the profound changes were made in the new program.

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## Tendencies Regarding Fish Consumption – The Case of Portugal (Europe's Leader & 3rd in the World)

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### Abstract

Portugal is Europe's leader in consumption of fish and ranks 3rd in the world (topped only by Iceland and Japan). Portuguese consumers eat 59 kg of fish per year, distantly followed by E.U. (28) numbers 2 and 3 - Spain and France - with 39 and 33.9 kilos per capita (2015). Culture theorists like Claude Fischler, Leon Rappoport, Mary Douglas, Poul Rozin, Massimo Montanari, Pierre Bourdieu and Cornelius Castoriadis, agree that the basic determinant of population's diet is its culture and food has always been much more than a source of physical nourishment. To analyse the tendencies regarding fish consumption we used *Docapesca Portos e Lotas S.A's* data (a government owned company, under the Ministry of Finance and the Ministry of Sea). A total of 1393 respondents participated in 2 surveys (one survey being for the general of the population and another one specifically for generations born after 1980s) which gave us a total of 221 variables to analyse. 7 segments were identified, depending on lifestyle, relationship with fish and how consumers buy fish. Results were abundant, remarkable and complete, including ex. factors influencing store choice store; the best source of information about food; what healthy eating means/ how it has changed over time; price; time; taste; availability; cooking skills; factors influencing the choice of a store; perceptions regarding fresh fish, its flavour, quality and freshness, smell, price and confection; personal preferences (salted dry fish, smoked fish, frozen fish, canned fish, fresh fish, whole fish, fish stalls, fish fillets).

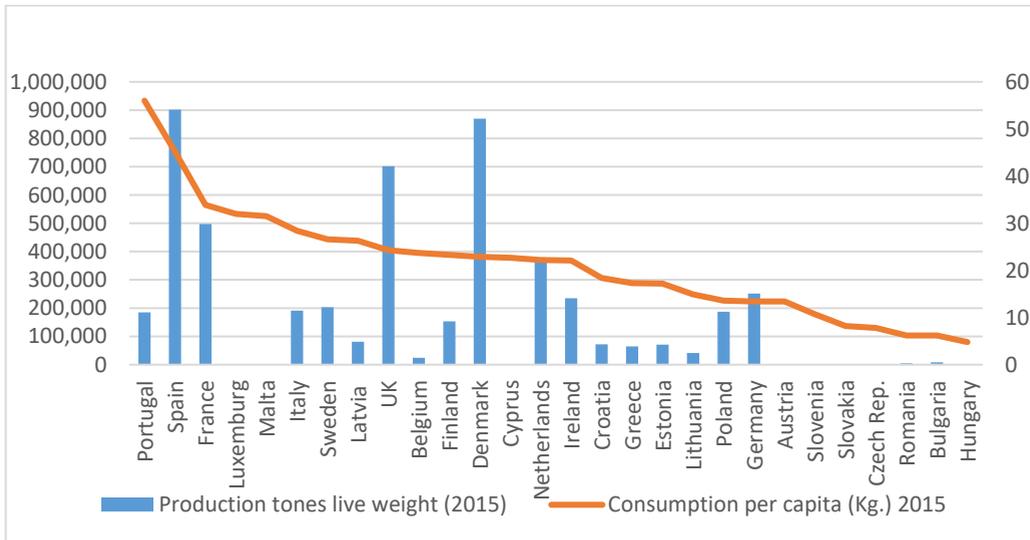
**Keywords:** Food consumption, Taste and identity, Tendencies, Fish, Portugal, EU, Culture

### Introduction

One of the most interesting and visible ways in which men and women express their cultural differences is through the food that they eat or do not eat (Fieldhouse 1986). Human diets are governed first by what men can gather from their environment and when given a choice, they eat what their ancestors ate before them. Regarding fish consumption Portugal turned out to be the highest in the EU-28, with 59 kg per capita year (2015) and the 3rd highest in the world (Topped by Iceland and Japan). These figures had no positive correlation with fish production levels. Fish production figures in Portugal did not achieve more than 256,589.00 tons in 2017, a figure that puts Portugal in a modest 10th place in the EU-15 and an insignificant place worldwide. Countries like Denmark or UK, with very high production levels, came (far) behind in the consumption ranking. It was with the EU-28 reality as a base of comparison that this research focused in the case of Portugal. Historically, fish consumption per capita in Portugal reached an all-time high of 71.4 kg in 1967 and an all-time low of 25.4 kg in 1979. Graphic 1 shows the levels of fish consumption and fish production in EU-28, and easily one can see how the reality of Portugal stands out in the group. Portuguese fish per capita consumption is more than 30 kg higher than the EU average of 25,1 Kg. Since the production level of fish is less than one third of the fish consumption, the market dependency on imports is very big. The main species imported are cod, shrimps, hake, squid, octopus, horse mackerel, tuna, sardines, mackerel, salmon, seabass, monk, crab and gilthead seabream.

**Graphic 1**

**Levels of Fish Production and Consumption in the EU-28– Kg/Per Capita**

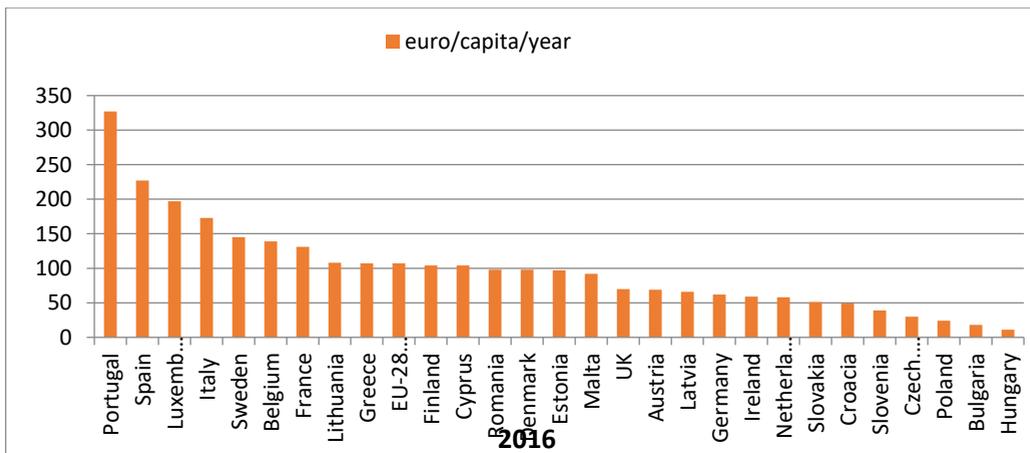


**Source:** (Source: FAO Fisheries Circular No. 972/4, Part 1, 2007; FAO 2016)

In line with these high fish consumption figures, Portugal household expenditure's for fish present a recording EUR 327 in 2016, which is about three times the EU average (graphic 2).

**Graphic 2**

**Per Capita household expenditure for fishery and aquaculture products in the EU in 2016 and % variation 2016/2015 (out of home consumption is excluded)**



**Source:** "The EU Fish Market, 2017" Highlights, the EU in the world, EU market supply, Consumption trade, EU landings, Aquaculture production, Maritime affairs and Fisheries – EUFOMA – European Market Observatory For Fisheries and Aquaculture Products

As a note for comparison, in 2016 the EU expenditure was EUR 220 billion for meat and EUR 54,8 billion for fish. The EU consumer spends, on average, four times more for meat than for fish. Portugal's expenditure for fish was around three-quarters that of meat in 2016. One should notice now that Portugal is a country with 1.187 km of coast line, (including the archipelagos of Azores and Madeira), with a Exclusive Economic Zone of 1,7 million km square and that more than 75% of its population living by the ocean. Portuguese culinary tradition is mostly linked to cod, small pelagics fish products (sardine), whole fish prepared with bones, and other different types of seafood. The Portuguese seafood consumption is characterized by a wide variety of species. Despite the culinary tradition, cod (salted and dried) does not exist into the Portuguese waters<sup>1</sup>. Price has obviously affected consumption frequencies but, despite the risk that it could deter consumers from eating expensive products, such as cod, Portuguese consumers' choices are strongly affected by tradition. For this reason, despite the fact that its prices are two times higher than those of other fish species, cod remains the most consumed species<sup>2</sup>. Portuguese fish consumers perceive fish as healthy food. However, due to the current high level of seafood consumption, further increases may generate impacts on both on population diet and stocks, with increased fishery pressure (Almeida C., et al 2015).

### **Theoretical background: Food Culture Theory**

Food is more than just a collection of nutrients; it has always been much more than a source of physical nourishment, being an important part of everyday culture (Sanjur, 1982). Food is a mean to distinguish us from the rest of the world and has the strength to define us. Food has many different meanings attached, like identity, personal relationships and power; Culture theorists like Claude Fischler, Leon Rappoport, Mary Douglas, Poul Rozin, Massimo Montanari, Pierre Bourdieu, Cornelius Castoriadis, and Diva Sanjur agree that the basic determinant of population's diet is its culture. Adults and children everywhere know exactly what to say when asked to describe a nutritious diet: they recite the food guide and list rich sources of vitamins and minerals. However, none of this memorized knowledge is reflected in their own eating habits (Fieldhouse 1986, preface). In fact, most people do not decide what to eat based on their rational biological and nutritional needs. They decide based on their culture.

Culture is not biologically determined nor individually developed. It is a learned experience, cultivated subconsciously in a natural group atmosphere. It is a kind of social heritage that makes us similar to some people and yet different from the vast majority of people in the world. The food we eat is a reflection of that heritage, of that culture. A taste towards a particular food or set of foods largely reflects the prevailing cultural environment (Mela, in Frewer et. al. 2001, pg 19), or, as Askegaard et al., (1998) defined, food culture is (in an anthropological way) a culinary order whose traits are relevant and similar among a certain group of people.

Food's traditional metaphysical significance can be accredited to its being an indispensable source of life and nourishment (Rappoport, 2003 pg 113). Counihan (1997, pg 1) stated that food is life, and life can be studied and understood through food. Nothing can be more vital than eating; nothing can be more intimate. Intimate is precisely the adjective to be applied, as in Latin, it is the superlative of interior. The mouth is the orifice opening into the interior depths of the body (Fischler, 1988, pg 282). Nothing could be more threatening or intimate than taking something into the body and yet this occurs in every act of ingestion (Rozin, 1998, pg 219). By eating food we allow it to ascend to the heart of our interior (Fischler, 1990, pg 11). The food we chose to incorporate will represent us, in a biological, psychological and social way (Fischler, 1988, pg 275).

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<sup>1</sup> At this point one should mention the importance given to this fish species during the dictatorship period of 1933-1974, specially the 1934-1967 "Cod Campaign".

<sup>2</sup> The EU Consumer Habits – EU Consumer Habits Regarding Fishery and Aquaculture Products – January 2017

## 2.1. The Functions of Food

The food we eat has different functions, which are deeply intertwined and of absolute importance: a biological function and a cultural function.

**2.1.1. Biological Function (Nutrition):** In physiologic terms, we use food to satisfy hunger, and provide nourishment; we cannot survive without eating. Food fulfils the basic biological needs of satisfying hunger and nourishing the body (Maslow, 1954), and through food, humans prevent, diagnose and treat physical and psychological illness. Some foods have traits that can have an immediate effect on psychological or emotional systems - sweets stimulate the brain and chocolate is well known for its ability to comfort a broken heart; certain teas treat stomach illnesses while drinking chamomile tea provides calmness; drinking coffee can make us sharper but also more stressed. By eating healthy food we can reduce high cholesterol and the risk of heart attacks; by not eating or by losing too weight, our body sends signals that something is wrong with it. But perhaps most interesting is the individual reactions people have to different types of foods. Basically “any want or need which we have relates to a sort of tension in our body; and by eating the kind of food we like we relieve that tension and we are happy” (Dichter, 1964, pg 11).

**2.1.2. Cultural Function (Symbolic):** In social terms, our relationship with food expresses our cultural identities. Aside from physiological needs, the creation of a diet is influenced by cultural and social standards on what can and cannot be eaten and what is liked and disliked (Fischler, 1980, pg 937). Indeed, there are hardly any significant social activities or emotional states to which food is irrelevant, and there are many personal interactions, such as parent-child relationships, to which it is central (Rappoport, 2003 pp. 21). Since our culture and its habits are deeply rooted in the food experiences of children, the formation of children’s food habits is of major interest. By eating certain foods, cooking in a specific way or using certain utensils for preparation (Douglas, 1972), we are sending signals that link us to our family, our culture, and our identity. Food behavior is closely tied to our sense of personal identity and social-adjustment habits; it is part of humans’ social capital (Rappoport, 2003, pg 206). People communicate who they are through their uses of food (Fieldhouse 1986, pg 44), and seek out and consume only those things identified by their group or society as being good to eat (Rappoport, 2003, pg 142). Cultures shape our tastes. As we understand that food makes the eater (we are what we eat), it is therefore natural that the eater should try to make himself or herself by personal eating practices. It is because of the vital and symbolic importance of identity that man has invented cuisine (Fischler, 1988, pg 277). Cuisine, or in Lévi-Strauss 1968, words “a society’s cookery” is a language into which society translates its rules, its practices, its structure.

## 3. Theoretical background: The Meanings of Food

People develop meanings to their reality and then express them through their cultural symbols and culinary systems. Culinary systems play a part in giving a meaning to man and the universe, by relating them to each other in overall continuity (Fischler, 1988, pg 281). But the meanings that we create can transform themselves, as one person gets one pattern and another a quite a different one from the same events (Douglas, 1992, pg 25).

Meanings are observable in physical things (Douglas, 1992, pg 23), and to find consistent and transparent meanings, it is useful to examine consumption patterns (Douglas, 1992, pg 22). Man gives meaning to food and food gives meaning to man. What we eat, the importance we give to food, and the meanings we create from our diets, reflect our gastronomic traditions and our food culture. If we observe the rules, then we would understand why some food products became part of countries’ diets instead of others.

### 3.1. Food, Taste and Identity

Quantitative social differences have always existed between rich and poor populations, but with an increasing diversity of foods, these differences were able to take on a more qualitative character: food became not only a matter of social status, but also a mark of one’s personality and taste (Hortense Powdermaker in Counihan et. al, 1997, pg 207). In his work from 1984, *Distinction: a social critique of the judgment of taste* (in French, *La Distinction*), Pierre Bourdieu gives us a view on how taste is formed, the underlying roots of taste, and on these taste mechanisms and institutions. Belonging to a social class is as much a matter of mastering an aesthetic repertoire as it is a matter of material wealth. People tend to find things

beautiful because they have been taught to appreciate them, not because they are inherently beautiful. A taste for the subtleties of fine wines or abstract expressionist paintings is acquired as part of an elaborate and advanced education unavailable to most people. Bourdieu puts things in a social space; socio-economic classifications like education and income are part of what he calls of cultural capital and economic capital. These two sources of capital are indicative of a higher social position.

The economic capital is associated with money. As food is concerned, the abundance and the type we eat are a sign of wealth and security in life. For Catholics, the difference between eating the jovial and privileged meat or the melancholy and humble fish, can distinguish high and low status on the social ladder (Toussaint-Samat, 1992, pg 313). The Lent fast, which lasts the forty days before Easter, forbids consumption of meat, but that does not apply to everyone, since the restriction may be removed by paying a certain fee to the local priest (Montanari, 1994, pg 47).

Cultural capital deals with something different: knowledge and recognition. Gourmets make efforts to acquire substantial knowledge about food and cuisine, primarily to use it to gain social status, to win friends, to influence people and above all, to acquire a valuable form of social capital. (Rappoport, 2003 pp 206). By displaying expertise in such matters, gourmets sincerely appreciate what they represent, but also display that they have acquired connoisseurship, and that they are members of an elite group capable of appreciating the finer things in life.

Just as the music connoisseur appreciates both the beauty and the taste of melody and scientific precision of orchestration, the food expert also appreciates both facets. He is aware of the orchestration of the meal, the combination of taste and aroma, and the nutritionally correct preparation and composition (Dichter, 1964, pg 12). From their knowledge on food, gourmets gain recognition. This is an example of Bourdieus' cultural capital. This competence to appreciate and experience things such as a fine fish dish or fine art is something that begins at home, with early childhood experiences. Someone in our life will teach us how to appreciate fish, and even how to desire coffee and chilli (Filedhouse, 1986, pg iii; Rozin, 1990) despite the bitter and burning sensations they evoke. We acquire these likes and preferences by interiorizing what we are exposed to. When all of the influences that our parents, family, peers (McFerran et. al, 2013, pg 61), teachers, media, work colleagues (...) have in forming our tastes are taken into account, it becomes apparent that our tastes are not subjective.

### **3.2. Food and Personal Relationships**

Foods also have the function to initiate and maintain personal and business relationships (Farb et al., 1980, pg 4). It is through food that we demonstrate the nature and extent of relationships. When we are dating, taking or being taken out to dine is one of the first steps in a relationship, when facing emotional stress, couples usually try to bring back romance by dining out, and when it's time to apologize, a box of chocolate or a bottle of wine express thoughtfulness and sincerity. By preparing a special meal for a dear one or buying the type of chocolate our children prefer (Miller, 1998), we are showing that we think about them even when they are not present. Through food, we can express our love and caring for other people, just as how women have expressed love of family through careful selection, preparation, and serving of meals (Fieldhouse 1986, pg 28). The eating and giving of food thus remain a symbol of love, affection, and friendliness, as well as a source of pleasure in itself (Powdermaker, In Counihan et al., 1997, pg 208). Consumers eat in conformity with the society they belong to, more precisely the group, establishing distinctions and delineating precise frontiers (De Garine, 1990, p. 1453). By absorbing food, the eater incorporates a culinary system and with that, the group which practices it (Fischler, 1988, pg 280). Through food one can proclaim association or separation from a group. Human beings mark their membership in a culture or a group by asserting the specificity of what they eat, or more precisely by defining the differences of others' diets. Food determines, more than any other physiological function, the nature of social groups and the way their activities are formed (Richards 1948 in Fischler 1990, pg 18). If food was to be treated as a code, as a way to communicate, its messages would be found in the pattern of expressed social relations. These messages would be about different degrees of hierarchy, inclusion and exclusion, boundaries and transactions across the boundaries (Douglas, 1972 pp. 61).

If we were not submitted to the same food code we would not be able to find the social organization encoded by the sender of the particular message. Food has an important symbolic and emotional weight attached to it and depending on our learned codes; we give different meanings to it. If we are born and raised in southern Europe we cannot imagine going to a wedding

where champagne is not present, but, instead, if we are from the rural parts of the northern Europe, having champagne could be understood as an excessive luxury and perhaps also to some extent a sign of decadence (Solomon et al., 2002).

Going against these learned codes can be something intentional, like a teen's individuality statement, but it can also be something feared, due to groups' stigmatization and personal guilt. It would seem impossible for someone raised as an orthodox Jew or Muslim to have an unmediated experience with a pork chop or ham sandwich because he or she would inevitably feel some sense of guilt or at the least an awareness of violating a religious prohibition (Rappoport, 2003 pp 107). People generally tend to feel guilty when indulging in junk food. The guilt aspect is already so well entrenched in our collective national discourses that consumers are often ready to apologize and rationalize for even thinking about eating a Big Mac or an ice cream (Rappoport, 2003 pp 196). The ritual of fasting, common to many religions, is instructive of an aesthetic diet being associated with the highest levels of spiritual and moral attainment, wisdom (Rappoport, 2003 pp 112), and self-control.

By sharing the same food codes and the same values of a group, we demonstrate our support and acceptance of its communal ties, and confirm and connect ourselves to the group and to what binds it. Examples of this assumption are prevalent: teenagers that want to be slim so to be accepted in a group; Catholics that fast from meat on Fridays and wholly days to identify themselves as Catholics. By eating something beyond the limits of what is locally accepted, people become the targets of powerful sanctions, and those who violate the food conventions of their group or society do so at their own risk (Rappoport, 2003; pg 44);

## 5. Methodology

So how can we start understanding the tendencies regarding fish consumption for the next decade? Well, according to Solomon, tendencies and trends refer to underlying values that drive consumers toward certain products and services and away from others; however, these values evolve over time and consumer trend forecasting is now a big business, with many organizations devoting huge resources to monitoring the bleeding edge of consumer behaviour. Based on this, we have framed our research giving top priority to the study of generation Y (people born in 1980-1995) and generation Z (born mid-1990s to mid-2000s). The fact is that, according to food culture theory, if we want to better understand the tendencies regarding fish consumption, we should pay special attention to generations Y and Z since they are the ones shaping seafood consumption in Portugal over the next decade.

### *Procedure and sample*

To analyse the tendencies regarding fish consumption we used Docapesca Portos e Lotas S.A's data (a government owned company, under the Ministry of Finance and the Ministry of Sea). A total of 1392 respondents participated in 2 surveys (one survey being for the general of the population and another one specifically for generations born after 1980s, generations Y and Z). Data was collected in 2017 using quota sampling, by using a socio-demographic variable such as sex, age, and region representative of population as non-probability sampling technique. The descriptive statistics are shown in Table 1 and Table 2. The questionnaire was anonymous in order to guarantee a higher level of participation and honesty. Each question was debated by a multidisciplinary team composed of nutritionists, marketing and survey specialists, representatives of commercial companies, statisticians, and people experienced in the seafood sector. Furthermore, the attained preliminary questionnaire was sent to a group of twenty individuals outside the expert group with the purpose of assaying the clarity, simplicity, and appropriateness of the various questions. During this process, several alterations were introduced, but the overall architecture of five sections was kept in the final form of the questionnaire. These fish products were chosen on the basis of consumption importance in Portugal. In order to reach a large universe and different ages and geographical regions of the country, a telephonic and a web online medium was the natural option respectively. Survey for the general of the Portuguese population was contacted in order to understand a seafood consumption patterns in general. *There is a set of characteristics common to all these young people. However, there is also a lot that separates them and, in fact, there is not a homogeneous group of young people but rather 7 segments with different philosophies of life. Through the use of techniques of multivariate analysis Docapesca Portos e Lotas S.A identified the existence of a more complex response, indicating that it is necessary to understand how to communicate with these 7 distinct groups of young people:*

*Trendy Seekers, Conservatives, Extreme Lifers, Traditional Families, Social Techies, World Protectors and Simple Lifers (Coelho et al., 2018)*. More detailed results data of relationship with fish and how Y and Z consumers buy fish for each segment, will be presented in a another paper as the second part of this study.

#### *Statistical analysis*

Factorial analysis of variance (general linear model, one-dimensional ANOVA) was carried out using the SphinxIQ software (Sphinx Company, Montréal, Canada). This methodology enabled to analyse the overall distribution of respondents as well as the consumption preferences and frequencies affected by the independent variables. The difference of means between pairs was resolved by using confidence intervals in a Tukey HSD test. Level of significance was set for  $p < 0.01$ .

## **6. Results and Discussion**

### *Place of purchase of the fresh fish in the Portuguese population*

Concerning place of purchase of the fresh fish, the universe of respondents clearly prefers supermarkets to local markets, 54.1% vs 17,6% (Table 3). The tendency is reinforced by Generations Y and Z, 66,5% vs 14.5% and 70,7% vs 8.1% respectively (Table 4).

### *Perception of the fresh fish in the Portuguese population*

Portuguese consumers perceive Portuguese fish as the best in the world, ranged 4,05 by 5-point Likert type scale with 67,8% for agree/totally agree answers. However only with 38,9 % for agree/totally agree answers, consider themselves fish connoisseurs, , ranged 3,24 by 5-point Likert type scale (Table 5 and Table 6)

### *Store choice behavior in the Generations Y and Z in Portugal*

Since supermarkets are preferred for the purchase of the fresh fish by Generations Y and Z, 66,5% vs 14.5% and 70,7% vs 8.1% respectively (Table 4), there is a growing need to evaluate the store choice behaviour in Portuguese context. The distribution of the importance variables of store choice criteria are presented in Table 6 (mean values in 5-point Likert type scale) and Table 7 (%). The data in Table 7 and Table 8 indicate that everyday low price, good value for money, pleasant shopping experience and variety are considered the most important store choice criteria, while product samples, being kid-friendly, variety of gourmet and exotic foods attracts the least attention. The importance attached to takeaway, specialties and recipes is moderate.

### *The best source of information about food for the Generations Y and Z in Portugal*

The data in Table 9 indicates that 39,5% of young people in Portugal often look for fealty food solutions. It is for this reason that it is so important to understand the best source of information for them. Young people consume collaboratively, they rely more on input from social circles in making food decisions. The data in Table 10 indicates that Facebook is considered the most important source of the information about food, while blogs and magazines and producer website attracts the least attention. The importance attached to Youtube, Google, TV and Instagram is moderate. Generations Y and Z in Portugal will confer with family and friends (including their large social media friend groups) to help them make decisions related with food as much as they believe "chef de cuisine" (Table 11).

### *What healthy eating means to the Generations Y and Z in Portugal*

Generations Y and Z in Portugal are concerned with health and food since 54% are pay special attention to the food they eat and 46% practice sports (Coelho et al., 2018). The data in Table 12 indicates that main changes for a healthy diet are: cutting down on chocolates, sugar, etc. (46, 2%); cutting down on fats (39,8%); eating fewer processed foods (39,3%). Following a low-carbohydrate/high in omega 3 diet has moderated importance (29,6%). The data in Table 13 and Table 14 indicates that Generations Y and Z in Portugal perceive fish as the best choice for their meals, recognizing that fish is not their favourite. The data in Table 15 and Table 16 reveals that what young Portuguese like the most about fresh fish is its taste (66.7%) and its quality and freshness (26.4%). Smell (47.2%) is perceived as the biggest problem. The importance

attached to price (25%), to bones (12.5%) and to the difficult of confection (11.1%) is moderate. There is also a belief that fresh fish is the most suitable food for meals, but it is more expensive than meat. This comes in line with the moderated belief that healthy food is more expensive (Table 12).

#### Meal choice behavior in the Generations Y and Z in Portugal

Regarding meal choice, the data in Table 17 and Table 18 indicate that price is more important in case of fresh fish than in general (65.3% vs 48%). On the other side of the scale we have consumption objective (frying, grilling, for parties), type (fresh, frozen, canned), format (whole, put, fillet), expiration dates, quality, final consumer (myself, children, family, friends) and promotion, which are perceived as particularly unimportant in case of fresh fish.

#### Cooking skills in the Generations Y and Z in Portugal

The data in Table 19 indicates that, contrary to what one might think, Portuguese young people know how to cook and like to cook, as opposed to Americans (Fromm et al., 2011). Almost 50% actually enjoy cooking and to be creative in the kitchen; 7.7% love to cook and consider themselves as experts; 31.1% simply do not mind cooking - it's just one of the things they do. On the other hand, less than 12% do not like to cook (it's an annoyance).

#### Personal preferences in the Generations Y and Z in Portugal

The data in Table 20 and Table 21 display a higher preference for Portuguese fish than for foreign farmed fish. Regarding fish presentation, chilled (fresh) fish is much more liked than salted/dried (Table 24 and Table 25). Appetizers, grilled and braded are particularly liked (Table 22 and Table 23). Portuguese young consumers prefer fish filets to whole fish or fish stalls. This cannot be easily correlated to consumption levels of the various fish products, since many products cannot be sold in fish stalls (Table 26 and Table 27).

#### Spontaneous awareness of the seafood in the Generations Y and Z in Portugal

The data in Table 28 display a higher spontaneous awareness for codfish (37.8%), which comes as no surprise. As it was described previously, Cod is considered, by far, as the national fish – even though it does not swim in Portuguese waters. According to the Cod Industry Association, and according to the Norwegian Seafood Export Council, 20% of all the Cod captured in the world is consumed in Portugal – a total of 70.000 tones, 70% of which comes from Norway. As a curiosity, Portugal is the only country in Europe that consumes more Cod than salmon.

## **7. Conclusions**

Portugal is Europe's leader in consumption of fish and ranks 3rd in the world. To analyze the tendencies regarding fish consumption we used Docapesca Portos e Lotas S.A's data (a government owned company, under the Ministry of Finance and the Ministry of Sea). Results were abundant, remarkable and complete. Substantial data indicates that (i) Portuguese consumers prefer to buy fresh fish in the supermarket; (ii) Everyday low price, good value for money, pleasant shopping experience and variety are considered the most important store choice criteria; (iii) while product samples, being kid-friendly, variety of gourmet and exotic foods, attracts the least attention of young people; (iv) The importance attached to takeaway, specialties and recipes is moderate; (v) Portuguese consumers perceive national fish as the best fish in the world (small pelagics like sardines and mackerel); (vi) but nevertheless, they don't consider themselves as fish connoisseurs in general; (vii) Young people in Portugal often look for healthy food solutions. It is for this reason that it is so important to understand the best source of information for them; (viii) Young people consume collaboratively - they rely more on input from social circles in making food decisions; (ix) Facebook is considered the most important source of information about food, while blogs and magazines and producer website attracts the least attention; (x) The importance attached to Youtube, Google, TV and Instagram is moderate; (xi) Generations Y and Z will confer with family and friends (including their large social media friend groups) to help them make decisions related with food as much as they believe "chef de cuisine".

Based on this extensive study one can also understand that generations Y and Z in Portugal are concerned with their health and with the food they eat, and the main changes they normally do when “going healthier” include cutting down on chocolates/sugar/fats and eating fewer processed foods. Following a low-carbohydrate and high in omega 3 diet has moderated importance. Young people in Portugal perceive fish as the best for their meals, recognizing that fish is not their favourite, reveling that what they like the most about fresh fish is the taste, it’s quality and freshness – and what they like the least is its smell. There is also a belief that fresh fish is the most suitable food for meals but that it is more expensive than meat – which reinforces the belief that healthy food is usually more expensive. They still prefer wild to cultured fish - as well as Portuguese fish to foreign fish. Regarding fish presentation, chilled (fresh) fish is preferred over frozen, salted/dried, canned, and smoked fish. Furthermore, appetizers, grilled and braded are particularly liked by Portuguese young consumers. Fish filets are also more valued than whole fish or fish stalls. Regarding meal choice, data indicates that price is more important in case of fresh fish than in general. Contrary to what one might think, Portuguese young people know how to cook and like to cook. Portuguese young people’s minds still perceive cod as having the highest fish awareness. Portugal is a leader in fish consumption and according to what was described in this research, that position will be maintained for some time. Some new nuances appeared with these new consumers (some new tendencies regarding preferred fish presentation or to better understand how to communicate with Generations Y and Z) but the conclusions indicate that consumers continue to believe in the excellent quality of fish and that it is an excellent and healthy food. According to the food culture theories, food habits are determined and dependent on the culture one belongs too. They are intertwined with ones identity and ones interpretations of the world. The food we eat reflects shared values and practices that characterize an institution - and institutions (or groups) share specific values and practices, making it distinct from other institutions or groups. The food we eat also makes us similar to our family or group and at the same time different from the other groups – it delineates social groups. People build their identity by consuming certain specific products and by consuming certain specific foods. Food and drink have such a symbolic and emotional significance, that food preparation and consumption are often associated with particular ritual events which have nothing to do with nutrition (Farb and Armelagos 1980). Having said so, in Portugal fish entirely fulfill its different biological/nutrition function and well as its cultural/symbolic function. One cannot ignore the fact that to generations Y and Z in Portugal, fish is also considered as having very good taste, and as being part of a tradition that is still very much present in these new generations. The foods served on Christmas and Thanksgiving carry a wide variety of emotional for family members. The meal as a whole as well as specific items on the menu, usually evoke shared family stories, myths, and memories of deceased relatives embodying and preserving significant aspects of the family culture (Rappoport, 2003 pp 194). Portuguese food culture is embedded with fish and from what we have revealed in this paper, the new generations will continue to include it in their meals. Somehow fish is strong item in the complex construct which is “being a Portuguese”.

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## Tables

**Table 1**

Respondents demographic profile (n=1000) of survey for the *Continental Portugal population in general*

	No.	%
Region according to Nuts II		
North	352	35,2%
Centre	250	25,0%
Lisbon	277	27,7%
Alentejo	80	8,0%
Algarve	41	4,1%
Gender		
Male	491	49,1%
Female	509	50,9%
Age		

16/24 years	91	9,1%
25/34 years	168	16,8%
35/44 years	185	18,5%
45/54 years	181	18,1%
55/64 years	166	16,6%
65 years or more	209	20,9%
Education level		
Primary	192	19,2%
Secondary	488	48,8%
Higher	320	32,0%

**Table 2**

Respondents demographic profile (n=392) of survey for Portugal's Y and Z generations

	No.	%
<b>Region according to Nuts II</b>		
North	156	39,8%
Centre	90	23,0%
Lisbon	105	26,8%
Alentejo	25	6,4%
Algarve	16	4,1%
<b>Gender</b>		
Male	491	49,7%
Female	509	50,3%
<b>Age</b>		
16/19	45	11,5%
20/24	112	28,6%
25/29	110	28,1%
30/34	125	31,9%

**Table 4**

General results (%) of the survey into the place of purchase of the fresh fish in the Portuguese population as a function of age

	Supermarkets	Fishmongers	Local Markets	Fish Auctions
18/24	<b>70.7%</b>	<b>14.1%</b>	<b>8.1%</b>	7.1%
25/34	<b>66.5%</b>	<b>15.0%</b>	14.5%	4.0%
35/44	59.0%	22.5%	15.9%	<b>2.6%</b>
45/54	57.8%	17.3%	17.8%	7.1%
55/64	<b>42.7%</b>	<b>27.3%</b>	<b>23.3%</b>	6.6%
65 or more	<b>41.3%</b>	<b>29.5%</b>	19.9%	<b>9.2%</b>

$p = <0.01$  ;  $Khi2 = 67.57$  ;  $dof = 15$  (VS)

The relation is very significant.  
elements over (under) represented are coloured.

**Table 6**

General results (%) of the survey into the perception of the fresh fish in the Portuguese population

	Strongly disagree	I disagree	Neither agree nor disagree	I agree	I totally agree
I like to explore new fish recipes	7.3%	<b>16.9%</b>	<b>36.7%</b>	20.1%	<b>19.0%</b>
The Portuguese fish is the best in the world	<b>1.4%</b>	<b>4.0%</b>	<b>26.8%</b>	<b>24.1%</b>	<b>43.7%</b>
I consider myself a fish connoisseur	8.2%	<b>18.3%</b>	<b>34.6%</b>	19.2%	<b>19.7%</b>
I am careful with the origin of fish I consume	<b>13.1%</b>	14.7%	<b>23.6%</b>	19.0%	29.6%

$p = 0.00$  ;  $Khi2 = 374.89$  ;  $dof = 12$  (VS)

**Table 3**

General results (%) of the survey into the place of purchase of the fresh fish in the Portuguese population

	% c
Supermarkets	<b>50.7%</b>
Fishmongers	<b>22.2%</b>
Local Markets	<b>11.1%</b>
Fish Auctions	<b>1.1%</b>
<b>Total</b>	<b>100%</b>

$p = <0.01$  ;  $Khi2 = 632.44$  ;  $dof = 3$  (VS)  
The relation is very significant.  
elements over (under) represented are coloured.

**Table 5**

General results (5-point Likert type scale) of the survey into the perception of the fresh fish in the Portuguese population

	Mean	Std deviation
The Portuguese fish is the best in the world	<b>4.05</b>	<b>0.99</b>
I am careful with the origin of fish I consume	<b>3.37</b>	<b>1.38</b>
I like to explore new fish recipes	<b>3.27</b>	<b>1.16</b>
I consider myself a fish connoisseur	<b>3.24</b>	<b>1.20</b>

Cronbach's Alpha = 0.66

Evaluation of scales: from 1 (Strongly disagree) to 5 (I totally agree)

**Table 7**

General results (5-point Likert type scale) of the survey into the store choice behaviour in the Generations Y and Z in Portugal

	Mean	Std deviation
Everyday low price	3.06	0.60
Good value for money	3.03	0.64
Provide a pleasant shopping experience	2.96	0.62
Having a little bit of everything	2.94	0.64
Takeaway	2.86	0.65
Having specialties	2.82	0.64
Providing creative menu ideas or recipes	2.78	0.61
An online ordering system	2.75	0.62
Variety of exotic foods	2.74	0.59
Being kid-friendly	2.71	0.59
Providing new product samples	2.70	0.59
Variety of gourmet	2.55	0.62

Cronbach's Alpha = 0.85

**Table 8**

General results (%) of the survey into the store choice behaviour in the Generations Y and Z in Portugal

	Not important	Little important	Important	Very important
An online ordering system	5.6%	17.9%	72.7%	3.8%
Variety of gourmet	4.8%	37.8%	55.4%	2.0%
Providing new product samples	2.6%	28.8%	64.3%	4.3%
Being kid-friendly	2.3%	29.1%	63.8%	4.8%
Variety of exotic foods	1.3%	29.8%	62.8%	6.1%
Providing creative menu ideas or recipes	1.8%	27.0%	63.0%	8.2%
Having specialties	1.5%	26.5%	60.7%	11.2%
Having a little bit of everything	0.3%	23.0%	59.4%	17.3%
Takeaway	2.0%	23.0%	61.7%	13.3%
Good value for money	0.3%	18.4%	59.9%	21.4%
Provide a pleasant shopping experience	0.3%	20.7%	61.7%	17.3%
Everyday low price	0.3%	14.3%	64.5%	20.9%

$p = <0.01$  ;  $Khi2 = 348.73$  ;  $dof = 33$  (VS)

**Table 9**

General results (%) of the survey into the healthy food solutions in the Generations Y and Z in Portugal

Non-descriptive	7.7%
Often look for healthy food solutions	11.7%

$p = )$   
VS  
7.7% ( I love to cook and consider myself an expert2 ;  $dof = 11.7%$  118.69  
It's an annoyance ;  $Khi2 = -0.00$   
I really don't like to cook  $p =$  it's just one of the things I do 52.0%  
-Neutral  
I don't mind cooking 39.5%  
Descriptive  
I enjoy cooking and being creative in the kitchen 8.4%  
grandparents

**Table 10**

General results (%) of the survey into the best source of information about food for the Generations Y and Z in Portugal

Facebook	55.9%
YouTube	32.1%
Google	30.1%
TV	30.1%
Instagram	23.0%
Blogs	17.9%
Magazines	16.8%
Producer / Brand website	6.1%

$p = <0.01$  ;  $Khi2 = 224.28$  ;  $dof = 7$  (VS)

**Table 11** General results (%) of the survey into the best source of information about food for the Generations Y and Z in Portugal

Chef de cuisine	55.1%
Family	40.5%
Colleague / Friend	36.9%
Teacher	23.3%
Scientist / Doctor	23.1%
Blogger	10.8%
Celebrity	5.1%

$p = 0.00$  ;  $Khi2 = 257.49$  ;  $dof = 6$  (VS)

**Table 12** General results (%) of the survey into the best source of information about food for the Generations Y and Z in Portugal

Cutting down on chocolates, sugar, etc	46.2%
Cutting down on fats	39.8%
Eating fewer processed foods	39.3%
Following a low-carbohydrate, high in omega 3 diet	29.6%
Eating more natural, fresh foods	23.2%
Eating the same, but having smaller portions	20.7%
Using slimming programs	9.7%
Following another non-specified diet plan	7.1%

$p = <0.01$  ;  $Khi2 = 209.10$  ;  $dof = 7$  (VS)

**Table 13**

General results (5-point Likert type scale) of the survey into the perception about fresh fish meals for the Generations Y and Z in Portugal

	Mean	Std deviation
Fresh fish is the best for my meals	<u>4.09</u>	0.72
Fish is a very important part of a healthy diet	3.74	0.67
Fish is more expensive than meat	3.74	0.66
Fish is my favorite food	<u>3.52</u>	0.78
I buy fish only if it's on the shopping list	<u>3.49</u>	0.80
I'm careful about the health benefits of products I consume	3.66	0.66
Healthy food is usually more expensive.	3.63	0.71
I should be eating more fish	3.66	0.74

Cronbach's Alpha = 0.74

**Table 14**

General results (%) of the survey into the perception about fresh fish meals for the Generations Y and Z in Portugal

	Strongly disagree	I disagree	Neither agree nor disagree	I agree	I totally agree
Fresh fish is the best for my meals	1.3%	<u>0.8%</u>	<u>12.2%</u>	<u>59.4%</u>	<u>26.3%</u>
Fish is a very important part of a healthy diet	0.0%	1.8%	33.2%	54.3%	10.7%
Fish is more expensive than meat	0.0%	<u>1.3%</u>	33.7%	54.3%	10.7%
Fish is my favorite food	<u>2.3%</u>	4.1%	<u>40.1%</u>	46.7%	<u>6.9%</u>
I buy fish only if it's on the shopping list	<u>2.0%</u>	<u>6.1%</u>	<u>39.8%</u>	<u>44.6%</u>	<u>7.4%</u>
I'm careful about the health benefits of products I consume	0.3%	2.0%	37.5%	52.3%	<u>7.9%</u>
Healthy food is usually more expensive.	0.3%	4.1%	36.7%	50.0%	8.9%
I should be eating more fish	0.5%	3.1%	37.5%	47.4%	11.5%

$p = 0.00$  ;  $Khi2 = 234.10$  ;  $dof = 28$  (VS)

**Table 15**

General results (%) of the survey into the what Generations Y and Z in Portugal like less about fresh fish

Smell	<u>47.2%</u>
Price	25.0%
Spines	12.5%
Difficult confection	11.1%
Being farmed	<u>4.2%</u>

$p = <0.01$  ;  $Khi2 = 81.39$  ;  $dof = 4$  (VS)

The relation is very significant.

elements over (under) represented are coloured.

**Table 16**

General results (%) of the survey into what Generations Y and Z in Portugal like most about fresh fish

Flavor	<u>66.7%</u>
Quality and freshness	26.4%
Variety	<u>5.6%</u>
Color	<u>4.2%</u>

$p = <0.01$  ;  $Khi2 = 70.72$  ;  $dof = 3$  (VS)

The relation is very significant.

elements over (under) represented are coloured.

**Table 17**

General results (%) of the survey into the fresh fish meal choice behavior in the Generations Y and Z in Portugal

Price	<b>65.3%</b>
Origin (wild or farmed)	<b>25.8%</b>
Being Portuguese	<b>15.8%</b>
Certification	<b>13.5%</b>
Appearance	<b>10.7%</b>
Brand	<b>10.5%</b>
Flavour / Taste	<b>10.2%</b>
Promotion	<b>8.9%</b>
Final consumer (myself, children, family, friends)	<b>6.9%</b>
Quality	<b>6.4%</b>
Expiration dates	<b>5.4%</b>
Format (whole, put, fillet ...)	<b>4.3%</b>
Type (fresh, frozen, canned)	<b>4.3%</b>
Consumption objective (frying, grilling, for parties)	<b>3.6%</b>

$p = <0.01$  ;  $Khi2 = 949.67$  ;  $dof = 13$  (VS)

The relation is very significant.

elements over (under) represented are coloured.

**Table 18**

General results (%) of the survey into the meal choice behaviour in the Generations Y and Z in Portugal

Price	<b>48.0%</b>
Flavor / Taste	<b>45.2%</b>
Easy to find	<b>36.0%</b>
Appearance	<b>33.5%</b>
Quality	<b>30.7%</b>
Easy to cook	<b>16.8%</b>
Smell	<b>15.6%</b>
Nutritional value	<b>12.9%</b>
Texture	<b>9.4%</b>
Convenience	<b>8.2%</b>
Healthy	<b>7.1%</b>
Functional	<b>5.9%</b>
Biological / Organic	<b>5.4%</b>
Pleasure	<b>5.1%</b>

$p = 0.00$  ;  $Khi2 = 694.20$  ;  $dof = 14$  (VS)

The relation is very significant.

elements over (under) represented are coloured.

**Table 19**

General results (%) of the survey into the cooking skills in the Generations Y and Z in Portugal

I enjoy cooking and being creative in the	<b>49.5%</b>
I don't mind cooking – it's just one of the things I	<b>31.1%</b>
I really don't like to cook – It's an	<b>11.7%</b>
I love to cook and consider myself an	<b>7.7%</b>

$p = <0.01$  ;  $Khi2 = 174.69$  ;  $dof = 3$  (VS)

The relation is very significant.

elements over (under) represented are coloured.

**Table 20**

General results (5-point Likert type scale) of the survey into the cooking skills in the Generations Y and Z in Portugal

	Mean	Std deviation
Portuguese fish	<b>4.11</b>	0.74
Wild Fish	<b>3.99</b>	0.75
Portuguese farmed fish	<b>3.85</b>	0.89
Foreign farmed fish	<b>3.80</b>	0.88

Cronbach's Alpha = 0.81

Evaluation of scales: from 1 (Do not like) to 6 (I do not know / I never tried)

**Table 21**

General results (%) of the survey into the cooking skills in the Generations Y and Z in Portugal

	Do not like	Like little	Indifferent	Likes	Like very	I do not know / I never tried
Portuguese fish	0.8%	1.5%	<b>13.3%</b>	<b>54.3%</b>	<b>30.1%</b>	0.0%
Wild Fish	1.3%	<b>0.8%</b>	<b>18.4%</b>	<b>56.6%</b>	23.0%	0.0%
Portuguese farmed fish	2.3%	<b>3.8%</b>	<b>21.9%</b>	<b>51.3%</b>	19.9%	<b>0.8%</b>
Foreign farmed fish	2.6%	<b>4.3%</b>	<b>21.9%</b>	<b>52.8%</b>	<b>18.4%</b>	0.0%

$p = <0.01$  ;  $Khi2 = 52.99$  ;  $dof = 15$  (VS)

**Table 22**

General results (5-point Likert type scale) of the survey into the preferences in cooking skills in the Generations Y and Z in Portugal

	Mean	Std deviation
Appetizers	<a href="#">4.11</a>	0.75
Grilled	<a href="#">4.04</a>	0.67
Breaded	<a href="#">4.04</a>	0.78
In ethnic foods	3.96	0.82
Hamburger	3.96	0.89
Sandwiches	3.96	0.83
Roasted	3.94	0.75
In salad	3.94	0.79
Gourmet	3.94	0.84
Cooked	3.92	0.76
Tapas	3.89	0.90
Fried	<a href="#">3.85</a>	0.67
Sushi	<a href="#">3.76</a>	1.04
Crude	<a href="#">3.69</a>	0.98

Cronbach's Alpha = 0.90

Evaluation of scales: from 1 (Do not like) to 6 (I do not know / I never tried)

**Table 23**

General results (5-point Likert type scale) of the survey into the preferences in fish presentation in the Generations Y and Z in Portugal

	Mean	Std deviation
Fresh fish	<a href="#">4.30</a>	0.75
Canned fish	4.06	0.74
Smoked fish	3.96	0.87
Frozen fish	<a href="#">3.94</a>	0.72
Salted / dry fish	<a href="#">3.93</a>	0.88

Cronbach's Alpha = 0.86

**Table 24**

General results (%) of the survey into the preferences in cooking skills in the Generations Y and Z in Portugal

	Do not like	Like little	Indifferent	Likes	Like very	I do not know / I never tried
Cooked	1.3%	<a href="#">4.6%</a>	<a href="#">11.7%</a>	<a href="#">65.3%</a>	17.1%	<a href="#">0.0%</a>
Fried	1.3%	2.3%	16.6%	<a href="#">69.6%</a>	<a href="#">10.2%</a>	<a href="#">0.0%</a>
Grilled	0.8%	<a href="#">0.8%</a>	<a href="#">13.0%</a>	<a href="#">64.8%</a>	20.4%	0.3%
Roasted	1.3%	1.8%	18.4%	58.4%	20.2%	<a href="#">0.0%</a>
Crude	<a href="#">5.4%</a>	<a href="#">5.1%</a>	19.4%	56.4%	<a href="#">12.5%</a>	1.3%
Sushi	<a href="#">5.9%</a>	<a href="#">4.3%</a>	18.9%	<a href="#">51.5%</a>	17.9%	1.5%
Tapas	2.6%	3.8%	18.1%	55.1%	18.9%	1.5%
Sandwiches	1.3%	2.3%	19.9%	55.1%	18.9%	<a href="#">2.6%</a>
In salad	1.0%	2.3%	19.9%	56.4%	18.9%	1.5%
Gourmet	1.8%	2.0%	20.2%	54.3%	20.2%	1.5%
Hamburger	1.0%	4.1%	19.9%	<a href="#">51.3%</a>	20.4%	<a href="#">3.3%</a>
Breaded	<a href="#">0.5%</a>	2.0%	17.9%	53.8%	<a href="#">24.5%</a>	1.3%
In ethnic foods	1.3%	1.8%	20.2%	55.4%	19.1%	2.3%
Appetizers	1.0%	1.5%	<a href="#">11.0%</a>	59.7%	<a href="#">25.3%</a>	1.5%

$p = <0.01$  ;  $Khi^2 = 243.65$  ;  $dof = 65$  (VS)

**Table 25**

General results (%) of the survey into the preferences in fish presentation in the Generations Y and Z in Portugal

**Personal preferences**

	Do not like	Like little	Indifferent	Likes	Like very	I do not know / I never tried
Fresh fish	1.0%	1.5%	6.6%	48.2%	42.1%	0.5%
Frozen fish	1.3%	2.0%	14.5%	65.6%	16.3%	0.3%
Smoked fish	1.8%	4.1%	14.5%	57.4%	20.2%	2.0%
Salted / dry fish	2.3%	3.1%	17.9%	54.1%	21.4%	1.3%
Canned fish	0.8%	2.0%	13.0%	59.4%	24.0%	0.8%

$p = <0.01$  ;  $Khi2 = 114.08$  ;  $dof = 20$  (VS)

**Table 26**

General results (5-point Likert type scale) of the survey into the preferences in fish presentation in the Generations Y and Z in Portugal

	Mean	Std deviation
Fish fillets	3.75	0.69
Whole fish	3.58	0.77
Fish stalls	3.57	0.73

Cronbach's Alpha = 0.86

**Table 27**

General results (%) of the survey into the preferences in fish presentation in the Generations Y and Z in Portugal

	Do not like	Like little	Indifferent	Likes	Like very	I do not know / I never tried
Whole fish	1.3%	5.6%	34.7%	50.8%	7.7%	0.0%
Fish stalls	0.8%	3.1%	43.6%	43.9%	8.7%	0.0%
Fish fillets	0.8%	2.8%	26.5%	60.7%	9.2%	0.0%

$p = <0.01$  ;  $Khi2 = 33.46$  ;  $dof = 8$  (VS)

**Table 28**

General results (%) of the survey into the spontaneous awareness of the seafood in the Generations Y and Z in Portugal

Codfish	37.8%
Sardine	21.3%
Hake	18.9%
Horse mackerel	18.1%
Sea bass	16.5%
Salmon	11.8%
Octopus	8.7%
Sea bream	8.7%
Squid	5.5%
Tuna fish	5.5%

$p = <0.01$  ;  $Khi2 = 71.15$  ;  $dof = 9$  (VS)

The relation is very significant.

elements over (under) represented are coloured.

## In the Steps of Operetta Austrian Cinema's Relation to History

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### Abstract

This essay intends to investigate some aspects of the multifaceted relationship between the Viennese operetta and Austrian film in the period from the 1930s to the 1950s. In particular, the essay will try to trace the influence of the operetta on the way in which Austrian films depicted the country's history. Focusing on some of the most popular Austrian films of the period, including Willi Forst's *Operette* (1940), *Wiener Blut* (1942) and *Wiener Mädeln* (1944-49), as well as Ernst Marischka's trilogy from the late 1950s about the Austrian empress "Sissi", the essay will critically discuss Austrian cinema's penchant for the past, investigating the affinity of the Austrian (musical) film to the Viennese operetta, which served as its ideological and aesthetic model. In its affection for the past, Austrian cinema followed in the steps of the Viennese operetta. In contrast with the Hollywood musical genre or German musical films like *Die Drei von der Tankstelle* (1930) or *Hallo Janine* (1939), to mention just two of the most famous ones from the pre-war era, history was a key component of the Austrian *Musikfilm*. In Austria, the musical film overlapped with the historical genre, and it strongly influenced the country's memory of its past. By investigating the connection between the Viennese operetta and Austrian cinema, this essay aims to provide a better understanding of Austrian films in the cultural, political and historical context in which they saw the light of day.

**Keywords:** Austrian cinema, Austrian culture, Operetta, Musical film

### 1. Introduction

From the beginning of the 1930s, following the introduction of sound film, to the 1950s, the musical genre and more specifically operetta films represented a significant component of German-speaking cinema. This seems particularly true for Austrian cinema. Along with the *Wiener Film* genre, that is the so-called Viennese films, consisting in a variable mixture of comedy, romance and melodrama and preferably set in the Vienna of the turn of the century, the *Musikfilm* was the other genre that most distinctively defined Austrian cinema in the period considered, up to the point that Austrian cinema would often be identified with it.

There are a number of scholarly works paying attention to the influence of operetta on the development of the musical genre in German-speaking cinema (K. Uhlenbrok, 1998; M. Hagener, & J. Hans, 1999; Wedel, 2007; R. Rother, & P. Mänz, 2008). In discussing its relationship to operetta, two perspectives have been, broadly speaking, privileged; focus has been put, on one hand, on the films that were directly derived from stage operettas and, on the other hand, on the influence that operetta exercised on German and Austrian musical films at the dramaturgical and, more generally, aesthetical level.

The present essay intends to take into consideration a different and specific aspect of the multifaceted relationship between Austrian film and the Viennese variant of operetta, that is the *Wiener Operette*, as it developed from the Parisian operetta in the course of the second half of the 19th century, significantly differentiating itself from the French model. By discussing some of the most famous films made in Austria in the period from the 1930s to the 1950s, including Willi Forst's films from the early 1940s: *Operette*, *Wiener Blut* and *Wiener Mädel*, as well as Ernst Marischka's post-war trilogy on Austrian empress Elisabeth (better known as "Sissi"), this essay will attempt to trace the influence of the operetta on the way in which Austrian films of the time depicted the country's history. In its penchant for the past, which long characterized part of Austrian cinema, the latter, as shall be argued in this essay, followed in the tradition of Viennese operetta. History was a key component of Austrian *Musikfilm* of the time, which on the banks of the blue Danube, as this essay will attempt to show, overlapped with the historical genre, contributing strongly to shape the country's memory of its past.

## 2. Operetta Films and Austrian History

An alchemy workshop appears on screen. Peculiar sounds can be heard. Along the wall there is an assortment of different flasks stacked on a rack. More ampoules stand on a large table in the center of the room. A glass retort rests on a flame. An elderly man with a pointed beard, grey hair and glasses appears. An owl crouches on his shoulder, keeping him company. The alchemist takes a number of bottles from a shelf. Their labels read "Humor", "Levity" and "Heart". He pours the same amount from each into the retort. Then he reaches for a vial that reads "History", carefully extracting a few drops before taking a larger bottle labeled "Music" in hand and pouring its contents generously into the retort. The indistinct music accompanying the scene thus far takes shape, and a waltz begins. As the magic potion begins to boil, its steam etches the film's title on the screen.

Thus begins Forst's film *Wiener Blut*, one of the most famous operetta films made in Austria in the period between the 1930s and late 1950s. The film, which premiered in Vienna on April 2, 1942, is a screen adaptation of Johann Strauss' operetta with the same name, and the above described scene, preceding the opening credits, works as an introduction to the film, drawing attention to the various ingredients that typically distinguished Austrian operetta films (Bono, 1996). There is the Humor that operetta films have in common with comedy. High spirits both define the characters and infect the audience. Levity pervades the genre as well, for operetta films do not take themselves seriously (though they can be serious). Their stories generally revolve around love and the obstacles that first break up the couple, before a happy ending whisks them away. And there is Heart resounding in the songs, the sentimental atmosphere, and the melancholy tone that occasionally predominates. For the Heart that was a major ingredient in the recipe of Austrian operetta films is not equivalent to Love, the energetic, dynamic sentiment that triumphed in Hollywood musical films. In Austrian operetta films, Love is constantly connected to the vague recognition that everything is subject to decay and eventually will have an end.

While Humor, Levity, and Heart are poured generously into the retort in the opening scene of Forst's *Wiener Blut*, the alchemist only adds a few drops of History. This gesture summarizes the special relationship that Austrian musical films had with history. Aside from music, which naturally represented their most important ingredient, history was a major component. Their attitude toward history appears in fact as the element that deeply differentiated Austrian films of the time from, for instance, Hollywood's musical films. Their world, narratives and characters unmistakably belong to modern America, music and dances are those of the 20th century. To an extent, Vincent Minnelli's film *Meet Me in St. Louis*, produced by MGM in 1944 and set in the year 1903, appears rather as an exception among American musical films. By contrast, Austrian films were typically set in the past, their world was that of the Hapsburg monarchy between the time of the Congress of Vienna and Fin de Siècle. There are hardly any operetta films made in Austria between the 1930s and the after-war years that take place in the present.

As for the musical films made in Berlin in the 1930s, they apparently stand between Hollywood and Vienna. The influence of the tradition of Viennese operetta on German musical films of the time is apparent; at the same time, German cinema strongly oriented itself towards America. It seems to be no coincidence that German cinema contributed to the development of the musical film genre at the beginning of the 1930s with two masterly works such as *Der Kongress tanzt* by Erik Charell and *Die Drei von der Tankstelle* by Wilhelm Thiele, the first one looking towards Vienna, the other towards America (Koebner, 2003). While Charell's film followed in the line of Viennese operetta, drawing partly on Strauss' operetta *Wiener Blut* (as would Forst's later film), Thiele's work was one of German musical films of the time that came nearest to the Hollywood model.

As exemplified by Forst's films *Operette*, *Wiener Blut* and *Wiener Mädeln*, Austrian musical film privileged the past, which raises the question: where does this penchant for the past come from? The answer sheds light on its affinity to the Viennese operetta that served as its model, the remark equally regarding the pre-war period as well as the 1950s. In its affection for the past, Austrian film followed in the steps of Viennese operetta. As German literature scholar and theater critic Volker Klotz (1991) has noted, "When and where does the dramatic action of the operetta take place? Rarely in one's own environment and one's own present. More often in another time and place" (p. 66). In doing so, operetta "presented an opportunity to confront the bleak limitation and colorlessness of everyday life with ecstasy, with a surfeit of abundance and color" (Klotz, p. 66).

Austrian musical films had this in common with the historical genre: both conjure up a bygone past on screen and use history as the occasion to present a spectacle, aiming to impress with the splendor and exoticism of their settings. Yet, while historical films take care in appearing to be true (the spectator expecting them to be faithful to history), operetta films deal with history freely. What they recount must not necessarily be factual. They do not present it as such nor do we expect it. In operetta films, history took on a mellow nature, assuming the shape that films imposed on it. History adapts to the

needs of the plot, real events taking a back seat to private affairs. Films like *Der Kongress tanzt* or *Der Walzerkrieg*, made by Ludwig Berger in Berlin in 1933, offer a combination of fantasy and history. Stories and characters were for the most part invented. History served as backdrop, while historical figures were often deployed as *deus ex machina*, contributing to develop the story and opening the way to its happy ending. This mixture specifically gave Austrian films their unmistakable flavor.

Sometimes the Mitteleuropa which operettas often privileged as a setting, where kings fell in love with girls from the populace, war was a game and love decided over the future of states, took on the shape of a land of fantasy. As an example one could mention Strauss' famous operetta *Die lustige Witwe*, adapted for the screen in Hollywood by Erich von Stroheim in 1925 and, again, by Ernst Lubitsch in 1934, as well as Hanns Schwarz's film of 1931 *Ihre Hoheit befiehlt*, produced by the German UFA company, in which a princess and an army officer fall in love but mistake each other for, respectively, a hairdresser and a greengrocer. The series of operettas that take place in some fictitious little state of Central Europe leads back to French composer Jacques Offenbach's operetta of 1867 *La Grande-Duchesse de Gérolstein*, set in an invented tiny German state, depicted on stage with an abundant dose of irony.

A similar attitude characterized many of Hollywood's and Berlin's musical films set in old Mitteleuropa; they made fun of a world that did not exist anymore, wiped from the map of Europe by the war, interpreting the predominant sentiment of the time towards what was perceived as a forever-bygone epoch. The attitude of Austrian film of the time towards the past appears significantly different. When Austrian films bring the past onto the screen, they mostly did it with a certain dose of melancholy, looking back at the old times with, figuratively speaking, a tear of regret in their eyes. It is as if for them the better part of life lay behind. It might be for this reason that Austrian musical films often included historical figures among their characters, apparently employing them as testimonials of the bygone epoch, as if to prove that it really had once existed. An Austrian operetta film without Strauss' or the emperor's appearance almost seems unconceivable.

Considered from the perspective of music history, operetta arose in the course of the 19th century as a reaction to the concomitant development of opera. At the same time, as Austrian scholar Martin Lichtfuss (1989) has stressed, "the political prerequisite for the development of the typical Viennese operetta [was] the failed revolution of 1848" (p. 19). In response to it and the societal stagnation which followed the events of 1848, operetta would increasingly turn away from politics, "a renunciation that would remain typical for the genre, up to its decline" (Lichtfuss, p. 19). The failure of the series of revolts against the monarchical institutions which, beginning in Sicily, spread across Europe in the course of 1848, including the Habsburg empire, set back the clock of history so to speak; the established order remained unaltered. Against this background, operetta changed and conforming to the times, became the place where the dreams of a disillusioned bourgeoisie came true. As remarked by Lichtfuss, "[Viennese operetta] did not serve as a reflection of criticism of the day;" "on the contrary, it confirmed the prevailing societal order" (p. 19).

Here the affinity between the Viennese operetta and Austrian cinema of the 1930s to the 1950s fully emerges. Their perspectives seem comparable; the ideological stance of Austrian film of the time was similar to that of Viennese operetta. This similarity appears not restricted to the musical genre; rather, it should be understood as generally characterizing the films made in Austria in the period considered. Following in operetta's path, Austrian film set itself out, in Lichtfuss' words (1989), "to fulfill the fantasy world of the petit bourgeois" (p. 39). Viennese operetta made true the dreams of a society attempting in vain to postpone its end to tomorrow, and Austrian film would do likewise. Operetta glossed over the decline of the Hapsburg monarchy "with effervescent joie de vivre" and countered it with "a fleeting, sentimental, indulgent earthly paradise," as Italian literature scholar Claudio Magris (2000) has put it (p. 201). Austrian film would draw on the world of operetta for the same purpose; it finds in it a means of escape, an antidote to everyday life.

As remarked by Klotz (1991), if Viennese operetta tended to remove the present, preferably looking backwards, singing of the past, it did not "celebrate its favored epochs historicizing them, sight-reading from the pages of historical documents;" "it deliberately rearranged them" (p. 66). And renowned art historian Arnold Hauser (1962) has aptly described the operetta as "the most popular vehicle of idealization of the past right up to the Second World War;" "[it] seemed to be the picture of a happy life free from care and danger – of an idyll which had, however, never existed in reality" (vol. 4, p. 59). On the stage, operettas made Austria's history easy to grasp and contributed to the popularization of the Hapsburg era and its myths.

This remark equally applies to Austrian film in the period considered. It dealt with history the way operetta taught it, adapting it freely. In recounting the country's history on screen, Austrian cinema drew on Viennese operetta's aesthetics and championed its ideology. In the operetta, it found the tools and formulas by which to interpret Austria's history. Ernst Marischka's post-war trilogy *Sissi* (1955), *Sissi, die junge Kaiserin* (1956) and *Sissi - Schicksalsjahre einer Kaiserin* (1957)

about emperor Franz Joseph's wife, may serve as an example. The answer to the question of whether these were history or operetta films must be: they are both. They are proof that in Austria the musical film coincided with the historical genre, with the latter taking the shape of the former. Musical films were the form in which the historical genre manifested itself in Austrian cinema of the time, with the resulting paradox that a historical genre as such hardly existed, in contrast to Italian cinema, for instance, where since its beginnings historical films played a major role. To express it differently: the musical film was the genre of which Austrian cinema made use to recount the country's history; and operettas and, later, films such as Marischka's popular *Sissi* trilogy or Forst's *Operette*, *Wiener Blut* and *Wiener Mädeln* deeply influenced the way in which Austria long recalled its past.

Yet the relation of Austrian films to the country's history, and the use it made of the past, was more complex than it would seem at first. To see in them only a form of escapism would not do justice to their complexity. While economic crisis, internal conflict and, in the years following 1933, Nazi Germany's efforts to take control over the Southern neighbor, put Austria's existence at stake, Austrian (musical) films significantly contributed to shaping the country's identity (Szabo-Knotik, 2002). This remark is true also for the post-war period. It would appear to be no coincidence that Marischka's first *Sissi* film was made in 1955, that is in the year in which Austria regained its sovereignty following its annexation by Nazi Germany and a decade-long occupation by the Allies and the Soviet army, after the war's end. In the 1950s, the world of the Hapsburg monarchy was popular in Austrian cinema, with the nostalgic wave emblematically peaking with Marischka's trilogy, in the year which with the signing of the State Treaty on May 15, 1955 marked the birth of the Second Austrian Republic (Steiner, 1987). The tribute to the country's past glory on the screen appears to be tightly connected to its reclamation of a place among European nations, which Austria celebrated at the time. Simultaneously, Austrian film, by extolling a happy past when the double-headed Hapsburg eagle flew over a thousand-year empire, concocting a world that feels like a dream, removed the reality of the then-present, in which Austria was but an extra in the game of international politics, "a card in the complicated game for influence spheres between the military alliance blocs created during the Cold War," as historian Stephan Vajda (1980) has written (p. 595).

### 3. Forst's Operetta Trilogy

Forst's films *Operette*, *Wiener Blut* and *Wiener Mädeln* stand exemplarily for the ambivalence and complexity which appear to intrinsically characterize Austrian operetta films of the time. Much has been written on Forst's films, their ideological standpoint, as well as the historico-cultural context in which they were made (Fritz, 1991; Loacker, 2003; von Dassanowsky, 2005; Bono, 2010). They have been generally regarded as a high point in Forst's career, counting among the most popular films in the history of Austrian cinema, and scholars have traditionally categorized them as a trilogy in which Forst celebrated operetta, Austrian music and cultural tradition.

At the time in which Forst made *Operette*, *Wiener Blut* and *Wiener Mädeln*, Austria officially did not exist anymore; it was part of Germany, following its annexation by force to the Reich in March 1938. And after the war Forst would point to these films as proof of his distance from the Nazi regime: "I fled deliberately into the past with my film subjects of the time – and especially into music – so that 'high places' would exclude me *a priori* from political topics" (Bono, 2010, p. 125). Forst (1963) concurrently ascribed to his trilogy a character of resistance against the Nazi regime which, by incorporating Austria into Germany, degraded it to a province of the Reich and negated its identity. "My homeland was occupied by the Nazis, and my work became a silent protest. It sounds grotesque, but it is true: I made my most Austrian films at a time when Austria had ceased to exist" (p. 5). Early scholars generally shared Forst's stance (Fritz, 1988), whereas more recently scholarship has rightly questioned it, underscoring the escapist nature of *Operette*, *Wiener Blut* and *Wiener Mädeln*, and their consonance with Nazi ideology (Hake, 2001). These aspects appear intertwined, and the ideological complexity and ambivalence of Forst's films shall be closer considered here. Their relation to Austria's history and then-present, as well as their use of the past, are many-faceted.

Here it shall be argued that Forst's films imparted and upheld a feeling of identity against the background of Austria's annexation to the German Reich and the Second World War. Austrian (musical) films assumed a function previously catered to by Viennese operetta. Historian Moritz Csáky (1996) has ascribed to operetta "an identity-establishing effect" (p. 101), pointing to the "enormous socio-political and cultural impact range and relevance" (Csáky, 1983) that it assumed in the multi-ethnic Hapsburg state. In an age of growing nationalism, operetta lent thematic and musical expression to the idea of a trans-national monarchy. Csáky's remarks shed new light on operetta films. The preeminent place that they maintained in Austrian cinema for over two decades can hardly be explained if we only regard them as a local variant of the musical genre. It is worth noting that, as concerns German cinema, the second half of the 1930s saw a flourishing of revue films, which would largely replace operetta films. By contrast, revue films never really took hold in Austrian cinema; the only one made in Vienna in the early 1940s was the ice revue film *Der weisse Traum* by Geza von Cziffra; it may be regarded as

the classical exception that proves the rule. In Austria, operetta films enjoyed a degree of success and longevity that appears hardly explicable if, expanding the field of examination, one does not properly consider them as a socio-cultural phenomenon.

According to Csáky (1996), operetta should be regarded as “a place of cultural memory,” in which, as argued by the Austrian scholar, “the diverse socio-cultural codes of the monarchical region were preserved and further conveyed” (p. 101). In the 1930s, Austrian film substituted operetta in this function. In doing so, it kept making use of an array of elements which were employed for decades by operetta. As examples one could mention the various kinds of music and dances, like waltz, polka and mazurka, abundantly present in operettas, which were employed as signs of the multi-cultural character of the Hapsburg empire. After operetta had gradually become extinguished in the course of the 1920s, Austrian film continued to use elements derived from it. In passing from the stage onto the screen, the waltz would maintain its role as a symbol for Austria. Over time, a number of elements once belonging to the culture and tradition of operetta progressively became reduced to clichés. The process began in the last years of life of Viennese operetta, yet was accelerated by cinema. Cinema would transform the world of operetta into a product to be cheaply sold, finally emptying it of any content. Yet, the disreputable decline of Austrian (operetta) films in the course of the 1950s, the dubious quality of part of them, should not affect the assessment of their importance as socio-cultural phenomenon. They significantly contributed to the concoction of an Austrian identity.

It is also to be noted that, as stressed by Lichtfuss (1989), operetta was “a form of entertainment closely linked to (and practically inseparable from) the history of the Austro-Hungarian monarchy” (p. 24). In other words, it was a piece of the world to which it lent expression on stage, part of the image that it would convey of the Hapsburg era. The success of operetta films might also have to do with the fact that they substituted operetta as a symbol of bygone times, when operetta, its epoch, had long passed. Over time, operetta becomes a synonym for the past. As remarked by Hauser (1962), “thanks to this association of ideas, operetta survived the upheavals of the fin de siècle,” with the later pleasure in it deriving primarily “from the ‘good old times’ which were associated with this genre more directly than with any other” (p. 59). In taking its place in the 1930s, along with its music, stories and aesthetics, operetta films also appropriated themselves of the flavor of the times to which operetta belonged. This has not so much to do with the stories operetta films tell, with the costumes and sets they display. It rather derives from the very nature of operetta, which is perceived as a synonym of an epoch that is no more. Independently from their content, operetta films celebrate the felicity of the past, embodying a form of entertainment that is forever tied to it.

In years when Austria was no more than a part of the German Reich, its name suppressed and replaced by “Ostmark”, Forst’s films, following Csáky’s suggestion as to Viennese operetta, functioned as a place of cultural memory. They employed the world of operetta as a symbol for an epoch when Vienna, and Austria, were at the center of a centuries-old empire. Operetta, to which Forst’s films pay homage, stands on the screen for a country and a culture to which the Nazi regime denied their right of existence. It symbolizes a world which Austrian novelist Stefan Zweig (1943) emblematically described as “the Golden Age of Security” (p. 13). “Everything in our almost thousand-year-old Austrian monarchy seemed based on permanency.” “Everything had its norm, its definite measure and weight. [...] In this vast empire everything stood firmly and immovably in its appointed place” (p. 13), Zweig noted in his memoirs *Die Welt von Gestern*, written in the late 1930s in his South American exile shortly before taking his life. In about the same years, Joseph Roth was writing *Kapuzinergruft* and *Die Geschichte der 1002. Nacht*, looking back at the mythical epoch of the Hapsburg monarchy, which he contrasted with the present horror. As noted by Magris (2000), “the phenomenon of National Socialism, and altogether the fascist crisis that Europe had to endure in the 1920s between the two wars, caused a nostalgic mourning for the Hapsburg world” (p. 325). The idealization of the past that characterizes Forst’s films, and their nostalgic nature of opposition to the present, problematically permeated more generally part of Austrian culture of the time.

The point is not to dispute that Forst’s films were in line with Berlin (as earlier scholarship generally did) and that their escapism had ideological connotations. The contention of many an Austrian director that his work was a tacit revolt against the Nazi regime appears problematic. “In theory of course, we were dependent for better or worse on Berlin. In practice, we kept trying to do nicely for ourselves,” Karl Hartl, one of Austrian major directors of the period, recalled in a conversation with film historian Walter Fritz (1991). “From the beginning, we came up with a concept of how to avoid making a statement against the Zeitgeist. We escaped into the past” (pp. 118-119). Such a viewpoint has been critically opposed in more recent times. In an essay about the Wien-Film company, in whose hands film production was concentrated after Austria’s annexation to Germany, Austrian author Bernhard Frankfurter (1985) has denounced “the legend of a production site sealed off from the film politics of the Third Reich,” long nourished “in the perception of film and cultural history [...] and [repeated] in time-worn, exculpatory phrases” (p. 188).

Still, there might be grounds for Forst's ascription of a propagandistic quality to his films. "If someone says to me today, 'You never made a political film!' I must reply, 'That is not true. My films were in fact propaganda films, but for Vienna, for Austria!'" (Forst, 1946). Regarding Forst's film *Operette*, Nazi propaganda minister Joseph Goebbels recorded in his diary, "Viennese people understand perfectly how to make propaganda for their city" (Heiss, 2003, p. 125). To an extent, the films that Forst directed following Germany's annexation of Austria expressed a kind of opposition; but it was of a sentimental nature, not a political one, and hostile in general to the course of history. In the tradition of Viennese operetta, Forst's films pleaded against all change and the passing of time. "Happy are those who forget what can no longer be changed," goes the famous song from Strauss' operetta *Die Fledermaus*, to which Forst gave a central place in his film *Operette*. This verse appears symbolic of Austria's ambivalent relationship to history, which in the words of Austrian critic Hans Weigel (1970), found "no truer, more authentic, more legitimate, nor more competent expression, than in this drinking song" (p. 268).

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## Is Public Sector More Attractive than Private Sector for Albanian Millennial Employees?

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### Abstract

Millennials generation is very discussed today as they seem to be different from elder generations. They have been judged about the way they think, act, and expect things from others, but despite that, it is very important to know their characteristics and expectations, in order to get in with them in every relation. Millennials as employees are the challenge for every employer today, as they have to react according to millennials' expectations, while managing the three current generations simultaneously in the workplace. This paper presents discussion of some of the most important activities that public sector in Albania is engaged to get in with millennials' expectations and attract them. Internship programs, participation in work fairs, specific meetings with students, financing studies, trainings, use of social networks are some of the activities that public sector is mostly using to help on this, but are they attractive enough to Albanian millennials?

**Keywords:** millennials, public sector, banking sector, expectations, Albania

### Introduction

Millennials are today one of the most discussed generations in different areas of life. Although there is no precise timeframes of each generation, demographers and market researchers refer more or less to the same years. Millennial is the generation born between years 1982 to roughly 2005 (Strauss & Howe, 2007). Elder generations are discussing how to treat them in families, schools, society, institutions and in every relation they might have with this new generation. In order to know how to do this, it is of great importance to know at first their characteristics. Different researches have been conducted for this purpose, to find out their characteristics, expectations, motivators, and differences from the previous generations. In the Table 1 below, there are shown some of the characteristics, potential conflicts and motivators of millennials, according to Allan Schweyer, 2015.

Table1. Characteristics, potential conflicts and prime motivators of Millennials

Characteristics (stereotypes)	Potential Conflicts	Prime Motivators
Raised by "helicopter parents"	Strong sense of entitlement	Competitive pay
Told can be whatever they want	Where, how, when work is done is unimportant, results count	Coaching
Continuous (mostly) positive feedback and recognition	Equality should trump hierarchy	Regular, detailed feedback & recognition (public)
Formed by 9/11, digital & connected world, tecnology, 24/7	Why? Why? Why? Want explanations, don't want to be told what to do without reasons	Personal Development
Formed by student debt, Great Recession	Impatience (open to and may even prefer constant change)	Purposeful work
Career oriented, hard work, achivement, but with balance	Where leaders are unfair, condescending and/or inconsistent	Giving back to community
Seeks recognition, detailed feedback		Experiences (travel, assignments)
Community orientation (global & local)		Fun

Work/life blending	Free flowing, digital & mobile information
	Egalitarianism

Sometimes they are judged, as lazy, individualistic, non-loyal, but anyone needs to know that millennials are now an important part of the society and workforce, and must be treated with all the pros and cons that elder generation might think of them. According to Fry (2018), referring to a Pew Research Center analysis of U.S. Census Bureau, millennials are the largest generation in USA labor force. It is challenging for every employer to make profitable the diversity created by the three different generations that are currently part of the workforce. Millennials put the greatest importance on individualistic aspects of a job, as Eddy S. W. Ng. et al (2010) found out, millennials have realistic expectations of their first job and salary but they look for rapid advancement and the development of new skills, while ensuring also a meaningful and satisfying life outside of work. In the study conducted by Deloitte in 2018, diversity and flexibility were found to be key factors to loyalty. Good pay and positive cultures were most likely to attract millennials but diversity/inclusion and flexibility were important keys to keep them happy. All the current literature and findings must be taken in consideration when deciding to welcome them in the organization.

Despite the fact that millennials are a part of the working power now, the great part of research comes from the USA. In Albanian, it was hard to find any publication with "native" characteristics of this generation. Although most of foreign knowledge might be valid for millennials in other countries, there are some differences coming from culture, history and economic development that have to be understood. A slight difference in the interval of years when Albanian millennials were born is presumed here, and the focus of this paper will be mostly in students, who have just entered or will be soon part of the workforce. One of the big choices they make is between employing sectors a.c.a. public and private. Broadly based on literature Curry C. (2017) and Snowden A. (2016), where it comes out that millennials are (a) digital natives and evolve with technology over time, and (b) have demand for competitive salaries, Mitllari & Kasimati (2018a) found out for sample of 71 young graduates and undergraduates from Tirana University in Albania, that they are of the belief that their expectations can be better met within the private sector. The most evaluated factors (in a Likert scale of 5) that are used by them in making the decision about the sector to be employed, are in a decreasing line: promotion, financial rewards, latest technology, trainings, recognition from supervisor, flexible working hours, and teamwork. When asked to choose among a list of reasons for which they would leave an organization, they reported that they would move for unmet expectations in salary rise 35% of them, in work and life balance 29% of them, in lack of promotion 25% of them, inappropriate or lack of training 9% of them; 84% of the respondents believe the private sector allows them meet these expectations better than the public one. These findings go against the general belief that finding a job in public administration is the dream of everyone in this country

Public sector in Albania consists in independent institutions, Central Government and Local Government institutions. The total number of public sector employees, according INSTAT (Institute of Statistics in Albania), in 2017 was 164'339. In the last 18 years, the number has decreased by 14% (it was 191,166 in year 2000), but has slightly increased from 2014 to 2017. Recruitment processes for the institutions of the Central Government institutions are organized by Department of Public Administration (DoPA), which covers this function of HR in a centralized way. The other two categories of institutions cover this function individually. Every new administration focuses on newcomers as a way of materializing their reforms in Albania. More and more millennials find themselves welcomed in the public administration in terms of work places. But is this administration considering the millennials expectations, other than offering placement? Some activities of the public administration and the intention to attract millennials are discussed in the following paragraph. .

## Methodology

A literature review was conducted to understand some of the characteristics of millennials, their work expectations and challenges that employers are facing with the newest generation in the workforce. Primary information was gathered through a structured search in the official website and social media of DoPA in autumn 2018. Information was then compared with that for the private sector (considering banking sector as one of the most consolidated employment sectors in Albania) that was previously gathered and discussed by the authors in another paper. Discussion focuses on understanding which sector seem to be more attractive for young employees.

## **Discussion of findings**

### **Internship programs**

Many internship programs for Public administration are publicly advertised recently. In the official website of DoPA, there is a "National Program of Work Internship", aiming to train young people interested to enter in the civil service, and keep the bests of them. In a specific website for this program, all the needed information about age (21-26 years old), education (bachelor's degree), duration time (3 months), application forms, and a list of all public institutions involved in the program are published. Some private institutions collaborate in this program, too. This is an unpaid program, but it counts as work experience in future employment applications in the sector. The last announcement for internship program in the website was at the beginning of the year 2017, but the application link was not valid at the moment of visiting. Meanwhile, the private banking sector in Albania offers internship programs too. In a sample of 63% of private banks operating in Albania, 80% of them offer internship programs and this is made known through their web page (Mittlari&Kasimati 2018b). It is not possible to make comparisons of number of people enrolled in these internship programs in both sectors, as neither has published reliable statistics on this. As in the DoPA's Monthly Bulletin of July 2018 "from 600 young people participating in the program, one year employment contract was given to the best 200 of them". The period of the participation was not specified. The number though, is encouraging for young people, but the lack of reliable statistics makes not possible a chances' evaluation. It comes out from information made public that the private banking system is more attracting working students while the public administration attracts young people only after graduation.

### **Participation in work and study fairs**

With the Government's initiative, some working fairs are organized. DoPA has participated in all of them. But the most used practice is to go to public universities to promote job opportunities in civil service and invite students to apply for them after graduation. Meanwhile, most of the banks participating almost every year in work fairs and work & study fairs organized by the Government, municipalities and Tirana Chamber of Industry and Commerce, and mostly in fairs organized by the Faculty of Economy, University of Tirana or other private universities (Mittlari&Kasimati 2018b). DoPA keeps the recruiting activities separated by not participating in the same activities with the private sector. The one to one relation with universities, especially the public ones, seems to be an easier organized kind of activity for DoPa than for private organizations. No information about participating in virtual fairs was found in public sector; meantime for some of the banks it is a new trend.

### **Announcing a job vacancy in social network**

It is obvious that with the massive usage of it, social media is a way of getting more information than years before. In year 2013, 62% of HR professionals reported to use job boards and corporate websites to recruit millennials, 9% LinkedIn, 3% Facebook, and 1% Twitter (Schawbel 2013). DoPA is currently using Facebook and Twitter to promote and announce its activities. Comparing to banks' profile, that have a specific menu for announcing job vacancies and activities related to employment, DoPA's profile is dedicated to human resources field, with a lot of information and video tutorial published to attract young people. From a structured search in DoPa's Facebook, there were found a lot of different announcements for job vacancies, trainings, activities organized by DoPA, and videos to promote and attract young people. Comparing to banking sector where all the banks in the sample were using LinkedIn and Facebook for their job announcement, DoPA is not using LinkedIn. In the official website and Facebook profile of DoPA are also announced rotation and promotion places. This doesn't happen in banking sector; rotation or promotion possibilities are not published in their website, they usually are placed in intranet for internal employees. This difference can be explained by the fact that DoPA serves as a page where employees of different public institutions can be informed about promotion, rotation or training possibilities in the Public Administration.

### **Financing studies**

Albanian Government supports education by financing different categories of students based on merit or need. This comes indistinctive of the future employment of the graduates. A lot of information can be found in different sources for those interested. Private sector is entering the financing process only for those students that considers potential employees. Only 13% of them (two banks) report to support employees' education (one for bachelor's, the other for master's degree level), and only one of them has been doing this for almost 11 years now in joint efforts with one university in Albania. It can be the only case, or one of the few cases in the country if there are others in other industries, when one business and one university offer integrated theoretical and practical studies in business' profile, with employment opportunity at the end (Mittlari, Kasimati 2018b).

## Transparency in recruitment, opportunity to develop and other benefits

**Recruitment process.** Every job vacancy in Administration of State is announced in DOPA official website and Facebook, and there is full information about the procedures and phases, information needed for tests and interviews, and some advices for people to follow. These are shown in written forms and lately in video tutorials. Comparing to banking sector, DoPA announces even the lists of applicants and appointments, which can be seen in two perspectives, as transparency in one side but in the other side as lack of privacy for the applicant. Applications for job vacancies in DoPA for almost 4 years now can be done only online, and all documents are submitted there, no need to mail documents as before. This is an attractive way for millennials who find it easy to use technology and online services for everything in life. DoPA is promoting this new way of application and is sharing it with other countries civil service in the Balkan region. For private banks this is not new, as some of them have been using online application or/and application by email for years now. In the DoPA's Annual Report for year 2017, it is shown a raise in the number of applicants per job vacancies published; from 13 applicants for one position in year 2016 to 18 in the year 2017. This not only shows a great interest for this sector, but is a good advertisement at the same time. Compared to banking sector, where only 25% of them give information about phases of the recruitment process, DoPA seems to be more transparent and the information given is more complete.

**Career development and trainings.** As mentioned above, DoPA promotes vacancies within institutions by inviting the inside employees to apply and be the first to be considered. Vacancies and from inside promotion procedures in both written and video tutorial forms are published and are very similar with the advertising for the new entries.

Trainings possibilities and statistics about previous training are published in website and Facebook profile of DoPA, inviting civil employees to apply for. Most of the trainings are organized by the Albanian School of Public Administration (ASPA), a public institution, responsible to train professionally civil employees and other individuals who are not part of civil service but meet the required criteria; and Regional School of Public Administration (ReSPA), an international organization entrusted with the mission of boosting regional cooperation in the field of public administration in the Western Balkans. Public sector has been offering even some specific internship programs for its civil servants in European countries, financed by the European Union.

Private sector is not so explicit about career and training possibilities and respective statistics. Only 30% of them all (50% of the sample) have published information about promotion and training, and related statistics in their web pages; in some cases information is very generic. Number of training hours could be found in public as well as in some of the banks, but number of people promoted within each sector could not be deducted. These statistics could help millennials pre-calculate their possibilities for development in each sector.

### Rewards/ benefits.

There cannot be found information on rewards and benefits published in DoPA's website. Information about wages for each category of civil service can be accessed in internet, but it takes some careful exploration, and we can say that in general, information about remuneration in public service is not shown in an attractive and informative form as millennial would like to have it. In banking sector, the situation is quite the same; only one bank has listed some of the rewards/benefits employee can have while working there. In a few cases, some scarce information about monetary reward and bonuses, and general criteria for gaining them could be found. Although the information is scarce, it seems that banks are more aware of promoting them as a way to attract millennials. Referring only to financial rewards, ranked the first factor for which young undergraduates/graduates would leave their employer in case of unmet expectations, private sector is way better positioned. According to INSTAT, average pay in financial and insurance industry for year 2017 was 103,641 ALL, and for public sector 59,921 ALL.

### Conclusions and Recommendations

Public sector is an important sector of employment in Albania, but it is exposed today to changes in the expectations of the workforce, especially from the Millennials generation. Through a review conducted in the official website and Facebook of DoPA, it can be found that public sector is engaged in some activities that help it attract millennials. In the perspective of a millennial, it was a bit difficult to find some information in a fast and structured manner in DoPA's official website. In recruitment process, information about places and criteria in public sector is more transparent and abundant than in private banking sector. As the banking sector, it is offering also financing studies, internship programs, and trainings, but why do many young people in Albania see private sector as the one which can better meet their needs? There is possible for the authors to make some speculation between myth and reality, but deeper research is needed in order to give an answer to that question.

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## Training Teachers for a New Era

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### Abstract

This paper analyses a case study in which a university practicum tutor embarks on the adventure of setting their trainee teachers the task of designing a common technology-enhanced language project as a strategy to help them acquire the so-called Four Cs of 21st century learning. Thanks to the work of the US-based partnership for 21st century, many educational policies today advocate for including critical thinking, communication, collaboration and creativity at the core of modern curricula for primary and secondary education. It is therefore essential that pre-service teacher training programmes include proposals to guarantee that all future educators master these essential skills through a process of "learning by doing". Here we will present a hands-on experience in which, during their practicum seminars, a team of four pre-service English teachers worked collaboratively on the design of a project they would implement during their internship at four different schools. As the educational contexts varied and different age-group were involved, trainees had to be creative to find a way to meet the course requirements in each host classrooms. Gamifying their lessons and incorporating digital tools seemed the best solution to structure a dynamic project. During the planning stage they became critical thinkers who had to solve problems, good communicators as they had to understand and communicate ideas, collaborators as they learnt to work together to reach consensus and creators since they managed to design an innovative teaching project that provided their target primary pupils meaningful opportunities to use English with a real purpose.

**Keywords:** collaborative tutoring of student-teachers, four Cs of 21st century learning, pre-service teacher education, technology-enhanced project-based language learning.

### 1. Introduction

Teacher education programmes are expected to train professionals prepared to meet the challenges of the 21st century classrooms. Student-teachers should be given the possibility of acquiring theoretical knowledge on how learning takes places but also opportunities to establish crucial sound connections between theory and practice (Yost, Sentner & Forlenza-Bailey, 2000). This is, in part, why most educational programmes addressed to future teachers include a practicum component. The value of the experience is well accepted (see, for, example, Guyton & McIntyre, 1990; Haigh et al., 2006), but also questioned (Dobbins, 1996; Haigh and Ward, 2004). Aspects such as the length of the placements and their timing through the school year, the kind of support systems student teachers and school mentors should receive, the purpose and effectivity of practicum seminars with university tutors are, among others, challenged by the participants themselves (trainee teachers, schools mentors and university tutors).

To improve the effectiveness of school placements, student-teachers should be given opportunities to adopt an active role both as learners and as potential teachers. Involving them in the process of designing, implementing and evaluating classroom projects together with their school mentors and university teachers brings innovation to schools (Masats et al, 2007; González et al, 2008) and has a positive impact for all those involved. Real practice, for pre-service teachers experiencing this teacher training method, starts not only when they enter the teaching profession and have their own classes, but also during their internships. School mentors benefit from this practice because they have the opportunity of reflecting about teaching action and teaching practices with academics. University teachers have the possibility of observing (and helping fulfil the needs of) real teachers in real classrooms, which ensures teacher education programmes are updated and prepare future teachers to face the challenges of educating children in the 21<sup>st</sup> century.

Innovation at school is unlikely to occur if new teachers have not experimented innovation during their training. Teachers can only help learners develop 21<sup>st</sup> century skills if they have developed 21<sup>st</sup> century skills and are aware of how they managed to do so. Practicum experiences must be something else more than the mere provision of a practice setting in which student-teachers observe teachers in action and are given the opportunity to plan and implement a few lessons. It is important to get student-teachers to participate in course events designed to get them experience the kind of methodological approach one expects them to adopt as teachers (Dooly & Masats, 2011). In practicum seminars trainees have plenty of opportunities to reflect upon their own performance as teachers and about the practices of other trainees, but it is also necessary to involve them, as learners, in some sort of pedagogical action that may have an impact on them as teachers. Engaging future teachers in the project of designing a project to be developed during their school internships seems a good strategy to get them experience the ins and outs of project-based learning (Masats & Dooly, 2011) and gain know-how knowledge through the process, which, in turn, favours the development of 21<sup>st</sup> century skills. This paper shows an example of this type of practice.

We want to present a case study in which a university tutor sets the conditions to support four student-teachers while they are learning to work together and to take risks to plan a language project at their respective host schools. First, we will review the principles of project-based learning and how proposals sustained in this approach favour the development of the so-called 21<sup>st</sup> century skills (World Economic Forum, 2015). Then we will briefly present and analyse our training proposal through the voices of the participating student-teachers. We will focus on how the experience particularly contributes to the development of the Four Cs of 21<sup>st</sup> century learning (partnership for 21<sup>st</sup> century learning, 2006).

## **2. Project based learning as a methodological proposal to support the development of the Four Cs of 21st century learning**

Curricular reforms in many countries around the globe reject teacher-centred content-based input practices and promote student-centred competence-based output approaches to learning (Mont & Masats, 2018). Competences can be described as sets of abilities, skills and knowledge individuals need possess to engage in the everyday situations one comes across in a global and wired society (Dooly & Masats, 2019). The World Economic Forum (2015) coined the term “21<sup>st</sup> century skills” to refer to them and to grouped them into three categories. Their first category, foundational literacies, includes all competences and skills related to the acquisition and use of field knowledge needed to conduct everyday tasks (literacy, numeracy, scientific literacy, ICT literacy, financial literacy and cultural and civic literacy). Their second category, which they refer to as competencies, embraces the competences and skills one needs to develop to carry out those everyday tasks successfully and to overcome potential challenges. The partnership for 21<sup>st</sup> century learning (2006), refers to the competences in this group as the Four Cs of 21<sup>st</sup> century learning, as they all start with C: communication, collaboration, critical thinking and creativity. Finally, their third category embraces abilities related to character qualities such as curiosity, initiative, persistence, adaptability, leadership and social and cultural awareness.

Teachers need to be willing to innovate to include 21<sup>st</sup> century skills in their regular practices. Applying innovation at schools, though, is a slow process. In many foreign language classrooms today, teaching practices tend to be set on the principles of approaches developed during the 1980s (e.g. communicative language teaching, task-based learning), yet there are also teachers anchored in the use of techniques and procedures rooted in more traditional and outdated methods (e.g. grammar translation method). Project-based learning (PBL) is not a new approach to learning, as it derives from Dewey’s notion of ‘learning by doing’ (Dewey, 1938), from the premise that children at schools should be engaged in solving tasks like those they would encounter when they are not at school. Yet, PBL is a still powerful teaching approach today because it structures learning through goal-oriented tasks (Beckett and Slater (2005), Fried-Booth (2002), and Stoller (2006), among others). That is, PBL “engages students in learning knowledge and skills through an extended inquired process, structured around complex, authentic questions and carefully designed products and tasks” (BIE, 2003:4). The need to address the challenge of designing, planning, and carrying out an extended project that produces a publicly exhibited output or final product (Patton, 2012) is what distinguishes PBL from other teaching approaches (Dooly, 2016) and why it offers learners great opportunities to develop 21st century skills (Masats, Dooly & Costa, 2009). As Mont & Masats (2018:94) suggest, “projects that are structured through goal oriented tasks offer a great opportunity to integrate learning as a social practice (collaborating, co-constructing knowledge, communicating, developing critical and creative thinking, etc.) and as a means to favour the development of life skills (leadership, social skills, initiative and flexibility), while learners develop linguistic competences, audio-visual competences, digital competences and the competences linked to the acquisition of knowledge related to specific areas of study.”

The development of 21<sup>st</sup> century skills is only possible if technologies are meaningfully used in the classrooms on a regular basis (Lambert & Cuper, 2008). PBL fulfils well the premises of the communicative language teaching approach (Dooly,

2013) and the principles of learning by doing (Dewey, 1938), but also the need to integrate technology into classroom practices naturally. This is why current trends in TEFL advocate for the adoption of the principles of the so-called 'technology-enhanced project-based language learning' (Dooly & Sadler, 2016). Within this perspective, learners become active users of technology not mere recipients of technology. Children today, thanks to being technology users, are good at "multitasking and parallel processing, taking in information and making decisions quickly (at "twitch-speed"), understanding (i.e., "reading") multimedia, and collaborating over networks" (Prensky, 2003:2). Learners, then, need to use technology to search, transform and transmit information, to understand and create all sort of multimodal texts and to play to learn. Digital game-based learning (Prensky, 2001), the use of real digital games in the classroom, and specially gamification, using game-related elements in a nongame situation (Deterding et al., 2011), are slowly getting into classroom practices as strategies to promote students' engagement and motivation. The inclusion of digital game-based learning and gamification in technology-enhanced project-based language learning proposals also serve the purpose to help learners' develop their 21<sup>st</sup> century skills because, as Dicheva et al. (2015:75) suggest, "the use of educational games as learning tools is a promising approach due to the games' abilities to teach and the fact that they reinforce not only knowledge but also important skills such as problem-solving, collaboration, and communication".

Finally, the use of technology-enhanced project-based learning in teacher education is necessary because, as Howards (2002:343) suggests, it fulfils "the dual goals inherent in teacher education". That is, instructional proposals in teacher education should enable student-teachers to transfer what they learn in methodology courses to their teaching practices through the design and implementation of classroom projects that help learners transfer what they learn at school to their everyday activities. This means, in the first place, that for student-teachers to learn how incorporate the principles of technology-enhanced project-based language learning in their teaching practices during internships, university teachers should create a context in which they first can learn by doing or, as Dooly and Masats (2011) propose, they should participate in a project about project designing. Here we present one example.

### 3. The study

Teacher education programmes should be designed to foster the development of student-teachers professional competences and to prepare them to teach effectively at schools. This is easily achieved during school internship as trainees need to make sound decisions, take risks, be creative to transfer theory into practice, learn to communicate with children and to adapt to a new environment. The case study we present here aims to corroborate our hypothesis that the accomplishment of these actions sets the perfect scenario where future teachers can develop 21<sup>st</sup> century skills, especially if their university teachers and school mentors challenge them to work in joint collaboration with their peers to design their intervention at schools following the principles of technology-enhanced project-based language learning and including gamification in it.

Participants in our case study are a team of 4 pre-service English primary teachers and their university tutor who met once a week to prepare their school internships. One of the main objective of this seminars is to guide the student-teachers through the process of creating, planning, implementing and evaluating a teaching unit. The innovation in this case study came with the tutor's idea of joining forces and working together in the creation of a common shared teaching unit they would all implement in each of their practicum schools during their internship. Trainees accepted the proposal which, from the very beginning, was a major challenge for them. Not only were they doing their internships at different schools and had different school mentors with diverse teaching styles, but they were also expected to cater for the needs of various age-groups, since they were not placed in the same years and, thus, the teaching objectives they had to attain with regards to language contents varied from one school to another.

During the face-to-face practicum seminars at university and on several online meetings student-teachers and their university tutor found a very creative way to meet all the challenges. They decided to gamify their joint class project and created a plot in which a fictional very rich Australian woman, Rose Mary Connor, impersonated by the university tutor, needed the help of the primary students in the four schools to find out a robbery in her house in Sydney while she was on vacation in Holland. She wanted to know who the thief was, what was stolen, at what time the robbery took place and where were her belongings hidden. Each school was in charged to discover one of those mysteries and cooperate to solve Rose Mary's case.

The corpus will use to validate our hypothesis is composed of data from various sources. We transcribed our practicum seminars and the session student-teachers conducted to present their projects to other teams of student-teachers. We have the project rationale the pre-service teachers' websites, the emails exchanged among all the participants and feedback from the primary students who solved Rose Mary's case.

#### 4. Findings

Schools internships offer pre-service teachers supervised teaching experiences that help them understand the complexity of being a teacher. Yet, the experience needs to be complemented with supervision proposals in which teacher educators foster the development of student-teachers' professional competences to guarantee that pre-service teachers would become efficient professionals in due time. In the case study we present here, student-teachers valued the weekly practicum seminars at university positively because their university tutor presented them varied tools and resources, encouraged them to share what they were learning at schools and created a space in which they were given the opportunity to learn about planning a project, a teaching unit, together. This is how one of the teacher trainees, Txell, describes them:

Extract 1. Txell's personal reflections in her online portfolio on the role of seminars

*In this learning process, the UAB seminars had an important role. Seminars provide a great amount of useful tools and resources that can be used in the lessons in different ways. So, not only we had the tools but also a wide range of different possibilities of use. But, all this knowledge would not have been possible without our teacher, who was essential during the whole process. I have learnt a lot from her, not only from her resources and strategies, but also from her engagement and enthusiasm towards teaching, and her involvement in our teaching unit. UAB seminars were a space for sharing, and therefore, learning from each other. They were essential in order to solve questions about our teaching unit and change things to improve it.*

As we can see, one of the things Txell appreciates the most was the fact that she could learn with her peers and that they received support from their university tutor, who, as she states, was fully involved in the challenge she had set for them. As we said earlier, getting student-teachers acquire the principles of project-based learning by designing, planning, implementing and evaluating one true project is a nurturing experience (Masats & Dooly, 2011) and sets the grounds for ensuring student-teachers would develop the so-called 21st century knowledge, skills and competences that will enable them to act socially in an effective and reasoned manner. To examine how this is done, we would focus on how each of the 4Cs for 21<sup>st</sup> Century skills –communication, collaboration, critical thinking and creativity– (partnership for 21<sup>st</sup> century learning, 2006) were put at play.

##### 4.1. Communication

Teacher immediacy behaviours have traditionally been referred to as those verbal (calling students by name, encouraging students' input, being humorous, etc.) and non-verbal (e.g. eye contact, nodding, smiling, etc.) indicators used by educators to foster communication. Research has shown they have a positive impact on student learning (Myers, 2002) because they increase students' motivation (Christophel, 1990) and satisfaction (Hackman & Walker, 1990). However, in learning environments in which communication is also mediated by computers, instructional immediacy needs to be redefined. Any behaviour that brings teachers and students closer together in terms of perceived distance among them is a clear indicator of immediacy. Creating an atmosphere in which student teachers feel at ease because they perceive that their university tutor shares and cares is a sign of instructional immediacy and would undoubtedly foster communication bidirectionally for multiple purposes (sharing ideas, informing, instructing, reaching consensus, making suggestions, persuading, etc.). We can observe that in extract 3.

Extract 2: E-mail from the student-teachers to their university teacher (Maria)

*Hello, Maria!*

*Yes, we are going to work together and we are so excited about it 😊*

*In fact... we would like that you could participate in our Teaching Unit too, so we thought about asking you for a little favour.*

*Would you like to be our rich Rose Mary from Australia, who has lost her precious treasure?*

*We could record the video tomorrow, after talking about the Teaching Unit (we will finish before 18:30). If you want, you can bring some rich and snob complements (we will do the same).*

*Our proposal for the script is this:*

*"Dear all, my name is Rose Mary Connor and I am from Australia. Now I am visiting my family in Holland. Yesterday I received a call from my alarm insurance company explaining that someone has entered my house and has stolen*

something. That is why I ask for help. I need brave volunteers to uncover the thief, what he or she has stolen from me, where he or she keeps my possessions and when the robbery occurred.

If you feel brave enough to help me, I beg you to send me an email introducing yourselves to the following address: [rosemaryconnor.australia@gmail.com](mailto:rosemaryconnor.australia@gmail.com)

I appreciate your effort and I hope we can solve the case with collaboration”

*Thanks so much! See you tomorrow 😊*

*Helena, Mar, Sònia and Txell*

In the seminar before this email, the university tutor had suggested her trainees that they could work together to design a joint project as the teaching unit they had to implement at their schools. They were not very enthusiastic with the proposal at the beginning, but they talked about this after the class and they came across with an idea. The mail is interesting because we can see that trainees feel at ease when making proposals and instructing their tutor on what they would love her to do. Communication competence was first developed through interpersonal face-to-face and computer-mediated exchanges between trainees and trainees and their trainer. This procedure was also followed by student-teachers to promote real communication when they engaged their groups of English primary learners in a technology-enhanced language project. Interpersonal communication at school was also face-to-face between each trainee and her group of students, but it was also digital when the groups contacted one another or the fictional character (real to them) that had set them work together (see extract 3 in the next section). In this case, trainees used various multimedia formats to get their pupils to communicate: they received emails and videos from Rose Mary, they had a private blog to share their findings with other groups, they were creating videos, uploading images or producing texts for their blog, etc. Primary pupils learnt English while solving clues and unveiling secrets about the robbery. They developed language skills for a wide range of objectives: they were using English to inform Rose Mary about their first ideas, to instruct on how to be safer, to motivate others to help them solve the case... In short, communication was essential because it fostered collaboration.

As we have seen, immediacy between the student teachers and their tutor is, in part, what made the project work. Immediacy set the ground for creating an environment in which communication made learning possible, triggered collaboration and empowered future teachers as we can see in extract 3.

Extract 3. Mar's personal reflections in her online portfolio on their teaching unit

*This teaching unit originated from the desire of creating a MEANINGFUL and ENGAGING project as the last step before becoming real teachers. Moreover, it has a special value because it has been designed and carried out by four primary education students... Together, we adapted this adventure to different ages and contents which has end up in a transdisciplinary and very powerful teaching unit!*

To Mar, one of the members of the group who had the idea of planning a joint project, being able as student teachers to create a 'meaningful and engaging project' was the last step into the profession and what would enable them to become 'real teachers'. Mar also acknowledges the importance of working together with others.

## 4.2. Collaboration

Learning as a situated social activity (Lave & Wenger, 1991) starts when trainees decide to work together, to collaborate, to fulfil the same objective. This is how Sonia, one of the trainees, reflects upon the advantages of working with others.

Extract 4. Sonia's personal reflections in her online portfolio on their teaching unit

*First of all the ones that joined this idea were Txell & Mar trying to link the topics in the school in the same teaching unit doing it in an interactive way as a game. Later Helena & I joined them because we thought it was a really enriching experience and a unique experience because we will have time on the future to think and plan teaching units alone. So we accepted the challenge and we became a team. [...] Everybody's participation was essential in order to come up with a nice teaching unit. Our main objective was to link our topics in order to create an engaging teaching unit, that motivates children to learn English. Which was achieved, children showed lot of interest towards the teaching unit, and usually when they saw me around the school asked about Rose Mary or if she had sent us an e-mail. [...] Going back to the way we worked, I am sure that working alone this result would not have been possible, four brains have better ideas than only one. Co-teaching requires lot of time in order to make decisions about what is going to be done and how; in our case, due to time and distance, the meetings were done by phone*

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*calls and Skypes, which were really useful not only for the common parts of the teaching unit but also for the specific ones of each school. We had the support of the others, even that some sessions were different for each school, we more or less knew what the others were doing and therefore it was possible to help each other and give ideas about the specific sessions, feeling with this more secure.*

Sonia clearly describes a relationship of 'positive interdependence' (Johnson et al, 1998) among the four trainees, a characteristic trait of cooperative and collaborative learning. Positive interdependence occurs, as it is the case here, when learners are all aware that one of them could not succeed if the other three failed. Consequently, they took a great effort in making sure the learning needs of all primary groups involved were going to be met, so they work for a common objective but also to help others accomplish their individual goals as teachers. Interestingly, communication and collaboration were also the gears that made the school project work. Children were motivated because they were communicating with Rose Mary (as we can read in extract 4 above) and collaborating with the groups in the other schools to solve the challenge she had set to them.

### 4.3. Critical thinking

Student-teachers came up with the idea of designing a joint project in one of the seminars but, in the context of our case, accepting to carry out the plan implied agreeing to be eager to face problems and find solutions to solve them. As we can see in extracts 5 and 6, the departing point was not easy.

Extract 5. Txell's personal reflections in her online portfolio on their teaching unit

*This project started with a crazy idea during our Practicum meetings. What if we challenged ourselves to do the same teaching unit in our four schools? What if we did a telecollaborative project? [...] we did not have the same schedules, so the lengths of the sessions were not the same [...] we were kind of dealing with all this, but we were always following the same chronological order and the same events [...] I decided to implement it in the fourth grade. My requirements were to revise the professions that they had been previously working during the third term.*

Extract 6. Helena's personal reflections in her online portfolio on their teaching unit

*The students were not used to work by projects because the school follows a traditional approach and English is taught through books.*

Several were the challenges student teachers had to meet to turn their plan into a teaching action. As regards to time management, they had to solve the problem that English was not scheduled at the same time in all the schools. Besides, as they were not assigned to the same age-groups the number of hours devoted to English would also vary from one school to another. In terms of the organisation of learning, each school mentor had a personal teaching method and a syllabus to follow, this meant that not all children were familiar with the project-based learning approach or were expected to access the same type of linguistic contents. Overcoming these barriers was possible because during the seminars (and through personal online correspondence among the four trainees), student teachers engaged in processes of anticipating problems and solving them beforehand, that is, critical thinking played a key role during the planning stage of the joint project. Halx & Reybold (2005) argue that educators who want to engage their students in critical thinking need to promote discussions in their classrooms and allow students to freely express their thoughts. We believe this was the situation in this practicum seminars, as Txell had claimed '*They were essential in order to solve questions about our teaching unit and change things to improve it*' (see extract 1 above).

Critical thinking was also encouraged during the phase of evaluating the work done. Student teachers were satisfied with the results, but they could also reflect upon what they could have done differently. We can observe that in extract 7.

Extract 7. Sònia R. highlights her own opinion about the experience:

*Even though I am happy with the results achieved I am aware that lots of things could have been better and have to be improved regarding to my part, such as the adaptation to the level and make the explanations clearer, because I think that sometimes some children had difficulties to follow the lesson."*

Being able to recall one's actions, analyse and evaluate them to promote change is the first step into reflective teaching, a skill these learners have also put into practice and are still encouraged to do so<sup>1</sup>.

#### 4.4 Creativity

Communication and collaboration allowed student-teachers to engage into critical thinking together, as they had to analyse the teaching contexts in which they were going to implement their project, anticipate potential problems and reason to solve or to minimise them. However, critical thinking lead trainees into creative thinking. After having agreed upon how, as a group, they would solve the contextual and organisational challenges they had to face, each had to adapt the solutions to their own situation, which sometimes meant creating alternative plans. We can see that in extracts 8 & 9.

Extract 8. Sònia presents the project to another group of student teachers.

*The school asked me to work the past simple, so what I did was to create a story that was the personal diary of the neighbour, because Rose Mary in the video said that the neighbour was going every day to her house to feed the cat and is the one that found the robbery. So, I wrote the personal diary but I didn't write the days, so they had to put this in order, but also I took off the verbs, some of the verbs in the past.*

Extract 9. Txell presents the project to another group of student teachers.

*Our seven session [...] is like a recap of everything we have done in our teaching unit and we have put all the videos together and also Rose Mary Connor's video thanking us for helping her, so this will be like our ending session. Also, with the reward, because I do not know if you have noticed it but here it says there is a reward. And all children were saying, reward, reward. What's a reward? She is very rich, she must give us so money or something (laughs). No, it's not that. This is mostly sweets or candies and for those who cannot give food at the school, for example Sonia, she has created this wonderful certificate for her pupils.*

Creativity, though, is not a skill to be cultivated solitarily. Student teachers in this study were also creative when they decided to include gamification as the resource that would allow them to design and implement, synchronously, a single project in four distinctive learning environments. Davis et al. (2013) argue that game-based teaching approaches construct creative environments that foster pupils' attainment of learning objectives and the development of teachers' professional competences.

#### Conclusions

In this paper we present a case study in which a university tutor sets their student teachers the challenge to design, plan, implement and evaluate a gamed-based technology-enhanced language learning project targeted at four groups of primary learners from the schools that host them during their practicum internships. By analysing the students' reflections after the process is completed, we can understand how practicum seminars, weekly meetings between small groups of students and a university tutor to prepare future teachers to participate in school internships, can help build bridges between theory and practice. When student teachers are given the possibility to take an active role in their training proposal they can become agents of innovation and change, especially if the Four Cs of 21<sup>st</sup> century learning (communication, collaboration, critical thinking and creativity) are developed through a process of learning by doing.

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<sup>1</sup> The four trainees, now novice teachers, were encouraged to present their experience at APAC, a local conference targeted at English teachers in Catalonia. Their paper was accepted and will be presented in February 2019.

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## I, We, They at the Time of International Terrorism: Identity and Métissage in Immigrant Families

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### Abstract

The current international terrorist situation is slowly but surely infiltrating and shaping inter-community relations in multi-ethnic societies. There are multiple consequences for people belonging to Arab and Muslim minority communities in North America and Europe. This article documents, in the light of the transcultural perspective and of the Social Identity Theory, how the terrorist situation is changing the space of social confrontation in Italy, forcing immigrant Arab Muslim families to re-define their identity representations in the contexts of daily life. For this qualitative study, the researchers interviewed ten immigrant families, using the theoretical and methodological approach of IPA. Results indicate that the construction in public discourse of the overlap between ISIS and Islam, determines the attribution of a threatening social category to the Arab Muslim community and the lack of recognition of the polyvalence through which these families represent themselves. The areas of vulnerability, produced by this situation, give rise to the possible risk of radicalisation in the attempt, for both first and second generations, to re-construct a positive self-image. Findings suggest using the school as a primary context of complex social interventions, able to involve the whole community.

**Keywords:** they at the time of international terrorism: identity and métissage in immigrant families

### Introduction

In the aftermath of 9/11, international research has documented the psycho-social consequences of terrorism and the effects of the war on terror for majority and minority adults and, to a lesser extent, children and youngsters (Rousseau, Jamil, Bhui, Boudjara, 2013). There are three core groups of medical, psychological and social sciences studies, according to research objectives type and results achieved:

children's and families' **symptomatology and psychopathology** is widely documented in medical and psychiatric literature, and evaluates the impact of both direct exposure to terrorist events and indirect exposure through the media and family reactions (Masten, Osofsky, 2010, Wang et al., 2006; Cohen, Chazan, Lerner, Maimon, 2010).

the **social impact** of the terrorism on minorities and, in particular, on Arab and/or Muslim communities is mainly represented in terms of the following issues: (1) increased *negative stereotyping, discrimination and marginalization* (Cainkar, 2009; Jamal, Naber, 2008); (2) challenges of *identity negotiation* among young people (Sirin, Fine, 2007, Sarroub, 2005); and (3) *coping strategies* of individuals and communities for living in this socio-political context (Ewing, Hoyler, 2008; Peek, 2003).

an impressive array of **interventions** has been developed and implemented by different professionals: (1) addressing *children's* needs to alleviate psychological distress and traumatic symptoms (CATS Consortium, 2007, Brown, Bobrow, 2004); (2) *helping and supporting professionals*, in the difficult task of taking care of terror-related reactions (Lindy, Lindy, 2004; Tummala, 2005); (3) *community interventions*, through public education campaigns and the mobilization of all institutional and community resources. A review of contributions reveals considerable discrepancies in recommendations for parents and teachers made by guidelines. Most initiatives advocate for coordination and homogeneity between home and school in order to develop a position of "**moral clarity**" and a strong protective ideology (Chanley, 2002; Punamaki, 1996). They do not however necessarily acknowledge the wide gap between majority and minority families' experiences (Rousseau, Machouf, 2005). Recent debate, in fact, emphasises that the awareness of "**moral complexity**" makes it possible to develop a sense of agency and the ability to choose between different actions and conflicting moral values. This can be guaranteed by divergence and autonomy in the dialogue between family and school (Apfel, Simon, 2000; Rouhana, Fiske, 1995).

Psychosocial studies of the last years show that in the current historical situation, in many Western countries, the sense of uncertainty and social threat perceived by majority groups is attributed to the presence of Muslim people perceived as a whole as potential terrorists (Aly & Green, 2010).

Because of the growing conviction that majority groups require protection from the social category identified as threatening, the need for security dominates public discourse. This process erodes the distinction between crime and what creates a perception of insecurity (Hörnqvist, 2004) and any element of non-compliance, by the minority group, is seen as a potential danger.

The negative image of self which the minority obtains from the majority (negative social reflection) has important implications for identity and mental health (Suárez-Orozco, 2000). Hart (2004) finds that, from the minority perspective, recent increase in anti-Muslim racist actions could be associated with increasing Islamization in communities which feel themselves threatened and react by affirming their identity.

The understanding of the terrorism impact on intergroup processes is strictly focused on the Social Identity Theory.

This makes it necessary to move the reflection from a group level (psychosocial) to an individual level (clinical): analyze the specific meaning of the migration experience and **migrant identity**, in order to evaluate how the current situation has an impact on self-representation and self-organization and on the consequent risks of radicalisation.

Contemporary studies in the philosophy, psychology, anthropology and sociology have defined the identity as a multiple, polyvalent and creative construct. This concept is well summarized in the **paradigm of métissage**: Laplantine and Nouss (1997, 2001) discussing the problems emerging from international migration, globalization and increasingly frequent inter-ethnic contacts, theorize mestizo thinking and mestizo identity. The hypothesis is that métissage is a plurality of a subjectivity whose autonomy is based on a series of heteronomies. Plurality and polyvalence therefore become a necessary existential condition.

**Polyvalence** characterizes even more specifically the migration experience between identity crises and creative processes (Park, 1992; Sayad, 1999; Anolli, 2004). In the transcultural perspective the métissage paradigm is used as a tool in analysis and clinical practice with migrants. Métissage becomes a personal and social challenge: integrating oneself into the world of here, supporting oneself in the world of origin of one's parents, leads to a dynamic combination of women and men, of thinking, of their becoming (Moro, Baubet, 2004). Migrants oscillate between two poles, that of the memory and that of the desire (to start or start again). From this derives the constant intertwining between **filiation**, the verticality of familiar narrative identity, and **affiliation**, the horizontality of here and now.

The comparison between the code of self (and us)-knowledge of the world of origin and the code of daily life of the new world can be complex and open up **spaces of vulnerability** (Moro, Baubet, 2004; Ferradji, Lesoeurs, 2013; Nathan, 2017). Migration can be described as an **event** involving **different levels of caesura**:

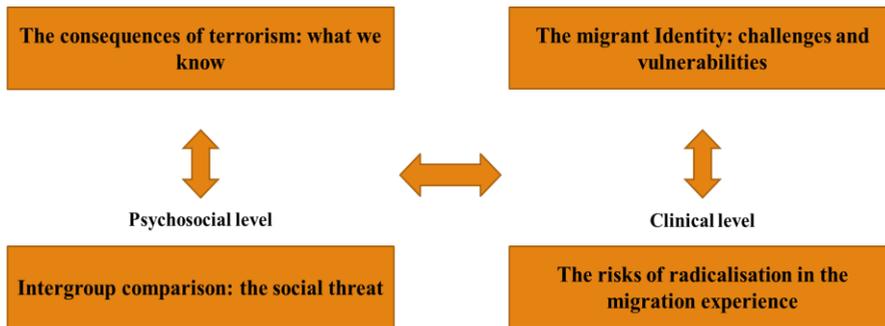
the first **caesura** occurs in the **filiation process** for both first and second generations. For the first generation, migration can be a moment of interruption and re-definition of biographical continuity. Second generations, on the other hand, experience difficulty in linking themselves to the family narrative identity (*floating filiation*, Nathan, 2017);

a second **caesura** can occur in the **affiliation process** when migrants confront a hostile social context which rejects, denies or weakens their memberships.

An overview of the literature on **radicalisation** seems to suggest that the risks of polarization lie precisely in those areas of vulnerability created by caesura processes.

Some studies find that identity crises are a key determinant able to explain radicalisation among Muslims in Europe. Findings from Social Identity Theory suggest that the negotiation and redefinition processes of these identities, in the European Muslim diaspora, may have risky outcomes in that the nature of community-level groups and networks may contribute to 'readiness' of the identity for radicalisation. (Al Raffie, 2013). This process appears to occur particularly in cases where first generation filiation is interrupted.

On the other hand, for the second generations, the experience of wandering or fluctuating in the difficult process of filiation can determine a loss of roots and a perception of being disconnected. For young children of migrants this determines a need to recognize themselves and be recognized for their peculiarity. One of the risks is precisely the attempt to re-appropriate and re-write their verticality, adhering to pseudo-identity models with extreme religious and cultural connotations (Nathan, 2017).



### Research objectives

There are a few studies linking interpretation of terrorist events to an analysis of identity representations and emotional experiences of immigrants in the contexts of daily life and there appear to be no studies on families, which examine parents' and children's point of view simultaneously.

The present study, combining the psychosocial perspective and that one of transcultural psychology, aims to reconstruct the universes of meaning through which Italian Muslims families experience their multiple identities in the various contexts of their daily life in order to:

evaluate whether and how the current international situation contributes to the organization and re-definition of the meanings themselves;

identify areas of vulnerability in order to assess possible risks of radicalization;

define appropriate contexts and procedures for intervention.

### Methodology

#### Participants

Ten North-African immigrant families from Algeria, Tunisia, Morocco and Egypt, currently living in three different provinces of Northern Italy: Milano, Parma and Reggio Emilia. We interviewed one parent and one teen-age child from each family. The parents, seven women and two men, were 37 to 51 years old; the children, seven girls and three boys, were 12 to 18 years old.

#### Instrument

We used a semi-structured thematic interview, following a flexible and non-standardized survey model (Smith, 2008) aimed at bringing out the significant experiences of each participant, allowing the individual to construct his/her own narrative.

#### Procedure

A confidential agreement was made with each individual so that they felt free to talk. The interviews were conducted on a one-to-one basis in private homes or public facilities, mainly in Italian (one exception). The interviews with minors required parental consent.

#### Data Analysis

The interviews, audio-recorded with the consent of the participants and transcribed verbatim, were analysed according to the methodological procedures of Interpretative Phenomenological Analysis (Smith, 2008; Smith, Flowers, Larkin, 2009). The theoretical and methodological approach of **Interpretative Phenomenological Analysis (IPA)** is based on both phenomenology (Giorgi, 1995) and symbolic interactionism (Denzin, 1995), two fields which suggest that human beings interpret and make sense of their world by creating their own life stories in a way that they can understand. Our analytic process involved identifying three main key elements:

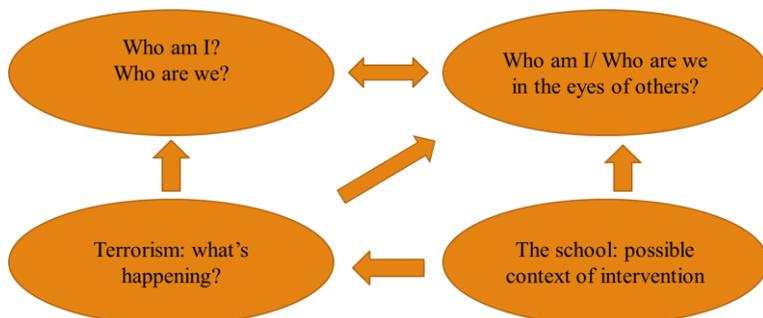
a) *master themes*, which are the essential and somehow necessary nuclei. They concern by definition all the individuals in the same existential condition;

b) *salient events*, which constitute fundamental and particular conceptual elements deriving from the individual's experience;

c) delineating the *emerging meanings*, i.e. reconstructing meanings representative of each interlocutor's experiences and identifying recurrent patterns.

## Results

Data Analysis identified four closely linked *master themes*. For each one, we identify the emerging meanings by tracing connections between salient events.



### 1. Who am I? Who are we?

Analysis of the interviews suggests that self-descriptions as individual or as member of a group are based on a complex, manifold and polyvalent set of attributes and values. This emerges from interviews with both parents and adolescents.

The self-representations **as individuals** show that there is no single way through which our interviewees experience *métissage*. Multiple ways of building *métissage* emerge from the self-narrative and each one is deeply rooted in the life of the individual. We can thus define **multiple ways of being multiple** (polyvalence, negotiation, supranational membership, national demand, complex management).

The same process occurs in the self-representations **as members of a group**:

**families** are represented as **nuclei with variable geometry**, which continually and constantly re-form at **cultural level** (verticality-horizontality, filiation-affiliation, morphogenesis-morphostasis) and at **relational level** (autonomy-connection, cohesion-adaptation);

in **social relations**, these families experience a **relational polyvalence**, where motivations, values and the quality of bonds and experiences are multiple and sometimes contradictory (similarity-complementarity, support-conflict);

their perception and description of **religious faith** appears to extend *métissage* to the **religious** level. Our respondents talk about free and voluntary choice, respect for other faiths, tendency to conflate more or less substantial practices, complex and contradictory representations and values. Their own representation of their being Muslim is particularly different from the stereotypical representation widespread in the Western world;

lastly, within a self-representation comprising multiple belongings, families emphasise their great need to **be connected with roots**. Although this is difficult in daily life, families maintain a link with their **world of origin** through shared family narratives.

### 2. Who am I/ Who are we in the eyes of others?

The interviewees emphasize the need for **social recognition** of their plurality and polyvalence. Two levels of social recognition can be distinguished:

**interpersonal level**, where our interviewees report that Italians' representation of Arab/Muslim people depends on the individual and is influenced by several factors: level of contact and knowledge, sharing of experience, access to adequate information, perception of threat, influence of the contexts. This means that, on the interpersonal level, families **can experience recognition of their specificity/polyvalence**, alongside episodes of discrimination;

**social and institutional level**, where the representation of Arab/Muslim people, is negatively affected by: the current international situation, economic crisis, mass-media influence, construction of antisocial mentality. On the socio-institutional level, families therefore experience **lack of recognition and social stigma**. The social context may in fact be forcing them to take sides, to choose between dimensions which they instead perceive as indivisible and ingrained.

### 3. *Terrorism: what is happening?*

Families emphasise that the **strong overlap** between **ISIS**, the **Muslim faith** and **terrorist attacks** communicated by **public discourse**, especially in the mass-media extends responsibility for terrorism to an entire community. The media are perceived as responsible for instrumentalization, lack of reliability, and building of stereotypes. A perception of non-conformity is today focused on the Muslim community, which, because it shares a religious background with terrorists, is perceived and described as a potential source of danger. Because in representations widespread today there is a close overlap between Muslim and Arab, this view also affects the wider Arab community.

Interviewees perceive that they are assigned to a **social category** to which they attribute a **strong negative value**. They perceive that their faith and culture, which in different ways are part of their lives, are in this context **threatening elements which require justification and re-negotiation**.

This **incomplete and unsatisfactory definition** of themselves has several consequences:

expectations of the **Italian community's reactions**: interviewees perceive an increase in prejudice and in discrimination;

**Arab-Muslim community's reactions**: families mention **self-blame, shame, fear, social withdrawal**. The parents underline the **risks for the second and third generations** determined by the need to define themselves in a hostile social context;

**within families**: **difficulties** and **fear** in speaking about these topics. The parents underline the need to protect the children; the children describe parents without answers.

### 4. *School: a possible context for intervention*

School is described as a **contradictory context**:

on the one hand there are many **critical elements**: problems with teachers (on an educational and relational level), complex social contexts (prejudice, problematic behaviours, bullying), discrimination (by teachers and pupils);

on the other hand, both parents and teenagers underline **positive elements**: teenagers describe peer relationship as a **protective and supportive relational context**, where they experience a **low impact of memberships** and the mutual ability to recognize similarities and differences in social comparison; the parents attribute a **high value** to the school and describe a **strong participation** in school life.

These characteristics mean that the school is a potential context for complex social interventions. Indeed, talking about the **discussion about terrorism** at school, families underline that:

school has several important **tasks**: building critical and aware consciences, promoting contexts for dialogue and providing adequate information;

school today however provides **few interventions**, which are **not robust** and are left to the common sense and initiative of a few individual teachers. The interviewees also describe the possible **risks** involved in discussing these topics at school, including increased conflict and fear, unreliability of interlocutors and that such intervention may not be a function of school;

but at the same time, they define **what could and should be done**: using **school as a node of socialization**, activating **complex planning, involvement of families** and **use of professionals**.

### Conclusions and proposals for intervention

Immigrant families define themselves through a complex, manifold and polyvalent set of attributes and values, which summarise their existential contexts.

Recent terrorist attacks, and the way in which they are reported in the public discourse, are building crystallized and all-encompassing representations of the Arab-Muslim community. The key factor is the attribution of a negative and threatening social label.

This weakens the opportunities for social confrontation and determines the lack of recognition of métissage and of the specificity of migrants, at social and institutional level.

As a consequence, the negative impact on the Arab-Muslim community is forcing group members to redefine themselves according to public discourse, in order to form an adequate and satisfactory representation of themselves.

Identity negotiation therefore shifts from the level of experience and everyday life, where social confrontation is possible, to an ideological/institutional one.

This situation determines a caesura in the affiliation process, and, consequently, there is further level of caesura in the second and third generations filiation process: parents have difficulty in dialogue with their children and may be unable to form a vertical narrative identity.

These areas of vulnerability determine possible outcomes of polarization and, therefore, radicalisation (Al Raffie, 2013; Nathan, 2017): the re-definition and negotiation process determined by the current social situation imply the need to build again the vertical axis for both first and second generations, and this can lead to extreme and radical identity affirmation.

Participants identify school as the most effective context for social intervention, in order to lower risks brought by the current situation of hostility.

Our results suggest that it is necessary to move beyond discussion between school and family. To date these have been studied as two separate entities, as described in the literature (*moral complexity/moral clarity*, Rousseau, Machouf, 2005). Our findings reveal the need for more complex and systemic interventions involving school and family simultaneously. They suggest that certainly the supportive and non-judgmental peer context, in school, offers a space where it may be possible for young people to train moral complexity, but we have the opportunity to use school as an ideal basis for involving the whole community.

This indicates that there is need to:

access specific professional skills, such as those of psychologists, sociologists and pedagogists;

implement transversal projects involving society, not based on intercultural comparison, but that may promote training and education to recognize “multiple ways of being multiple” in oneself and therefore in others.

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## Georgia in the World Merchandise Trade: Main Trends and Problems of Development

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### Abstract

Foreign trade is the main factor in the country's integration into the world economic system. It promotes the socio-economic development of states, especially developing countries. After the restoration of state independence, Georgia actively cooperates with different countries within the framework of bilateral and multilateral agreements. Its foreign trade activity is based on a high level of openness of the economy and liberal policy, features of the market economy and new vectors of development. Georgia has been a member of the World Trade Organization since 2000 and has one of the most liberal and competitive trade regimes across the world. Georgia's foreign trade turnover has a cyclical growth pattern with a combination of periods of its fall. Over the entire post-Soviet period, the country has a negative trade balance and a high dependence on imports. Export characterizes a high degree of concentration of geographical structure and low level of diversification. The article analyzes the current state of Georgia's foreign trade, shows the main indicators of the country's foreign trade for the period of 1994-2014, and examines the main trends in its development and the importance of export diversification to improve the efficiency of foreign trade.

**Keywords:** foreign trade, merchandise, export, import, Georgia

### 1. Introduction

After the collapse of the Soviet Union, Georgia moved to a new stage in its historical development, characterized by a high degree of freedom and a liberal economic policy. In 2018, according to the Index of Economic Freedom, Georgia ranks 16<sup>th</sup> among 180 countries and is part of a group of mostly free states. Liberal foreign trade policy is one of the major principles of the economic policy of Georgia. The Government of Georgia has implemented reforms in the tariff policy. As a result, nowadays Georgia has one of the most liberal foreign trade policies in the world, which implies the assistance of foreign trade regimes and customs procedures, low import tariffs and minimal non-tariff regulations (MESD).

Foreign trade is the main factor in the country's integration into the world economic system. Export contributes to the increase in foreign exchange earnings and stimulates the social and economic development of the state. As G. Haberler (1970) noted, "International trade has made a tremendous contribution to the development of the less developed countries in the nineteenth and twentieth centuries, and can be expected to make an equally big contribution in the future if it is allowed to proceed freely". In this regard, the main purpose of this work is to analyze the trends in the development of Georgia's foreign trade, determine its place in the world trade of goods and the opportunities for its further development based on export diversification.

### Literature review

The internationalization of production has been greatly accelerated and the international division of labor has deepened under the influence of globalization and scientific and technological progress (Korganashvili L. 2017, 2016). As a result of this international trade flows have increased. The need to include countries in international trade is explained by different theories. The role of foreign trade in the pursuit of wealth of the nation is highly evaluated by the mercantilists (Magnusson 1994). The starting international trading axioms inherent in classical theories (Smith 1986 [1776], David Ricardo 1951), which, despite a number of assumptions, explain the benefits of trade. Fundamentals of the reasons that determine the direction and structure of international trade flows, as well as the possible advantages in the international exchange, are laid by E. Heckscher and B. Ohlin (Heckscher 1919, 2007, Ohlin 1933). According to their theory, a country will export goods that use its abundant factors intensively, and import goods that use its scarce factors intensively. In the two-factor case, it states: A capital-abundant country will export the capital-intensive good, while the labor-abundant country will export

the labor-intensive good. Heckscher-Ohlin theory refined P. Samuelson (HOS-Heckscher-Ohlin-Samuelson Theory) (Suranovic 2010) and W. Stolper (Stolper-Samuelson Theorem) (Stolper&Samuelson 1941).

The standard model of international trade unites the various theories, developing the fundamental position of the classical theories. It is based on the concepts of the limit values and the general equilibrium of the economic system. It provides mathematical and graphical interpretation of international commodity exchange, and shows the real impact of international trade on the economies of individual countries (Edgeworth 1925, Marshall 1979, Haberler 1936), etc.

The alternative theory of international trade is critical to achieve reinterpreted predecessors and offered original interpretation of the participation of national economies in the international exchange of goods. Among these theories following should be noted: The trade theory based on economies of scale (Krugman 1981, Krugman&Obstfeld 1992, Lancaster 1980 et al.), The theory of technological gap (Posner 1986), The theory of a product life cycle (Vernon 1970), The theory of international competition (Porter 1986) and others. Since the second half of the XX century, dynamic comparative advantages became relevant. This question was studied by Krugman (1987), Grossman and Helpman (1989), Redding (1997) and others.

Although there are many theories of international trade, none of them can fully explain the nature of international trade. And there is ample empirical evidence that recognize the validity of the theory of comparative advantage (Bernhofen&Brown 2005, Schott 2004, Uchida & Cook 2004, Krugman&Obstfeld 2003). Moreover particularly noteworthy is the fact that most of the principles of the World Trade Organization (WTO) is based on the theory of comparative advantage (Root 2001). Currently, comparative advantages are used to assess the country's competitiveness in international trade (Korganashvili L. 2017, 2016, ).

### Research methodology

The theoretical and methodological basis of the work constitutes the fundamental tenets of the theory of international trade. Well-known scientific methods were used for the study: statistical, comparative, deduction and induction, analysis and synthesis, and etc. Informational and empirical basis of the study is constituted by statistical, informational and analytical data of various international and national organizations, research papers, online resources, and etc.

The effectiveness of foreign trade is calculated as the ratio of exports to imports. If this ratio - efficiency coefficient is greater than 1, then the trade can be considered effective. On the other hand, the import dependence of the trading partners is calculated as the ratio of imports to exports. The country will be considered dependent on the other, if the ratio coefficient of import dependence is less than 1.

Comparative advantages of Georgia on certain goods are valued by index Balassa (Balassa 1965), which is calculated according to the formula

$$RCA_{ij} = (X_{ij} : X_{it}) / (X_{wj} : X_{wt})$$

where  $RCA_{ij}$  is Revealed Comparative Advantage Index,  $X_{ij}$  and  $X_{it}$  are the values of country  $i$ 's exports of product  $j$  and world exports of product  $j$  and where  $X_{it}$  and  $X_{wt}$  refer to the country's total exports and world total exports. A value of less than unity implies that the country has a revealed comparative disadvantage in the product. Similarly, if the index exceeds unity, the country is said to have a revealed comparative advantage in the product.

### Main trends in the development of Georgia's foreign trade

After the collapse of the Soviet Union, Georgia actively cooperates with different countries within the framework of bilateral and multilateral agreements. In 2017, the geography of its trade covered 140 countries. According to preliminary data, in 2017, the foreign trade turnover of goods amounted to \$10707.4 million, including exports – \$2728.0 million, imports – \$7979.4 million (75%). Compared with 2016, foreign trade turnover increased by 13.8%, exports by 29.1% and imports by 9.4% (Geostat).

Foreign trade of Georgia is developing in the conditions of globalization. Its main development trends are followings:

The cyclical nature of the development of foreign trade turnover: a combination of growth with periods of its fall. For example, the growth cycles cover 1994-1997, 2000-2009 and so on (table 1, Growth rate to previous year, %).

Permanent negative trade balance and high dependence on imports. In 2017, the deficit was \$5254.7 million – 49.0% of all of trade turnover (Geostat). Compared to 2016, it increased by \$73.2 million (1.4%). This is the highest volume of trade deficit, but its highest share in foreign trade turnover was in 1998 – 64.7%. The peak of the share of imports to turnover was observed in 1998 (82.4%), to GDP in 2017 – 52.6% (Table 1).

Low share of exports both in foreign trade turnover and in GDP. In the foreign trade turnover of Georgia, exports with the highest share were present in 1994 – 36.1%, and in relation to GDP in 2017 – 18.0%.

In 2017, the share of foreign trade turnover reached 70.6%, and in 1994 it was 16.7% (Table 1).

Change in the share of groups of countries. In 1995, the CIS accounted for 62.5% of Georgian exports and 40.1% of imports, in 2005 these figures were 47.0% and 40.0% respectively, and in 2017 – 43.3% and 29.6%. The share of the European Union has also changed. If in 2005 the EU countries accounted for 25.0% of exports and 29.7% of imports, in 2017 these figures were 23.7% and 27.5%. On June 27, 2014, the European Union and Georgia signed the Association Agreement, which includes the Deep and Comprehensive Free Trade Area (AA / DCFTA), which provides preferential trade relations. Despite this, the CIS countries occupy an important place in the foreign trade of Georgia (Korganashvili, 2016)..

High degree of concentration of the geographic structure of Georgia's foreign trade: in 2017, 3 main trade partners accounted for 34.7% of turnover, for 5-48.2% and for 10-66.7%. As for exports, these figures were 30.0%, 44.5% and 67.4% respectively, and for imports – 36.2%, 44.5% and 66.5% (Geostat). In 2016, the market concentration index (HH-Herfindahl-Hirschman index) was 0.06, and in 2012 it was 0.04 (WITS, 2016).

Low level of diversification of exports and imports: 10 commodity items account for 63,3 % of country's exports and 64.7% of imports (Geostat). In 2017, the first place in the commodity structure of Georgia's exports is occupied by copper ore and concentrates – 15.4%, the second place is ferroalloy – 11.3%, followed by motor cars – 8.6% (in 2013 their share was 24.2%. Georgia is not a producer of cars, therefore, a high share of this commodity position in the country's exports testifies to a significant volume of re-export operations), wine from fresh grapes – 6.3%, medicaments put up in measured doses – 5.2%, etc. In the commodity structure of imports in the first place are petroleum and petroleum oils - 8.7% of the total import of the country. The following positions are occupied: motor cars – 5.9%, petroleum gases and other gaseous products – 4.4%, medicaments put up in measured doses – 4.3%, copper ores and concentrates – 4.2% and etc. In 2016, the index of Export Market Penetration for export was 2.41, in 2015 - 2.57 (WITS, 2012-2016).

A decline in the share of high-tech exports in manufacturing exports: in 2002, high-technology exports (% of manufactured exports) accounted for 41.1% of manufacturing exports, but in 2016 it declined to 3.9%. 38.35% of Georgia's exports and 53.54% of imports are consumer goods, 23.95% and 14.71% are intermediate goods, 32.97% and 9.62% are raw materials, 3.67 and 21.72% are capital goods. A small share of capital goods causes a low level of technological development (WB).

Increasing the level of liberalization of foreign trade policy. Georgia has been a member of the World Trade Organization (WTO) since 2000 and the Liberal foreign trade policy is one of the major principles. The Government of Georgia has implemented reforms in the tariff policy. As a result, nowadays Georgia has one of the most liberal foreign trade policies in the world, which implies the assistance of foreign trade regimes and customs procedures, low import tariffs and minimal non-tariff regulations (MESD). In 2015, compared to 2002, its average tariffs for the countries with the most favored nation (MFN) for all goods decreased from 9.65% to

0.87%, including agricultural products from 12.53% to 7.1 % and non-agricultural from 9.44% to 0.46%. In 2015, the average of preferential tariffs were 0.72%, 5.88% and 0.38%, respectively (Table 2).

Table 1. The main indicators of Georgia's foreign trade in merchandise, 1994-2017

Years	million current US\$				Share in Turnover, %			Growth rate to previous year, %				Share in GDP, %		
	Export	Import	Turnover	balance	Export	Import	balance	Export	Import	Turnover	balance	Export	Import	Turnover
1994	151,2	268,0	419,8	-116,8	36.1	63.9	27.9	-	-	-	-	6.0	10.7	16.7

199 5	151, 2	391, 6	542, 8	- 240,4	27. 8	72.2	44.3	100 .0	146 .1	129. 3	205. 8	5.6	14. 5	20.1
199 6	198, 8	686, 7	885, 5	- 487,9	22. 5	77.5	55.1	131 .5	175 .4	163. 2	203. 0	6.4	22. 2	28.6
199 7	239, 8	943, 5	1183 ,3	- 703,7	20. 3	79.7	59.5	120 .6	137 .4	133. 6	144. 2	6.8	26. 9	33.7
199 8	189, 0	883, 2	1071 ,2	- 694,2	17. 6	82.4	64.8	78. 8	93. 6	90.5	98.6	5.2	24. 5	29.7
199 9	240, 7	622, 6	863, 3	- 381,9	27. 9	72.1	44.2	127 .4	70. 5	80.5	55.0	8.6	22. 2	30.8
200 0	324, 0	709, 0	1033 ,0	- 385,1	31. 4	68.6	37.3	134 .6	113 .9	119. 6	100. 8	10.6	23. 2	33.8
200 1	317, 6	753, 3	1070 ,9	- 435,7	29. 7	70.3	40.7	96. 2	107 .6	104, 0	113. 1	9.9	23. 4	33.3
200 2	347, 8	731, 4	1079 ,2	- 383,6	32. 2	67.8	35.5	109 .5	97. 3	100. 8	88.0	10.2	21. 5	31.8
200 3	465, 3	114 1,1	1606 ,4	- 675,8	29. 0	71.0	42.1	133 .8	156 .0	148. 9	176. 1	11.7	28. 6	40.2
200 4	646, 9	184 7,9	2494 ,8	- 1201, 0	25. 9	74.1	48.1	139 .0	161 .9	155. 3	177. 7	12.6	36. 1	48.7
200 5	866, 7	249 0,9	3357 ,6	- 1624, 2	25. 8	74.2	48.4	134 .0	134 .8	134. 6	135. 2	13.5	38. 9	52.4
200 6	993, 1	368 1,2	4674 ,3	- 2688, 1	21. 2	78.8	57.5	114 .6	147 .8	139. 2	165. 5	12.8	47. 4	60.2
200 7	124 0,2	521 6,7	6456 ,9	- 3976, 5	19. 2	80.8	61.6	124 .9	141 .7	138. 1	147. 9	12.2	51. 3	63.5
200 8	149 7,7	605 8,1	7555 ,8	- 4560, 4	19. 8	80.2	60.4	121 .8	116 .1	117. 0	114. 7	11.7	47. 3	59.0
200 9	113 3,6	450 0,2	5633 ,8	-336 6,6	20. 1	79.9	59.8	75. 7	74. 3	74.6	73.8	10.5	41. 8	52.3
201 0	167 7,5	525 7,1	6934 ,6	-357 9,6	24. 2	75.8	51.6	148 .0	116 .8	123. 1	106. 3	8.1	25. 3	33.4
201 1	218 6,7	703 8,4	9225 ,1	-485 1,7	23. 7	76.3	52.6	130 .4	133 .9	133. 0	135. 5	9.0	28. 9	37.9
201 2	237 6,2	803 6,9	1041 3,1	-566 0,7	23. 3	76.7	54.4	108 .7	114 .2	112. 9	116. 7	9.1	30. 7	39.8
201 3	290 9,5	801 1,6	1092 1,1	-510 2,1	26. 6	73.4	46.7	122 .4	99. 7	104. 9	90.1	10.8	29. 9	40.7

2014	286 0,7	859 3,3	1145 4,0	-573 2,6	25. 0	75.0	50.0	98. 3	107 .3	104. 9	112. 4	10.0	29. 5	39.3
2015	220 4.7	730 0.3	9505 .0	- 5095. 6	23. 2	76.8	53.6	77. 1	85. 0	83.0	88.9	15.8	52. 2	68.0
2016	211 3.1	729 4.6	9407 .7	- 5181. 5	22. 5	77.5	55.1	95. 8	99. 9	99.0	101. 7	14.7	50. 7	65.4
2017*	272 8.0	798 2.7	1071 0.6	- 5254. 7	25. 5	74.5	49.1	129 .0	109 .4	113. 8	101. 4	18.0	52. 6	70.6

Source: The table is compiled and calculated according to the annual "Statistical Yearbook of Georgia" and "External Trade of Georgia", 1995-2017.

Table 2. Average tariffs for the import of products in Georgia

Product group	Tariff type	2002	2006	2010	2015
All products	Average of MFN tariffs	9.65%	8.68%	0.68%	0.87%
	Average of preferential tariffs	9.65%	8.16%	0.65%	0.72%
Agricultural	Average of MFN tariffs	12.53%	12.65%	9.16%	7.1%
	Average of preferential tariffs		12.05%	8.7%	5.88%
Non-agricultural	Average of MFN tariffs	9.44%	8.42%	0.07%	0.46%
	Average of preferential tariffs		7.91%	0.06%	0.38%

Source: ITC, Market Access Map.  
<http://www.macmap.org/CountryAnalysis/AverageTariffResult.aspx?country=SCC268|Georgia&bysection=0>

The low level of Georgia's export diversification is one of the most acute problems of the country's economy, as it indicates the low efficiency of its foreign trade. Diversification of exports is directly related to the diversification of the national economy. Therefore, first of all, its progressive diversification is necessary: the main emphasis should be made on the development of industries with a high share of added value. At the same time, one should not limit oneself to exporting material and technical goods, special attention should be paid to trade in services and technologies. Diversification in this direction is of great importance for the Georgian economy, since the share of services in GDP in the country is about 2/3 (Korganashvili, 2017, 2014).

For the development of trade in technology requires a knowledge economy, the importance of which has increased greatly. This is due to the effect of the following trends: technological globalization and increasing role of human capital; the growth of innovation as an organized activity; the emergence of the "New Economy" on the basis of the revolution in information and communication technologies; development of innovative infrastructure and innovation management system at the national and international levels; mass and accessibility of higher education; the complication of the system "science-technology-production-consumption", etc. (Korganashvili L. 2015, 2014).

### Georgia's integration into world trade in merchandise

Georgia is a small country and its role in world trade is insignificant. In 2016, the share of Georgia's exports and imports in world exports and imports of goods amounted to 0.01 and 0.04%. In terms of their volume, the country took 128<sup>th</sup> and 106<sup>th</sup> places (WTO). In 2017, five of the main trading partners were Turkey (\$1,589,377.7 th. – 14.8%), Russia (\$118,367.7 million – 11.1%), China (\$939,518.6 th. – 8.8%), Azerbaijan (\$81,904.2 th. – 8.2%) and Ukraine (\$566,601.4 th. – 5.3%). Russia (\$394,712.4 th. – 14.5%), Azerbaijan (\$ 272172.5 th. – 10.0%), Turkey (\$211.67 million – 7.9%), Armenia were the main export trading partners (7.7%) and China (\$207218.0 th. – 7.6%), on imports – Turkey (\$1372802.7 th. – 17.2%), Russia (\$394788970.2 th. – 9.9%), China (\$732,292.9 th. – 9.2%), Azerbaijan (\$609721.8 thousand – 7.6%) and Ukraine (\$ 445147.0 thousand – 5.6%) (Geostat).

The degree of integration of a country into world trade can be estimated by the Enabling Trade Index (ETI). It assesses the extent to which economies have in place institutions, policies, infrastructures and services, facilitating the free flow of goods over borders and to their destination. ETI is calculated using four sub-indexes: Sub-index A – market access; Sub-index B – border administration; Sub-index C – infrastructure; Sub-index D – operating environment. Sub-index A measures the extent and complexity of a country's tariff regime as well as tariffs. There are two pillars in this sub-index. Sub-index B measures border administration of a single pillar, which assesses the efficiency and transparency of the border administration. More specifically, it captures efficiency, transparency and costs associated with importing and exporting goods. Sub-index C assesses the availability and quality of transport infrastructure of the country, associated services, and communication infrastructure, necessary to facilitate the movement of goods within the country and across the border. Sub-index D consists of a single pillar, which has a significant impact on the quality of its products, imports, and trade and transport merchandise to do business. According to the Enabling Trade Index in 2016, Georgia ranks 41<sup>st</sup> among 136 countries, and in 2014 it was on the 46<sup>th</sup> place among 134 countries. Under sub-index A Georgia is on the 15<sup>th</sup> place, sub-index B – 39<sup>th</sup>, sub-index C – 73<sup>rd</sup> and sub-index D – 33<sup>rd</sup> (Table 3).

Table 3. Enabling Trade Index, 2016

	Rank	Score
Enabling Trade Index	41	4.8
Subindex A: Market access	15	5.2
Pillar 1: Domestic market access	9	5.9
Pillar 2: Foreign market access	33	4.6
Subindex B: Border administration	39	5.3
Pillar 3: Efficiency and transparency of border Administration	39	5.3
Subindex C: Infrastructure	73	3.8
Pillar 4: Availability and quality of transport Infrastructure	76	3.3
Pillar 5: Availability and quality of transport services	98	3.6
Pillar 6: Availability and use of ICTs	65	4.6
Subindex D: Operating environment	33	4.8
Pillar 7: Operating environment	33	4.8
Weforum. The Global Enabling Trade Report. 2016, pp.136-137 <a href="http://www3.weforum.org/docs/WEF_GETR_2016_report.pdf">http://www3.weforum.org/docs/WEF_GETR_2016_report.pdf</a>		

The most problematic factors for importing are: high cost or delays caused by international transportation, tariffs and non-tariff barriers, high cost or delays caused by domestic transportation, burdensome import procedures, inappropriate telecommunications infrastructure, domestic technical requirements and standards, corruption at the border. In turn the most problematic factors for exporting are: identifying potential markets and buyers, inappropriate production technology and skills, technical requirements and standards abroad, access to trade finance, difficulties in meeting quality/quantity requirements of buyers, access to imported inputs at competitive prices, burdensome procedures at foreign borders, high cost or delays caused by international transportation, rules of origin requirements abroad, corruption at foreign borders, high cost or delays caused by domestic transportation and tariff barriers abroad (Weforum, 136). For the further development of Georgia's foreign trade and its full-fledged integration into world trade in goods, first of all these problems should be resolved.

Table 4 shows the estimates of efficiency of foreign trade of Georgia and its import dependence on top trade partners in 2017. The effectiveness of foreign trade is the ratio of exports to imports and import dependence on trading partners shows the ratio of imports to exports. As seen in Table 4, from 10 major trading partners of Georgia only trade with Bulgaria can be considered effective. Georgia has a strong import dependence on Germany, Turkey and China.

Table 4. Efficiency of Georgia's foreign trade and its dependence from imports of top trading partners, 2017

Countries	Exports, thsd. US Dollars	Imports, thsd. US Dollars	Export/Import*	Import/Export*
Total	2727971.5	7979435.0	0,34	2,92
Of which:				
Turkey	216567.1	1372802.7	0,16	6,34
Russia	394712.4	788970.2	0,50	2,00
China	207218.0	732292.9	0,28	3,53
Azerbaijan	272172.5	609721.8	0,4	2,24
Ukraine	124449.8	445147.0	0,45	3,58
Armenia	208701.5	281137.6	0,74	1,35
Germany	45361.6	433330.0	0,10	9,55
United States	121794.2	267746.1	0,45	2,20
Bulgaria	178827.4	155551.2	1,15	0,87
Italy	69278.0	217299.6	0,32	3,14
Other countries	888888.9	2675435.9	0,33	3,01

\* Calculated by the author. Source: [http://geostat.ge/cms/site\\_images/\\_files/english/bop/FTrade\\_2017\\_ENG-with%20cover.docx.pdf](http://geostat.ge/cms/site_images/_files/english/bop/FTrade_2017_ENG-with%20cover.docx.pdf)

Despite the negative trends in the development of Georgia's exports, the country has the potential to increase it. As shown in Table 5, Georgia has revealed comparative advantages for such products as Minerals, Food Products, Vegetable, Metals, Transportation and Chemicals.

Table 5. Revealed comparative advantages of exported goods of Georgia

Products	Georgia $X_{ij} : X_{it}$	World $X_{wj} : X_{wt}$	RCA <sub>ij</sub>
Animal	2.15	2.20	0.98
Vegetable	9.20	3.44	2.67
Food Products	17.52	3.40	5.15
Minerals	9.36	1.52	6.16
Fuels	2.70	11.01	0.25
Chemicals	10.17	9.14	1.11
Plastic or Rubber	1.24	4.34	0.29
Hides and Skins	0.26	0.73	0.36
Wood	0.95	2.47	0.38
Textiles and Clothing	3.18	4.50	0.71
Footwear	0.15	0.92	0.16
Stone and Glass	2.20	4.94	0.45
Metals	16.85	6.91	2.44
Mach and Elec	2.50	25.11	0.10
Transportation	20.56	10.13	2.03
Miscellaneous	1.02	9.25	0.11

Calculated by the author. Source: WITS [http://wits.worldbank.org/CountryProfile/en/GEO, http://wits.worldbank.org/CountryProfile/en/Country/WLD/Year/2014/TradeFlow/Export/Partner/all/Product/90-99\\_Miscellan](http://wits.worldbank.org/CountryProfile/en/GEO,http://wits.worldbank.org/CountryProfile/en/Country/WLD/Year/2014/TradeFlow/Export/Partner/all/Product/90-99_Miscellan)

## Conclusions

The processes of liberalization of the economy in Georgia significantly change the nature of foreign trade relations. The country is gradually improving the terms of trade, but there are serious problems in this area. Among them, one should note the strong dependence on imports, the irrational commodity structure, the decrease in the share of capital goods, the high

level of concentration, the low level of diversification, the underdeveloped infrastructure, etc. In this regard, Georgia should optimize the structure of the economy, find resources to stimulate exports and implement policies substitution of imports, increase of innovative potential, etc. Addressing the trade deficit and increasing exports should become one of the main tasks of Georgia's economic development. The country needs a development strategy that will reduce the impact of negative external factors and increase the level of independent development.

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## Piano Performance Technical Analysis of *the People United Will Never Be Defeated* by Rzewski

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### Abstract

The piano variations *The People United will Never be Defeated* by Rzewski contains many modern piano performance techniques and skills. The difficulties of these techniques and skills in these enormous variations are far beyond the boundaries of traditional piano performance techniques and skills. This analysis will give a specific classification for these modern piano performance techniques and skills in order to provide a more comprehensive guide for the piano performers.

**Keywords:** Piano, Techniques, Rzewski

### Introduction

*The People United Will Never Be Defeated* by Frederic Rzewski can be considered as one of the longest piano variations, which has grand and complex characteristics in compositional structure. It totally has 1 theme and 36 variations, every 6 variations are combined together as one group, and the last variation of each group reviews all the playing techniques and compositional characteristics of this group. Moreover, each variation of this epic piece has a different and primary technical challenge for its performance, and, the last variation of each group reviews all the characteristics of the previous 5 variations, not only in musical characteristics, but also in playing techniques. This combination of ideas applies equally to musical matters as well as technical ones (Deng, 2017). The below is a summary of pianistic technique schematic for each variation and set:

**Theme:** popular song

#### Set one

- Var.1: tonal, wide jumps and octave displacement
- Var.2: displaced accents and rapidly changing dynamics; bridge from tonal to atonal
- Var.3: hexachords; awkward fingering patterns in arpeggios in both hands
- Var.4: canonic; hexahedral sextuple running arpeggio passages; extreme difficulty
- Var.5: individual *staccato* chords with dynamic contrast; difficult pedal/hand coordination
- Var.6: summary of 1-5

#### Set two

- Var.7: 2 against 3, wide leaps
- Var.8: two-part counterpoint, awkward fingering patterns, as in variation 3
- Var.9: left hand static and right hand is a slow chord progression with melody on top, soft playing for an extended period (*ppp*)
- Var.10: atonal, hexachords, *glissandi*, palm clusters
- Var.11: slam piano lid, shouting and whistling
- Var.12: Summary of 7-11

#### Set three

- Var.13: jazz blues melodic line, swung right hand melody, repeated chords in bass. Cadenza to join with variation 14
- Var.14: pentatonic arpeggios; imitation between right hand and left hand
- Var.15: rhythmically free and improvisatory; arpeggios as in variation 14
- Var.16: hexachords; contrary motion between hands; rapid sequence of chords = very difficult
- Var.17: rhythmic expansion and contraction of right hand while left hand static; each right hand part carries the instruction: "each phrase like a sudden burst"

Var.18: summary of 13-17

#### Set four

Var.19: irregular (fragmented) *staccato*; imitation between the hands

Var.20: tremolo; single line shared between the hands; *toccata*-like

Var.21: contrary motion; *ostinato* patterns

Var.22: based on variation 19, triplets extend what was in variation 19

Var.23: tremolo and *martellato*, *quasi toccata*

Var.24: summary of 19-23

#### Set five

Var.25: expansion on variation 5; Webernesque; extreme dynamic contrasts

Var.26: hexachords combination of tonal and atonal, awkward fingering patterns

Var.27: climax of this piece, stormy and explosive, motoric and repetitive rhythm, *ostinato*

Var.28: based on variation 26

Var.29: bridge, slurs and *staccato*, very short duration; irregular metre

Var.30: summary of 25-29

#### Set six

Var.31-36: summary of variations 1-30

### Summary of the Main Pianistic Technical Requirements

The section which follows analyses most of the pianistic techniques required to successfully perform *The People United Will Never Be Defeated*.

#### Wide leaps

Example: Variation 1

Here, the technical issues are not simply of one kind but are the result of combinations of different requirements. This variation is difficult enough when played out of context, but in the context of a performance of the work, the pianist must also rapidly adjust from the playing of the theme (forceful and march-like) to immediately playing at the level of *pianissimo*. To achieve the *pp* with security, the keys must be depressed more slowly, but there is scarcely time for that because the tempo remains the same as for the theme (106 crotchet beats/minute). Because of the wide range of notes (octave displacements) and rapid exchange between right hand and left hands, the technical demands here are considerable. The issue is one of accuracy and the addition of extremely varied dynamics makes this a more difficult assignment. On occasion, some adjacent single notes must be played with different dynamics. In this, right and left hands are frequently required to cross, which increases the danger of inaccuracy. Rapid and precise sideways shifting of right and left hands is essential.

#### Accents on the weak beats

Example: Variation 2

This technique appears in classical piano music occasionally, such as in Chopin's *Etude* Op. 25 No.3, Brahms's *Variations on a Theme of Paganini*, book 1, variation 3, and the *Two Romanian Dances* of Bartók. However, Rzewski pushes the technique to the limit in this variation by virtue of the large leaps involved and also by alternating accents in right and left hands. A further complication is that Rzewski's technique reverses the normal gravitational direction of accenting strong and weak notes. In this case, the weak beat is always louder, requiring a reversal of the physical action of the pianist's hand and fingers. This means that energy has to be applied to what is normally a release action. Moreover, the entire variation consists of this reversal of the normal physical action.

There is also a connection between the appearance of the music and the difficulty caused by the displaced accents. One technique which I found useful is to mentally remove the bar lines (by taking the bar line away it doesn't feel quite so unnatural), or to mentally shift the bar lines to the right by the margin of a quaver (similar in effect to removal of the bar lines).

## Awkward fingering patterns

Example: Variations 3, 4, 8 12 and 16

The most challenging passages in these variations is the passagework in semiquavers. These passages vary between duplets, quadruplets and sextuplets in both right and left hands, combining awkward fingerings and covering almost the entire keyboard. These variations are also extremely atonal in character, which makes relationships within the patterns of notes much harder to pin down. Without a tonal formula, the difficulty of these passages is increased several folds. The patterns therefore do not lie easily under the hand. An example from variation 3 will illustrate:



Figure 1. Variation 3, bars 13-16 (circles and square not in the original)

Some additional awkwardness relates to the large gaps between some notes (see squared section in bar 16). Often these are intervals greater than a fourth and therefore involve considerable extension and contraction of the hand to execute properly. When this is coupled with the extensive range of notes that is being utilized, the difficulty level becomes severe. It is imperative that the pianist avoid an unnecessary waste of energy and to this end the softer dynamic requirements are actually helpful. The gradual increase of dynamics to *f* makes these passages progressively more testing. A further complication is the requirement for *legato*. Interspersed through this variation are the main melody notes usually written as crotchets or minims and passed freely from bass to treble clef and back again (see circles above).

This technique witnessed in these variations is not new: Bach, Beethoven, Chopin, Liszt and Rachmaninov all used the technique of a fixed part with a moving accompanying part. However, Rzewski's design represents a substantial evolution of the technique because it involves greater difficulties than anything written by his predecessors and greater difficulties than most pianists will have previously encountered in any repertoire. This type of technical difficulty also appears in Rzewski's *Winnsboro Cotton Mill Blues* (from *North American Ballads*).

## Coordination of pedalling and hands: Catching the resonance in the pedal

Example: Variation 5

In variation 5, Rzewski requires the pianist to play *staccato*, but also to catch the resonance of each *staccato* note with pedal. Note that, although marked *staccato*, these notes are written as minims and semibreves with a *staccato* marking over the top. The fingers cannot leave each chord until the desired pedal effect has been activated. This requires a very cooperative effort between fingers and foot and must be practiced a great deal in order to make the technique reliable. The action of fingers and pedal does not happen synchronously; rather, the pedal must follow the action of the fingers at a very short distance. This is almost like a physical "echo effect". If the pedalling occurs too early, the whole chord will be sustained instead of just its resonance. If it is too late, the resonance will have already disappeared. Such critical close coordination of fingers and foot can cause the pianist's hands and arms to become tense and so practice of this technique requires not only the coordination to be mastered but must also be coupled with relaxation of the muscles. Another aspect of this technique is that each chord will have two sound qualities. This is because of the relative dynamic of the played chord (*f*), and the softness of the resonance when caught by the pedal (*p*). This layered effect is built in to this music and is always marked in the score *fp* by Rzewski. The first is the real sound and the second is what can be called the resonance sound. Rzewski also takes care with the location of the pedal marking on the score and places it immediately to the right of each chord (see Figure 2 below). The same technique can be found in George Crumb's *Makrokosmos Vol. II: Gargoyles* (Crumb, 1973).

Var.5 V N.B. Dreamlike, frozen

*f* *ppp* *una corda* *tre corde* *f* u.c. *ppp* t.c. *f* u.c. *ppp* t.c.

(N.B.) Play chords staccato, then catch harmonics with pedal (N.B.) V = A mode of attack consisting of a swift, sudden grabbing motion in which not all of the written notes are necessarily played and some other notes may be accidentally struck; a little like picking berries, or fruit.

Figure 2. Variation 5, bars 1-6

### Coordination of Pedalling: gradually releasing the *una corda* pedal combined with extreme technical difficulty with repeated chords

Example: Variation 16

In the middle of this variation, Rzewski adds a new pedal skill, that of gradually releasing the “soft pedal” (*una corda*) to create a *crescendo* effect. In this instance, Rzewski has written a series of rapid chords in which he requires the dynamic level to increase from *pp* to *ff* and he clearly recognizes the difficulty this creates without the aid of the *una corda* pedal. A further consideration in the context of this moment in *The People United* is Rzewski’s recognition that the pianist will find it impossible to play this particular configuration of notes softly enough, particularly since there are many repeated notes contained within the chord sequence. The notes themselves constitute a great difficulty without the extra layer of *crescendo* which Rzewski requires. It is worth noting that Rzewski also indicates on the score that the pianist may “slow down if necessary”.

*mf* *cresc.* *f*

gradually release soft pedal

slow down if necessary

(tre corde)

Figure 3. Variation 16, bars 11 and 12

It is helpful to the pianist to measure the gradual release of the *una corda* pedal, one useful way being to measure a slight raising of the pedal in increments of, say, eight demisemiquaver chords. Unless this or some similar approach is adopted, the pianist may find that the *una corda* pedal is fully released too soon to make the *crescendo* effective. Other ways of measuring the incremental release of the *una corda* pedal could be equally effective. For example, a method which follows the musical contours of the outer notes in the right hand would make musical sense. The gradual “staging” of the release will require the pianist to develop, through practice, some idea of where, when and how much release will be necessary.

It is also relevant to mention that the sound quality is also transformed as the pianist releases the *una corda* pedal. The real nature of the *una corda* on a grand piano is to engage/disengage the resonance of one of the strings. The resultant sound is quite different, not only in volume but in quality as well.

The gradual engagement/disengagement of piano pedals is not unique to Rzewski. For example, George Crumb also uses the gradual depression/release of the piano pedal in *Makrokosmos Vol. II*, No. 1, *Morning Music*. In this instance, Crumb uses the sustaining pedal to achieve a gradual transformation of sound quality and volume.

### The wide skips combined with 2 against 3

Example: Variation 7

In this variation there is a serious difficulty for the pianist, partly because of the 2:3 ratio of notes but with a number of additional complications which Rzewski gives to the pianist. One of these additional difficulties is that the location in each bar of the syncopation between right and left hands continually shifts through the addition of quaver beats so that it is very easy for the pianist to become disoriented. Adding to this confusion is the fact that the duplet and triplet units are frequently passed from one hand to another. Finally, the pitches themselves incorporate wide skips which utilize the entire piano keyboard. This displaces the hands of the pianist (in a physical sense) and makes the rhythmic units even harder to master. Also, sometimes the triplets and duplets interact in such a way as to confuse the pianist even further (see bar 1, variation 7 left hand part). A solution which I came up with was to write by hand continuous semiquaver triplets and to play the notes of this variation against this visual pulse. The visual pulse then acts as a guide to prevent rhythmic inaccuracies in performance. The problem, in a nutshell, is that the performer needs always to know exactly where the pulse is located and Rzewski has built in a very strong temptation for the performer to shift the pulse around or to confuse pulse with division of pulse. One of the most significant discoveries that I have made as a result of preparing this music for concert performance is the idea that technical difficulties can relate directly to one's inability to play in time and that rhythmic confusion can add greatly to one's physical discomfort at the piano. Conversely, rhythmic security can assist the pianist to overcome other technical problems. Because of this, it is absolutely essential that the pianist solve the rhythmic difficulties as a first priority before tackling the problem of playing the correct notes. The rhythmic difficulties in variation 7 are at their greatest when there are fewer notes and more rests in the bar, such as in bars 1-6.



Figure 4. Variation 7, bars 1 and 2 (with rhythmic guidelines added)

From bar 17 the music becomes more disjointed in regard to the displacement of the notes all across the keyboard, and it is interesting to note that, at this point, Rzewski instructs the pianist to play "a little slower" to accommodate the wide skips with accuracy.

A final point relates to the need to maintain *legato* throughout (note Rzewski's slur markings) even though the notes are often far too wide apart to enable the pianist to join the notes with the fingers alone. Pedal has to be used very sparingly here because of the atonal harmonic context of the music.

### Soft playing for an extended period (*ppp*)

Example: Variation 9

In the first half of this variation the left hand chords repeat over and over a similar figure (each bar is subtly different) while the right hand plays an even more slowly unfolding part in which the chords themselves change. Because of the extremely soft dynamic levels, the technical requirement to play variation 9 successfully is to be able to play "inside the keys", that is, the fingers seldom leave contact with the keys so that the keys are depressed comparatively slowly.

Such soft dynamic levels are not uncommon in twentieth-century piano music, for example, the late piano works of the American composer Morton Feldman (Feldman, 1963). It is a relatively new (modern) piano skill to have whole sections of a work played at a continuously very soft dynamic level. Certainly, the assistance from the soft pedal is necessary and

Rzewski indicates on the score to use the *una corda* pedal. An extreme example of extended soft dynamics is in the *ppppppp* of the Ligeti *Etude No. 4 Fanfares*, which I will also perform in my final recital.

### Playing clusters and *glissandi* with the palm of the hand

Example: Variation 10

In variation 10, Rzewski makes a distinction apparently for musical reasons, between single note *glissandi* and *glissandi* involving multiple notes (clusters). Accordingly, sometimes the pianist's hand has to be turned over (*glissando* on finger nails) and sometimes it is the right way up so that the *glissando* is played with the palm. The musical effect of one method compared to the other is subtly different, which seems to be what the composer is seeking. The palm *glissandi* comprise between three- and five-note clusters and are extremely dramatic (see Figure 5 below, bar 2).

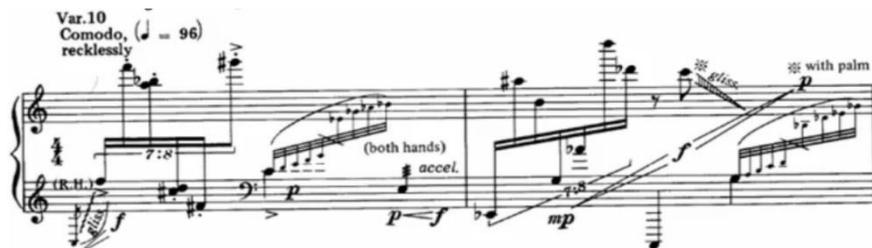


Figure 5. Variation 10, bars 1 and 2

In addition, bars 16 and 18 contain sudden palm clusters which explode from within the dramatic context of the music (see Figure 6).



Figure 6. Variation 10, bars 15-18

Sections of this variation also contain rapid and extremely varied dynamic shifts, for example, in bars 9-11 (in Figure 7).



Figure 7. Variation 10, bars 9-11

### **Slam keyboard lid, vocalization and whistle**

Example: Variation 11 and 35

Rzewski used three “external-to-the-piano” techniques in this variation:

**Slamming the keyboard lid** (Variation 11) NB. referred to as a rifle shot by Ralph Van Raat (Raat, 2008).

**Short vocal cry** (Variation 11 & 35) NB. the syllable for this is not specified by Rzewski - in performance the writer chose the syllable *ah!*

**Whistle** (Variation 11 & 35) NB. the pitch is given by Rzewski.

Slamming the keyboard lid appears to be a technique unique to Rzewski in this work and could represent a rifle shot which might be heard in a revolution. George Crumb uses vocalizations and whistling in a number of his works, for instance, vocalization in *Eleven Echoes of Autumn*; whistling in *Vox Balaenae (Voice of the Whale)* (Crumb, 1972). As is the case with *Makrokosmos Volumes I & II*, in *The People United*, Rzewski seems to be adding to the colour spectrum of the piano, though in Rzewski’s case the use of these devices is quite momentary.

The use of these three techniques adds an element of theatricality to the music and although such devices are not common in the music of Rzewski, indicating perhaps a strong orientation towards purely musical effects in his music, it has to be said that the occasions on which they do occur are certainly very memorable from a theatrical standpoint.

#### **“Slow down if necessary”**

There are a number of instances in *The People United* where Rzewski invites the pianist to “*slow down if necessary*”. Examples of this can be found in variation 4, 7, 8 and 16. In each of these cases it appears that Rzewski is telling the performer that the musical detail is of paramount importance and that he doesn’t want his musical intentions obscured by inaccuracies or omissions on the part of the performer. This instruction to the performer tells us quite a lot about what Rzewski values in his own music and although it is music of extreme technical difficulty, Rzewski places a premium upon musical qualities. It might be argued that Rzewski is engaged in two pursuits simultaneously, one technical and the other musical and in laying out the work in the way that he has, he is enticing the performer to approach this music with equal emphasis upon the technical development and musical values.

### **The sudden burst together with interesting rhythmic organization**

Example: Variation 17

Rzewski writes on the score “*RH: freely, roughly as in space, LH: strictly*”. He then added to the right hand part the comment “*each phrase like a sudden burst*”. For the first half of the variation the left hand is static while the right hand part has a varied number of notes per bar. These roles are later reversed, with the right hand taking on the static role while the left hand manipulates the rhythm.

However, when the music is looked at from a performance perspective, there is an additional difficulty which must be overcome. This is the problem of making a “sudden burst” of sound in the active part, while at the same time maintaining a fixed dynamic level in the other, more static part. There are also sudden accents marked in the active parts and these are problematic in performance, partly because the rapid tempo makes it difficult to achieve the extremes of dynamic contrast called for by Rzewski and partly because the other part (hand) must remain at a static dynamic level. The accents can really only be made by the fingers alone. The problem is also one of sudden physical tension and the equally sudden release of tension. The best way to achieve this, for example in the first half of this variation, where the prevailing dynamic is *pp*, is to start with both right hand and left hand perfectly relaxed and then practice making the accents and *crescendo* in the right hand while maintaining relaxation in the other hand. This takes a great deal of concentration so that any tension which occurs as a result of the accents and *crescendo* is quickly released in order to ensure that both hands and arms return immediately to a relaxed state. An additional layer of difficulty is found in the changes from *legato* to *staccato*. The addition of *staccato* alternating with *legato* reinforces the idea that *staccato* is really only a letting go of the note rather than a particular type of downward attack upon the note. Note also that pedal cannot be used in this variation because the continuous quaver parts are quite chromatic.



Figure 8. Variation 17, bars 4–7

### The irregular staccato (fast tempo)

Example: Variation 19

As has been previously noted, variation 19 is the beginning of a new section which might equate to a development section in a sonata structure. Rzewski's approach is to introduce different and new figurations at this point. This variation is also of considerable difficulty, which is brought about by a combination of fast tempo, a very wide range of notes that encompass the entire keyboard, *staccato* articulation and the placement of accents in odd places such as on the final quaver of a bar or on some other off-the-beat location. The fingering patterns in this variation are also extremely awkward. The music is always *forte*. The existence of the accents requires a very deliberate approach by the performer because although the overall dynamic is *f*, there has to be enough sound in reserve to enable the pianist to make the required accents strong enough.



Figure 9. Variation 19, bars 1-6

This variation also requires that the performer develops an understanding of the fact that accents are not only made by the exertion of extra effort but equally are made possible by limiting to some extent the dynamic level of the surrounding notes. If one is going to have an accent on a certain note one must ensure that the surrounding notes are played in such a fashion that they do not obscure the accented note.

### Contrary-Motion and Rotation; Controlling Dynamics

Example: Variation 21

This variation is written in a very regular way with the right and left hands doing exactly the opposite from one another. This emphasizes in a very physical way a continuous rolling action between the outer parts of each hand (third, fourth or fifth fingers) and the inner parts (thumbs). In order to achieve the right effect and to manage this variation without undue muscle fatigue, one must gain an understanding of the fact that there are limits to the amount of volume that can be produced by

the individual notes. Rather, one must rely upon the cumulative effect that the notes in combination will produce (together with the pedal). In essence, the pianist should play it all between *p* and *mf*, according to the *crescendo*/*decrescendo* directions. The accents which are marked on the score require an additional rotation motion so that the keys of the piano where the accents occur are approached from well above the key itself. See Figure 10, below:



Figure 10. Variation 21, bars 1-4

### Variety of dynamics combined with speed

Example: Variation 27

The technical characteristic of this variation is that of quaver running passages in both hands but with an extreme range of dynamic change, such as from *pp* to *ff*. The basic finger position has to be on top of the keys so that the fingers maintain their contact with the key surface virtually all of the time. The pianist must then develop sufficient skill to produce the required louder dynamics by limiting the extent to which the fingers are allowed to move away from the surface of the keys. It is realized that the louder sounds are produced by lifting the fingers higher off the keys but the extent to which this is done must be strictly regulated by the pianist.

*Crescendi* and *diminuendi* must be incorporated as well, but the adjustment to the fingers to accommodate these dynamic changes must be subtle and not overdone. The atmosphere must be stormy as this variation (the longest of the entire work) is the climax of the entire piece. To assist with achieving this effect, Rzewski also calls again for the *una corda* pedal to be used, instructing the performer to gradually release it for the dynamic shift from *mp* to *f*.



Figure 11. Variation 27, bars 61-71

### Summary

The pianist David Burge has summarized *The People United Will Never Be Defeated* in the following words:

*Technically, the work is of paramount difficulty. The widespread arpeggios of variations 16 and 18, the Chopinesque sextuplets of variation 21 (marked, correctly, "uncompromising" by the composer), the fast, exposed triplets in variation 22 and 24, and the long double-note passage at the end of variation 27 demand complete pianistic skills (Burge, 1980).*

For the author, the most challenging aspects of this work are:

Extremely awkward fingering patterns (unnatural patterns that do not lie easily under the hand).

Rapid chord playing such as on page 35.

Wide skips that cover the entire piano keyboard and must be performed with accuracy.

The stamina required to play a piece of this size and complexity.

The difficulty of switching rapidly from one characteristic to another and from one keyboard technique to another.

However, Rzewski's own video recording (Rzewski, 2008) of this variation represents an unusual phenomenon is that he never follows his own music markings during the performance. Perhaps this phenomenon shows that composer himself has absolute right to revise his composition under any circumstances. No matter what he does for this piece, there is nothing wrong with this master updating on the attractiveness of this variation.

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## Challenges of Grading in an ESP Course

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### Abstract

This paper deals with the drawbacks of the existent grading system in the English for Specific Purposes course and the suggested solution to this problem. The main difficulty concerns the fact that in Ukraine the CEFR level is not mentioned in the transcript of the university diploma containing the list of the courses and their grades. This is the reason of impossibility to split students into groups according to their initial level of English language competency and give them an opportunity to develop at an appropriate pace and rate. Thus, we can not completely meet the needs of our students, although satisfying the learners' needs is the key point in an ESP course. This discrepancy pushed us, ESP practitioners, to reconsider our approach to the grading system in an ESP course. We have suggested a system of level ratio that may be applied while calculating the final grades of the students. The introduction of this system may eliminate the outlined problem and enhance motivation of university students in an ESP classroom. In this paper we have described the mechanism of level ratio application, depicted the advantages of the suggested theory and outlined possible problems that can appear.

**Keywords:** grading, level ratio, fairness, transparency of grades, motivation, needs, CEFR, European Credit Transfer and Accumulation System, assessment, English for Specific Purposes

### Introduction

In any English for Specific Purposes (ESP) course, assessment should reveal some relationship between the language, subject-related skills and knowledge that a person needs to master in order to perform efficiently in the professional environment.

The reasons for assessment are grouped under 2 main headings: for feedback to aid learning and for a comparable measure of competence (Dudley-Evans, T. & St. John, M. J., 2013, p. 210). And when assessment is regarded as "a process of measuring" (Dudley-Evans, T. & St. John, M. J., 2013, p. 210), grades come into the foreground of educational process.

Ukraine has been a full member of the Bologna Process / European higher education area since 2005 (Members, n.d.). Therefore, Ukrainian higher education institutions make use of the European Credit Transfer and Accumulation System (The ECTS Tables and Grading Scale, n.d.), which is "a tool for making studies and courses more transparent and thus helping to enhance the quality of higher education" (ECTS Users' Guide, 2015, p. 6), "designed to facilitate the transfer of academic results (expressed in terms of grades) between different national assessment systems" as they "allow the conversion of the grades from one country into grades used in another country, following common European rules" (The ECTS Tables and Grading Scale, n.d.).

Nowadays grades are not a mere formal requirement. Depending on the grades students may be obliged to retake some exams, be more or less successful when applying for a job, and, above all, their motivation and self-confidence are either enhanced or undermined. What is more, transparency of grades is significant regarding the current growth of academic mobility programs as level of performance influences students' access to further studies, grants or other benefits (ECTS Users' Guide, 2015, p. 39). Hence, fairness and standardization of grading are vital.

### Methods

The study required the application of the following methods: *hypothetico-deductive* method was used to formulate the theory that accounts for the results obtained via direct observation and enables to predict further effects to be verified or disproved by empirical evidence; *comparison* was necessary to correlate the existing grading system with the suggested one; *analysis*

and *synthesis* were applied to identify the relations between the existing grades and the introduced ones regarding the level ratio, *induction* helped to summarize the prospects for the usage of the suggested level ratio for grading, *quantitative* method was used to calculate the ratio.

## Results

Every year, when yesterday's school leavers enter our universities we encounter one and the same problem: their level of the English language competency ranges from A1 to C1. There is no opportunity to split them into groups according to their level. The reasons are as follows: we do not indicate the level according to CEFR classification in the transcripts to the diplomas; the only two things are mentioned there: the name of the course – English for Specific Purposes and the grade. Therefore, if we do streaming, split students into different groups according to their level, use course books of the appropriate level, we may face an unfair situation, when an A2 level student has higher grades than a B2 level student, whilst his or her knowledge and skills are much lower than those of the B2 level student. This may influence not only the result of the competition among students for the right of having scholarship, but later it can cause the situation of misleading the future employers and other stakeholders about the real competencies of this or that graduate.

Besides these challenges the existent assessment system does not allow to pay respect to students' needs, which are considered to be of paramount importance in an ESP course. Moreover, this situation decreases motivation of learners and, as a result, leads to lower productivity, time and effort waste.

All the above mentioned difficulties pushed us to reconsider our approach to assessment in the ESP course. If we can not change the state standards of filling in the transcripts of the diplomas, we can change our approach to calculation of the final grades. Thus, we suggested introducing a level ratio corresponding to each CEFR level. In our opinion, it would be more beneficial for the students to be split into groups according to their level and to have their final grades calculated using level ratio application, as it is shown in the following table.

CEFR Level	Course book level	Level Ratio	Correspondence of the obtained grades to the level ratio											
			100	95	94	90	88	83	79	75	71	67	63	60
C1	Advanced	1	100	95	94	90	88	83	79	75	71	67	63	60
B2	Upper-intermediate	0.95	95	90	89	86	84	79	75	71	68	64	60	-
B1	Intermediate	0.9	90	86	85	81	79	75	71	68	64	60	-	-
A2	Pre-Intermediate	0.85	85	81	80	77	75	71	67	64	60	-	-	-
A1	Elementary	0.8	80	76	75	72	70	66	63	60	-	-	-	-

### Symbols:

Green numbers – grades obtained by the students during the term according to the traditional ECTS system

Blue numbers and red numbers – final grades put into student's record book in accordance to the level ratio

Red collar depicts minimal points necessary for getting excellent (90), good (75), and satisfactory (60) grades

### Calculation:

The final grade put into student's record book = grades obtained by the students according to the traditional ECTS system × **level ratio**. The final result is rounded according to the mathematical rules.

### Example:

If a student from the group of **B2 level** gets 90, the calculations are as follows:  $90 \times 0.95 = 86$ . So the student gets 86 grades into his/her record book.

If a student from the group of **B1 level** gets 90, the calculations are as follows:  $90 \times 0.9 = 81$ . So the student gets 81 grades into his/her record book.

*Range of final grades for the students of different levels:*

A1 level: from 60 to 80  
A2 level: from 60 to 85  
B1 level: from 60 to 90  
B2 level: from 60 to 95  
C1 level: from 60 to 100

The suggested grading system has the following *advantages*:

Fair distribution of grades among students of different levels

Elimination of the risk that strong students with lack of motivation join the lower level groups for the sake of higher final grades

Higher motivation for lower level students to do well in order to be able to join the higher level groups with opportunity to get higher final grades correspondingly

Opportunity for the students of the same year of study to join the group of appropriate to their skills and knowledge level, despite the fact that the level is not mentioned in the transcript of their diploma

Better meeting the students' needs

Meanwhile, this system has a few *disadvantages*:

Level ratio needs scientific justification and further elaboration.

There is some evidence of discrimination of A1 and A2 level students in terms of their impossibility to get an excellent grade (90), at least while they are a part of Pre-intermediate or Elementary groups.

## **Conclusions**

The existent assessment system in an ESP course is far from ideal. Therefore, it really needs reconsideration by the competent experts including front-line ESP practitioners. In this paper we suggested our way out of the situation, when students and teachers suffer from lack of opportunity to work in groups of the corresponding level and still have the system of fair and valid assessment. Undoubtedly, the system of final grade calculations in accordance with level ratio needs further elaboration, however, its introduction may be beneficial for the learners in terms of motivation, reasonable amount of challenge and fairness.

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## Tangible or Intangible Ways to Happiness? Consumption Related Values Among Adolescents

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### Abstract

In recent years a large number of consumer studies focused on happiness, subjective well-being and satisfaction with life in relationship with material or experimental consumption. Most of the studies applied statistically reliable validated scales and measurements involving large numbers of respondents. There are only a few study that aimed to answer the meaning of happiness or satisfaction and their reflections in adolescents' consumer behaviour at the present time. Due to the less represented academic literature in that area and the controversial results of our previous quantitative research on materialism we decided to conduct a qualitative research to investigate the meaning of happiness among adolescents in Hungary. Our non-representative sample consisted of students from 5 different high schools in 3 cities including Budapest. Respondents took part in in-depth interviews, peer interviews and worked in groups in associative experiments. According to our findings physical goods and material consumption contribute less to the individuals' sense of happiness and interpersonal relationships are more appreciated. The teenagers of our sample showed signs of material emptiness, since possessing things were unimportant for them Family, stable personal relationships and safety were very significant among their values. Their consumer behaviour was influenced mostly by the need for gaining experiences rather than need for acquisition and possession of tangible goods.

**Keywords:** tangible or intangible ways to happiness, consumption related values among adolescents

### Introduction

In consumer society human needs are satisfied through the acquisition, possession and the use of goods or the consumption of services. In recent postmodern age the consumption is not solely about need satisfactions but the expression of individuals' social and economic state. The ways and costs of the act of consuming are the reflections of the consumers' income and position in social order. Their consumption related desires or dreams predict future lifestyles and life trajectories. Naturally the consuming power and potential gain individuals' satisfaction with life and sense of wealth. The consumers' perceived economic state – that can be described by their consuming potential – may increase their satisfaction with life. This is a relatively constant state of existence owing to pervious achievements, successes and goals realized. In opposite of satisfaction happiness is rather a joyful emotion-driven moment, a temporary feeling of endless pleasure. The length of this moment is variable and it is very fragile. Happiness functions as flows in someone's life (Csíkszentmihályi, 2002). Undoubtedly happy moments and flows contribute to the satisfaction with life. Today's culture of consumption is ruled by the desire for acquiring newer and more goods. Possessing the latest versions are often considered as one of the source of happiness and through the mass media, social media and advertisements it is strongly connected with satisfaction with life. *Whether what is the role of material goods in consumers' feeling of happiness and satisfaction with their life?* This was one of research perspectives in recent study. On the other hand the role of values in consumer behaviour was another perspective. In several value concepts happiness is a terminal value or preferred state of existence. Instrumental values are helping individuals to achieve terminal states. Materialism is the individuals' attachment of worldly possessions described and investigated through personal traits like possessiveness, non-generosity and envy (Belk, 1983) or acquisition centrality, success and happiness (Richins-Dawson, 1992). Due to its organizing function and power on everyday activities, decisions or lifestyle, materialism can be considered as an instrumental value. *Whether materialism, possessiveness and acquisitiveness are gaining happiness?* The relationship between values, materialism and happiness was investigated among teenagers. Adolescence as a crucial liminal transition in individuals' life is a proper age for observing the influence of material possessions and consumerism. Earlier a large number of consumer studies focused on happiness, subjective well-being and satisfaction with life in relationship with material or experimental consumption. Most

of the studies applied statistically reliable validated scales and measurements involving large numbers of respondents. There are only a few studies aiming to answer the meaning of happiness or satisfaction and their reflections in adolescents' consumer behaviour at the present time. Due to the less represented academic literature in that area and the controversial results of our previous quantitative research on materialism was decided to conduct a qualitative research to investigate the meaning of happiness among adolescents in Hungary.

### The role of values in consumer behaviour

Human values are the drivers of behaviour and determine personal goals, aims and perspectives. According to Schwartz values play a significant role in people's life influencing their lifestyles and emotions (Schwartz, 2006). In Rokeach's definition value is an enduring belief, a specific mode of conduct or end state of existence (Rokeach, 1973). Attitudes are similar like values but less strong predictors of human behaviour moreover values are more stable concepts over time (Varga, 2003). Morris distinguished three varieties of values based on their capability to influence human behaviour and defined *inherent*, *conceived* and *operative* values. The *inherent* values drive individual behaviour, while *conceived* mean the preferred state of existence. The *conceived* values often represent contradictions, people know and understand the ways to be more satisfied, happy or healthy but they do only a few or no efforts to realize a better state of existence. The *objective* values are related to the objects, materials and physical assets those are necessary to survive or be well (Varga, 2003). Rokeach involved a bilateral set of values and created the concept of *terminal* and *instrumental* values. Terminals cover the preferred states of existence such as happiness, freedom or wisdom. Instrumentals are the ways to reach the preferred states like brave, intelligent or reliable (Hofmeister, 2014). The Rokeach Value Survey (RVS) consists of 18 terminal and 18 instrumental values to rank by respondents. Although RVS was the first instrument to measure the importance of individuals' value system, it was criticized due to the multiple meanings of values (GibbinsWalker, 1993). Among others Kahle and her co-authors also developed the List of Value (LOV) set from the theoretical base of Feather (degree of motivation), Maslow (hierarchy of needs) and Rokeach Value Survey (Kahle et al. 1984). LOV consists of 9 values: *being well respected*, *excitement*, *fun and enjoyment*, *security*, *self-fulfilment*, *self-respect*, *sense of accomplishment*, *sense of belonging*, *warm relationships with others*. LOV items can be distinguished on the internal and external nature of control. Externals are the *security*, *sense of belonging* and *being well-respected*, the rests are internal values. According to the role of personality in fulfilment, LOV items can be interpersonal (e.g. *warm relationships with others*) or personal values (e.g. *self-respect*). Among value researchers Hofstede was the first who found quantitative evidences on the differences of values between cultures. He characterized 6 dimensions: *power distance*, *individualism or collectivism*, *masculinity or femininity*, *uncertainty avoidance*, *long or short term orientation*, *restraint*. (Hofstede Hofstede, 2010) These 6 dimensions are appropriate to characterize a national culture and distinguish it from others. Hofstede's concept was successfully applied both in business practices and academic researches. Hofstede has also drawn up an onion shaped model that represents how a value functions in everyday livings, practices, decision-makings or preferences. Values are the core, the first layer consists of rituals (mode of living, routines) heroes (people admired performing rituals excellent) and symbols (objects manifesting the meaning of inner layers). Inglehart is credited with his foundational work on the theory of value change linked to assessing materialism (Hofmeister-TóthEibel-Spányi, 2013). In his book *The silent revolution* (Inglehart, 1977) characterizes the nature of consumer society development. He argues the values in society are changing towards an emancipatory way instead of the direction of conventions or traditions. Owing to consumerism the self was placed into a centred position and the former value order that directed the individuals' decision and behaviour became powerless. On one hand this phenomena can be explained by the consumer hedonism (Campell, 2005) that means the lasting satisfaction of needs is impossible due to the consumer's weakness against market impressions, he wants more and more and desires the latest goods or services. On the other hand the sellers on the market are interested in launching newer lines in order to force their consumers to buy again their products. In postmodern societies the self is described as a consumer with his potential. Individuals create their future ideal selves as consumers then they find ways to realize it, instead of modernity's profession or calling driven life trajectories (Bauman, 1991). Instead of ensuring tomorrow the "*here and now*" catchword determines consumer decision-making. The clear sign of success is the potential and readiness for immediate consumption. Thus consumerism and its parallel developing with post-modern culture gained the importance of material goods in consumers' sense of satisfaction with life, well-being and happiness.

### Materialism as a value

Beside other disciplines marketing also considers values as strong predictors of human behaviour. Consumption studies confirmed the reflections of values in consumer behaviours: pre-decision, decision and post-decision stages as well. In consumer society human needs are satisfied mainly through buying goods or services. The formation of consumer society had been accelerated during the industrial revolution in the 19<sup>th</sup> century. The market and social development fundamentally

changed the relationship between human subject and material object. The first impacts were the changes in the value in-use and in-exchange of material goods; the anthropomorphisation of commodities (Marx) and the diversity in consumer habits at different social layers (Veblen). From the early 1900's until the '60s consumerism related theories had been divergent. The consumption as the object of investigation was placed into the context of psychological processes (Freud and his followers), religion (Weber), philosophy (Hobhouse, McDonald), social order (Tawney) modern life (Benjamin) gift theory (Mauss) and mass culture (Adorno, Horkheimer). Between 60s and 80s consumers as individuals had been highlighted and examined according to their daily routines and latencies behind (Fromm, Riesman, Lefebvre). The 1980s predetermined the rest of 20th century consumption studies. Pierre Bourdieu's work *Distinction* (1987) has become a basic literature for researchers but McKendrick's *The Birth of Consumer Society* (1982) and Collin Campbell's *The Romantic Ethic and the Spirit of Modern Consumerism* (1987) also achieved success and popularity among academics. In the 80s a new paradigm was formed materialism.

Earlier it was defined as a mind-set, an interest in getting and spending (RassuliHollander, 1968) or a cultural system in which material interests are not made subservient to other social goals (Mukerji, 1983). Csikszentmihályi distinguished two types of materialism: instrumental if the material objects are essential for discovering and furthering personal goals and values. Terminal if consumption furthers no goal beyond possession itself (CsikszentmihályiRochberg-Halton, 1978). Based on a remarkable review on different literature in the context of material goods, Russel W. Belk emerged three questions (Belk, 1983): Is acquisitiveness unavoidable? Is possessiveness unavoidable? Does altruism exist? Belk selected personal traits as *possessiveness, non-generosity and envy* to develop his instrument to measure the level of materialism. In his interpretation materialism is the importance a consumer attaches to worldly possessions (Belk, 1984). Belk's materialism scale became successful among academics and marketing specialists. Later Richins and Dawson retested previously published materialism scales and found them unreliable except of Belk's scale. During the development of their own scale they placed emphasis on the psychometric properties of the scale. Previously Fournier and Richins argued materialism is inseparable from people's mind-set and acquisitiveness and possessiveness are primary important in the determination of people's lifestyle or the relationship with others. (FournierRichins, 1991). According to them materialism is a value that guides people's choices and conducting in different situations but not only in the context of consumption. Due to the organizing function of acquisition and the prioritizing material possessions in life, materialism is definitely a value (RichinsDawson, 1992). With respect to general preferences materialists may work longer time instead of leisure, or tend to earn more money in order to realize their material desires. (RichinsDawson, 1992). Based on several previous findings they denoted four special characteristics of materialist people: for materialist the *acquisition and possession of things* is more important, they are *self-centred, less satisfied* with their life and *aim material complexity* rather than simplicity (RichinsDawson, 1992). According to their propositions and as the results of scale development and item refinement Richins and Dawson proposed to measure materialism through three dimensions: *success, centrality of material possessions and happiness*. Ten years later Tim Kasser published his book *The High Price of Materialism* (2002) reaching popularity among academic and non-academic readers too. Based on his experiences as a psychologist, Kasser highlighted materialism as the antecedent of subjective well-being, psychological needs, happiness, uncertainty or self-esteem. His work was a reflection on the dilemmas, problems and constraints in North American lifestyles. Kasser criticized post-modern capitalist culture, the misleading marketing and advertising campaigns, and the superficial and material life goals leading individuals to personal crisis and disorders. In their previous scientific works with Richard Ryan they developed Aspiration Index by which they found evidences on the importance of materialism among values. According to them materialism is a value based on the desire of wealth, possessions, image and social state. Kasser derived general conclusions about the negative impact of materialism on physical and mental well-being, vitality and self-fulfillment, susceptibility to depression, anxiety and the sense of happiness. Most of these variables and their relationship with materialism are examined in latest interdisciplinary scientific studies.

### Tendencies in researching materialism

In the last 8 years published studies in materialism related topics are based on the conceptions of Belk, Richins-Dawson or Kasser. Between 2010 and 2017 there were more than 120 reviewed articles in this field. These papers can be classified into 3 groups namely *consumer habits, subjective well-being and satisfaction with life* (Debreceni, 2018). Studies on consumer habits are about compulsive buying, luxury-, experimental and status consumption. Compulsive buying is a response to an uncontrollable drive or desire that leads an individual to repetitively engage in a behaviour (such as buying) that will ultimately cause harm to the individual (Weaver et al. 2011). Its relationship with materialism is proved (Moschis et al. 2013; Gardasdóttir Dittmar, 2012; Weaver et al. 2011) and it can be intensified by personal traits such as narcissism (Harnish Bridges, 2014). Luxury consumption means the preferences towards luxury brands, products. Luxury consumers are usually more materialist and in a short term they are more vital and satisfied with their life (Hudders Pandelaere, 2011)

but luxury can influence other choices and preferences too (Audrin et al. 2017). Experimental consumption is the opposite of material consumption aiming to gain experiences, insights, personal involvement. Experimental consumption fosters positive self-perceptions, gains subjective well-being (CarterGilovich, 2012) and contributes more to the sense of happiness than material consumption (Zhang et al. 2014). Status consumption is driven by the desire to possess and use status symbols. Status consumption has a mediatory role between status consumer and its environment (Goldsmith Clark, 2012). Rather materialist people are prone to consume status symbols, are more innovative and have strong brand identity (Flynn et al. 2016).

Variables in connection with materialism detailed above are decisions or subordinated to consumer decisions. In contrast subjective well-being is temporary state of someone which includes satisfaction with life, past decisions and personal development. Based on Kasser's concept scientific studies found more materialist people are less satisfied with their life (Jiang et al. 2016), in other words not-superficial but higher-order values and life goals contribute more to the well-being (MartosKopp, 2012). Material orientation can lead to constant dissatisfaction (Deckop et al. 2010), for instance compulsive buyers are not satisfied in the least with their life (Villadefrancos Otero-Lopez, 2016).

Resarches involving Hungarian samples found materialism negatively associated with satisfaction, subjective well-being or happiness. According to Szondy (2007) material possessions contribute less to the sense of happiness over a basic level of need satisfaction. Pikó (2006) applied Richins-Dawson materialism scale and found satisfaction with life positively associated with material success and negatively with happiness. Based on a representative sample, Hofmeister and Neulinger proved generational differences (HofmeisterNeulinger, 2013). Respondents born in the era of socialist regime were characterized with a higher level of possessiveness but generous in opposite of less materialist respondents born after the change of regime. In this context the level of materialism can be influenced by the social-political environment. In that study Hofmeister and Neulinger compared responses settled in two time periods with 7 years difference. They found evidences on the development of consumerism for instance renting and leasing became known and more accepted constructs.

### **An exploratory study design**

In consideration of the latest materialism conclusions, the characteristics of Hungarian people, the impact of values as predictors and the importance of liminal transitions in changes in values (Weber, 1915) an exploratory research was designed proposing the following two research questions:

*RQ1: What do materialism related constructs mean to teenagers: money, success, happiness, status symbol, experience, satisfaction and materialism?*

### **RQ2: What other interrelationships can exist?**

In recent research adolescents were chosen as target group because adolescence – as a liminal transition – is a very important life period regarding the consumer socialization (John, 1999). Instead of a static rigorous method a dynamic interactive based method was conducted. It may worsen reliability, repeatability and generalizability features of the study but provides more insights into the phenomena which is examined usually in a quantitative way. Recent study consisted of three different but interrelated stages. The first stage was a set of semi-structured in-depth interviews in one-to-one and in peer group formations. The structure was based on life goals, satisfaction with life, values, happiness, importance of money, materialism. Interviewees could explain their views and perspectives in a narrative way. The second stage was a peer work exercise taken by a high school class. Participants were sorted into 3-4 person groups and their task was to find as many associations as they could in connection with the items of List of Values Kahlet et al. 1984) and materialism. Then they had to cut off the half of their findings and retain the most relevant ones. As a last step they had to sort the retained association according to their relevance. Each group had to characterize 2 different and 3 common items. These 3 were the *security*, *sense of accomplishment* and the *materialism*. The last is given by the research aim but the 2 values are common because in our previous quantitative study *security* was found the most while *sense of accomplishment* the least important value among teenagers (DebreceniHofmeister, 2018). The third stage consisted of a similar associative task but instead of values it included materialism related definitions, namely *money*, *success*, *status symbol*, *experience*, *happiness* and *materialism*. There was an additional exercise done during in-depth interviews in one-to-one and peer group formations, it was a photo collage. From a set of images (*people*, *material possessions*, *achievement*, *sport* and *leisure* categories) the respondents had to select those photos that contribute the most to their sense of happiness (ChaplinJohn, 2010) Due to the age of respondents luxury consumption and compulsive buying could not be examined. These two constructs belong to those people who earn their own money and have a remarkable spending power. Students in Hungary are depending on their parents' income and their spendings can be characterized well (Pál, 2013) nevertheless regarding the Hungarian

society only a less than 1% can afford luxury consumption (Tóth, 2016). Beside luxury consumption compulsive buying was excluded because it is related to the field of psychology.

### Sample characteristics

Stage	City	Type	Method	Instrument	Respondents		Date
					Female	Male	
I.	Budapest	Vocational school	In-depth interview	Terminal and instrumental values	1	2	29.01.18
			One-to-one		2	1	29.01.18
			Interview Peer group				
	Győr	Vocational school	In-depth interview	Materialism Satisfaction with life	2	-	06.04.18
			One-to-one		5	1	06.04.18
			Interview Peer group				
II.	Nyíregyháza	Highschool	Associative task in class work	List of Values Materialism	15	18	16.05.18
III.	Nagykálló	Vocational school	Interview+collage	Materialism Happiness Satisfaction	3	-	30.05.18
			One-to-one		1	2	30.05.18
			Interview+collage Peer group				
	Nyíregyháza	Highschool	Associative task in class work	Materialism Experience Satisfaction Status symbol Money	41	8	30.05.18
			Interview+collage		3	-	31.05.18
			One-to-one		1	2	31.05.18
			Interview+collage Peer group				
<i>Total</i>					78	34	-

Source: own edition

Since secondary school students were targeted, the construction of the sample was difficult due to two reasons. One is the strict rigorous school year and scholarship in Hungary the other reason was the schools' willingness to participate in the research. Thus the sample analysed is a convenience sample involving those schools those gave the permission to ask students. The three stages were performed in January, April and May in different schools. Between these dates the research design was re-evaluated and developed, this made the design dynamic but less repeatable. The reason of geographical diversity of the sample is Budapest as the capital city is the statistically richest and most developed area of Hungary provides excellent examples on metropolitan influences. In order to balance inequality between regions we selected Győr, as the second most developed city of the country and the Eastern part of Hungary (Nyíregyháza and Nagykálló) which is one of the least developed regions. The terms highschool and vocational school mean two different secondary schools. In Hungarian education system highschool is the institute providing general knowledge, preparing for an excellent maturity exam and the doorstep of science universities. The vocational school also enables students to perform maturity exam but there are subjects around a given profession and students usually starts to work after secondary school years, only a few of them apply for higher education. The dates of interviews and tasks and the number of respondents are summarized in table 1.

Table 1 Interviews and associative task summary

### Research findings

#### First stage

Respondents were asked to rate 24 values according to the importance and the realization in everyday life.<sup>1</sup> (Hofmeister-Tóth, 2009) Among the six most important values (*family, health, honesty, sincerity, satisfaction, progression*) only *honesty* and *satisfaction* were among the top realized values. *Health* and *progression* showed big discrepancy regarding their

<sup>1</sup> Health, family, security, happiness, honesty, vitality, sincerity, harmony, freedom, satisfaction, autonomy, wealth, charity, order, intelligence, performance, progression, success, frugality, fun and enjoyment, originality, education, being respected, modesty

importance and realization. Although *success* was not one of the most important values but it was the least realized one. We assume it is in strong relationship with *progression*. Respondents explained they would like to be successful but in their current state they still could not realized the way to success. They feel they should do a lot and be improved for success. They perform well in their relationships with other it is not surprising that *honesty* and *family* are top ranked values. In general the 14 students of the first stage feel themselves happy saying interpersonal relationships contribute more to their sense of happiness than material goods. Money does not lead them directly to happiness but it is necessary to satisfy basic needs. One of their answer on the quations “Does money make people happy?” represents well their opinion: „No, because money can make happiness only visible. Unfortunately many believe they are happy because they have got everything but in fact their relationships with family, friends are not the best and this whole is just an illusion.” (Female, age 17, Győr) Material possessions and tangible goods are not important for them. However they consider certain goods, the ability to spend and the freedom of consumer choices as meaningful features and they say the world today is rather materialist. During each interview smart phones and phone brands had a central role in interpretations, these can be considered as status symbols of this cohort. Although the brand and quality of phone possessed were not important for respondents but the role of personal properties is significant: „I felt myself happy when I could buy my phone from my own money collected first time in my life. I worked for it, I deserved for it, so I take proper care of this. When I just received one that was not so worthy, moreover it belongs officially to me, the possessor is me.” (Male, age 18, Budapest)

### Second stage

In the next phase of the research we aimed to define the values by teenagers. One highschool was selected as a field where List of Values (Kahle, et al. 1983) was conducted<sup>1</sup>. 33 students worked in 3-4 person peer groups. In each group participants had to find associations to the values given as detailed above. Participants considered *being well respected* as success and *progression* in the field of studies and work, while the *security* meant the protection of possession and family. *Materialism* was rather associated with frugality. Regarding the rest of the value set *fun and enjoyment* was identified as experiences with friends, *self-fulfilment* was connected to life goals. Among the most relevant – last step of associative exercise - meaning of *being well respected* was the success in work, *safety* was the family and *materialism* was equal to frugality.

### Third stage

As the last phase of the research peer group associations and in-depth interviews combined with photo collage method were taken in a highschool and a vocational school. In accordance with previous findings respondents confirmed the less important role of material goods for the sense of happiness.

### Peer group associations

According to the research design participants collected all the relevant associations with **money, success, happiness, status symbol, experience and materialism**. As represented in table 2 respondents wrote the most associations with happiness and the least with materialism. The associations were the most concentrated in case of happiness because 55% of the findings were the same or with similar meaning. Despite of the small number of associations materialism and status symbol were the least concentrated so the notion of students was far-reaching. These results confirm the expectation that teenagers do not consciously use status symbol or this definition is not obviously clear. On the other hand materialism is rather about the people’s relationship with money. The success, experience, money and happiness terms were interpreted similarly or with the same meaning.

	Money	Success	Happiness	Status symbol	Experience	Materialism
Total number of associations	87	86	91	68	76	53
Number of associations without similarities	45	50	41	41	39	39
Proportion of similar associations	48%	41%	55%	39%	49%	26%
Associations occurred more than twice	9	11	9	5	6	3

<sup>1</sup> Being well respected, excitement, fun and enjoyment, security, self-fulfilment, self-respect, sense of accomplishment, sense of belonging, warm relationships with others

<i>Proportion of associations occurred more than twice</i>	60%	65%	60%	36%	67%	33%
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Source: own edition

Table 2 Summary of third stage associations

**Money** associations can be grouped in three categories: *acquisition* (e.g. work, salary), *spending* (e.g. shopping, some kinds of goods) and *state of existence* (e.g. richness, being successful). Since respondents mentioned work 13 times – work was the most frequent among all findings – we can assume that work, job, further carrier dominate the students' notions about money. Among the associations occurred minimum twice the most were related to spending mainly everyday material possessions such as *car, food, appeal, house*.

**Success** findings also can be formed into three groups: *external confirmation* (e.g. acknowledgment, reward), *inspirations and achievement* (e.g. victory, studies, driver license) and *work* (workplace, carrier). Inspirations are firstly manifestations of personal achievements (e.g. maturity exam, good grades, driver license) secondly are general (happiness, studies, life goals), thirdly are related to rivalry (victory, competition). Although money is not definitely connects to these subgroups, it is also frequently mentioned under success. Thus we cannot exclude the interpretation of success as material success or wealth. If we consider money-work-success relationship we can derive a conclusion about teenagers perception: the more the salary the more acknowledged the professional can be the signs of success.

**Happiness** items also can be grouped into three subgroups: *relationship with others* (e.g. family, friends), *possessions* (e.g. money, food) and *success related items* (e.g. success, life goals). The associations occurred more than twice are *friends, family, love, marriage, children*. Based on the sample analysed we can assume that happiness is strongly connected with interpersonal relationships.

**Status symbol** was hard for respondents to define through association. Nonetheless two interpretations seem to be characterized. First is obviously the *material possession* including *car, phone or jewelry*? Second is *personal trait* category such as *ability to lead, managing a business or being successful*. Probably these personal traits can be important for the legitimation to possess status symbols or simply being or deserved for status symbols.

**Experience** associations can not be categorized as above but there is a tendency towards *enjoyment* that was mentioned 11 times. The second most frequent were the *trip and holiday*. Beside the forms of entertainment and gaining experiences there were personal associations such as *friends or family*. These confirm the central role of personal relationships. Instead of "what?" and "where?" questions the "with whom?" is the most relevant.

**Materialism** associatons can be categorized as *spending* and *money*. The spending includes general but expensive things as *house or car*. House and car can be considered as points of references in the age of adolescence. The reason behind can be that these two things are clearly visible evidences of someone's economic state. These are general enough – most of the people or households possess them – and the more expensive the possession the better the economic conditions. This relationship seems to be unambiguous for teenagers. Thriftiness and savings rule the money category. We can derive a conclusion that being materialist means rather frugality or someone who saves money rather than being attached to material goods. A relevant question is that *what do they want to spend the saved money on?* In this context materialist must have future goals with money, wheather *is it ensuring the standard of living or the acquisition of desired material goods?*

As the last step of associative task respondents had to reduce their findings an sort them according to their relevancy. So they generated a top 3 ranked category including the most relevant meanings of *money, success, happiness, status symbol, experience and materialism*. According to the summary represented in table 3 money is strongly associated with work that may mean the source of money. Respondents feel success if they are acknowledged and interpersonal relationships are the best for their sense of happiness. The smart phone and house are the status symbols in adolescence. Holiday gives the opportunity to gain experiences but only with people, mainly frineds. Last but not least if you ask teenagers "what is materialism?" the answer will probably be money.

<i>The most frequent associations among TOP 3</i>	<i>The second most frequent associations among TOP 3</i>	<i>Associations occurred at least twice among TOP 3</i>	<i>The most relevant association (ranked by respondents)</i>
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<i>Money</i>	Work (10)	Food (4)	Salary (3) House (3) Success (2) Shopping (2) Happiness (2) Endurance (2)	Work (10)
<i>Success</i>	Acknowledgment (3)	-	Work (2) Support (2) Respect (2) Health (3) Marriage (2) Love (2) Entertainment (2)	Acknowledgment (3)
<i>Happiness</i>	Family (11)	Friends (5)	Jewelry (2) Appeal (2)	Family (6)
<i>Status symbol</i>	Phone (4) House (4)	Car (3)	Trip/tour (4) Family (3) Party (2) Memories (2) Success (2)	Phone (4)
<i>Experience</i>	Holiday (6)	Friends (5)		Family (2) Holiday (2)
<i>Materialism</i>	Frugality (4)	Savings (3) Money (3)	Car (2)	Money (3)

Source: own edition |

**Table 3 The most relevant associations in third stage (occurrence in brackets)**

### Photo collage

During in-depth interviews in the third stage respondents had to select from a set of photographs. The set consisted of five categories: people, material possessions, achievement, sport and leisure. Students had to choose one out of each except of leisure, they could choose maximum 3. Each category contained 4 different images except of leisure, there were 6. In the people category there were *family, friends, school mates and subculture* photos. The material possessions consisted of *car, smart phone, appeal and money*. The achievements were *excellent school grade, winning in sport, art and carrier in media*. Those forms of achievement were selected as options those are probably close to students' imagination and perception. Sport consisted of *body sports, running, soccer and tennis*. The research expectations were that body sports are getting more and more popular among youth, running is an options free from tangible or personal conditions (e.g. court, equipment, sport centre, teammates), soccer is a spectacular and popular sport to play or just to follow and tennis is related to higher social classes. Leisure activities set was a combination of widely different options as *music, reading, own room, tracking in the nature, gaming console and makeup*. During in-depth interviews respondents recognized these proposed features of the options. In their explanation they distinguished options in the same way. Photo collage summary including the frequency of choices are represented in table 4.

**Table 4 Summary of photo collage tasks (occurrence in brackets)**

	<i>People</i>	<i>Material possessions</i>	<i>Achievement</i>	<i>Sport</i>	<i>Leisure</i>
<i>Respondents' choices</i>	family (3) friends (3)	car (2) appeal (3) money	excellent school grades (4) winning in sport art	running (5) body sport	music (5) tracking in the nature (4) reading (2) makeup (2) room (2) gaming console

Source: own edition |

**People** category was dominated by the *family* and *friends*. Students' interpretations confirmed previous research findings on the importance of the quality of personal relationships. Regarding **material possessions** the value in-use of the objects is more dominant than simply possessing something, in context of materials respondents follow a rather utilitarian pattern. According to students' opinion a basic level of wealth is necessary to feel themselves happy. They highlighted the importance of the security of households, doing the payments in time, making enough money for living and the freedom to

spend. This last feature is one of the foundations of postmodern culture of consumption. „*Money is not important for me at all cost, but in order to live in a safety environment, start a family, have roof over our head or just simply not to starve money is necessary. If we cannot ensure these (above mentioned) we will not be able to afford the rest, smart phone, car, appeal, etc.*” (Female, age 17, Nyíregyháza)

*Excellent school grades* are the most relevant signs of **achievement** for teenagers. It contributes a lot to their sense of happiness. Perhaps the importance of feedbacks comes from the usual life situation of teenagers. In general they are subordinated under parents' and teachers' power. They consider their carrier opportunities are strongly related to their school performance on the other hand school grading is not only an external acknowledgment but in this age it became their inner subjective scale. Respondents' explanations confirmed these propositions because students often explained something through the example of their studies or school grades. This phenomenon highlights the importance of an appropriate, fair grading scheme that provides the sense of equality of people evaluated. „*I chose this because it makes me happy if I get a good mark. This is very important for me. Moreover it is not just a random achievement, we can do for it or perform better and it is partially up to us. Being acknowledged through your grades is one of the biggest source of happiness.*” (Female, age 17, Nyíregyháza)

Almost every respondents chose *running* as a kind of **sports** contributing the most to their sense of happiness. It was interesting that no one chose soccer or tennis which can be not only played but watched. This enables us to derive the conclusion respondents prefer to do sports rather than to watch it. In their interpretation students confirmed the expectation running is the way to do sport with no material possession or condition. They can run whenever and wherever they want, there is no need for a court, equipment or mates. Moreover they answered running provides the sense of freedom, escaping from everyday boundaries and the opportunity to meditation. „*I chose running because this is the easiest way to do some sports. I love playing handball for instance but it must be carefully prepared, I need for a team, a court, there are a lot of constraints. Whenever I feel the motivation I can run. Maybe this is the reason why I started it regularly.*” (Female, age 17, Nagykálló)

From the **leisure** category *music* and *tracking in the nature* items were the most frequent choices. Obviously music plays a central role in motivating or relaxing someone's mind, and was very important for respondents. In their interpretation they would listen to music anytime and anywhere they are. According to students' explanation tracking in nature is close to running in the context of freedom and the lack of usual boundaries, but it is also close to experiences – previous tasks – because the mates are more important than the destination, the place where they would track. Family and friends are preferable, so we can assume leisure activities are also dominated by personal relationships. „*It is important to spend leisure time in the nature with family and friends. Many do not know how the nature can gain our energy and vitality.*” (Female, age 17, Nyíregyháza)

## Conclusions

Answering the research title whether tangible or intangible ways are leading to happiness we can state that intangible factors are better for the sense of happiness. Although quantitative statistically reliable test was not included but the last 8 year scientific results are confirmed. Without warm relationships with others we cannot talk about the true sense of happiness. Need satisfaction by material goods at a basic level is essential but it is not the only source of happiness it just enables individuals to focus on intangible factors. According to respondents the material possessions or money do not gain directly happiness. Possessions and money are necessary to everyday life but not for being happy. Recent paper provides a proposition on subject-object relationship: during the time of adolescence they do not feel the need for more objects, goods to possess. One reason behind may be material saturation. There are so many objects, goods available around them that their acquisitiveness and possessiveness are getting less and less. Regarding satisfaction in this age external feedbacks and acknowledgements are essential. Respondents have a huge demand for a reliable and transparent evaluation system on their work. This demand can be caused by their uncertainty and the wanting to know weather they are on the right way or not. Since the success in their future profession and the school performance are considered as strongly related to each other in the now they want to perform as well as they can. Work plays a more central role in their life than expected. They associated a lot of phenomena with work. It can be caused by their perceptions about adults' life and challenges or by the turnaround in postmodernity. We can assume that work or professional motivations are not simply the instruments or ways anymore to achieve a desired consumer state of existence. Based on respondents' interpretations work has a symbolic meaning, it is a calling again. If they find the best job for their personality it will make them satisfied with their life. Beside its importance work means the only source of money and being materialist is understood as the individuals' relationship with money: spending or saving. Frugality is a remarkably common association of materialism. In

their explanation respondents are trying to save as much money as they can. This behaviour can be influenced by life experiences and the avoidance of personal financial crisis or by consumer motivations for the future.

#### Limitations further research

Recent study did not follow strict pretested methodology. Due to the applied methods' flexibility and interactivity it is difficult to repeat or replicate. Nonetheless it provided several conclusions helping other studies on similar or the same research field. First revealing the general meaning of the investigated social-economic features among the members of target group can result fruitful information. Second in different life stages – especially ages like adolescence, young adulthood – individuals can be defended by their current state of existence. For instance an average teenager does not have to run a household, earn her or his own money for living, thus she or he has diverse perception of money. During secondary school years teenagers are surrounded by usually the same people. Their everyday routine and interactions are following the same pattern and they may not feel their real position in the world or social order. The beginning university studies opens up the world: new contacts, interaction with members of unknown socio-economic state. This can cause the re-evaluation of previous value concept including the attachment of material possessions. If a young adult or an older teenager starts to work as a full-time employee this will be another new situation much different from ordinary school years. Tangible assets gain new meaning, money and salary becomes the measure of value and youngsters are getting forced to start their own unique life. In these changes of the near future for a teenager the motives of consumption, tangible things possessed or desired and a lot of costly constraints are playing essential role. Therefore longitudinal generational studies and lifestyle trackings could take us closer to understand the role of material things in consumer society.

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## Information of the Financial Statements Disclosures - Case of Albania

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### Abstract

Since 2008 in Albania, financial reporting is carried out based on international standards and national accounting standards, which are in compliance with International financial reporting standards. In our paper, we want to focus on the "Financial Statements Disclosures" as one of the components of the full package of financial statements. Often there is an erroneous view or attitude that compiling disclosures is something simple and easy. But even for their preparation, the accounting principles and rules should be strictly followed. Through the literature review we will highlight the role and importance of preparing of the financial statements disclosures on financial reporting, the care that should be shown in their preparation and the importance they have for users of financial statements. This also for the fact that, as simple as it may seem in its preparation, this statement has a high level of significance, and may even serve as an "indicator" for detecting fraud, assisting decision-making processes, and so on. The objectives of our paper will be realized through comparative, descriptive and statistical analyzes, using primary and secondary data. Primary data will be provided by the questionnaire addressed to target groups: accountants-because they prepare disclosures; auditors and tax inspectors-because they are the users of financial statements disclosures as they use these notes to understand the truth and credibility but also to discover frauds and mistakes. Secondary data will be gained from the literature review and the national accounting standards study of our country. The primary data analysis will serve first to understand the level of preparation of the financial statements disclosures and then to understand the role and importance of their information in the preparation of the full set of financial statements, with the purpose of giving the true and fair view of the activity of the entity, thus contributing to the increase of transparency. Secondary data analysis will serve to understand better the theoretical framework for the disclosures and the information that they carry. In the end, we will provide necessary recommendations regarding the disclosures and information they need to carry to ensure a higher quality of financial reporting.

**Keywords:** financial reporting, disclosures, accounting, users of accounting information.

### Introduction

In recent years, the nature of financial reporting (FR) is evolved to meet the changing needs of its users. Business and capital markets have become more challenging, more complex, where risk and uncertainty are growing. Because of this, financial reporting has changed to respond to these challenges. The tendency for use of fair value more and more in preparing FS seems to be correct because fair value expresses better the reality of transactions carried out in a business. But on the other hand, the use of fair value model involves more complex measurements and widespread use of judgment by increasing subjectivity rather than objectivity. The economic, technological, etc. changes currently occurring globally reflect a fundamental trend towards the increasing need to provide qualitative and reliable accounting information that is important to the users.

In Albania, financial reporting is carried out based on international standards and national accounting standards, which are in compliance with IFRS. In our paper we will focus on a particular aspect of financial reporting, in financial disclosures. We will stop at the statement of "Financial Disclosures" as one of the components of the full package of Financial Statements.

This is because of the fact that in our country there is often a wrong opinion or attitude according to which the compilation of financial disclosures is something simple and easy. But in fact, for the preparation of financial disclosures should be strictly followed the accounting principles and rules in order to provide users with the opportunity to better understand the risks and benefits that accompany the financial situation and the performance of the reporting entity.

Financial statements disclosure requirements and disclosure practices have also responded to these economic changes as well as to the multiple transactions performed by the entities, shifting from providing simple explanations for the financial statements to the more detailed disclosures. These disclosures include information about the assumptions used by the entity's management, about the accounting models used, the alternative measurement methods used and about the uncertainty of the estimates for the items of the statement of financial position. In a way, it can be said that disclosure has become a balancing point, aiming to ensure that information is reliable and useful for decision-making.

All of these trends in financial reporting present challenges not only to financial reporting preparers, which need to prepare and support these new changes. But they also they present challenges for investors and other users of FS information, in efforts to understand the importance of information provided in the financial statements during their decision making process. They also present challenges for auditors to formulate judgments on the proper information that should be disclosed in the notes and to determine the calculation of the materiality to be applied during the audit process of the financial statements. Moreover, auditors should consider the overall presentation of the financial statements including relevant notes if they represent transactions and events in a manner that achieves the fair presentation of the entity's activities.

More recently, the role of auditors with regard to disclosures that an entity has to present in its Financial Statements (FS) has been considerably in the spotlight. Especially after recent financial crisis events and concerns about auditor's efforts regarding to information that should be required to be disclosed in the notes. Some recent reports have suggested that auditors should use greater professional judgment and skepticism during the FS audit and specifically in the statement of disclosures. Whereas, during a study conducted by the CFA Institute in 2012<sup>1</sup>, it was found that investors believe the financial crisis of 2008 and the five years of economic insecurity have clearly revealed the inadequacy of disclosures, particularly those provided by financial institutions. According to this study, it results that during the financial crisis of 2008, there is enough evidence of insufficient disclosure in providing transparency to investors regarding exposures, risks, uncertainties, etc.

Based on what said above, we intended to carry out this study, where the main purpose is to put in evidence the role of the information contained in the statements of disclosers in the full package of accounting standards and the care to be shown in their preparation. And for our country, based on the analysis of primary data, we will clarify the level of preparation of the disclosures in the financial statements, the role and importance of their information in the preparation of the financial statements, with the purpose of giving true and fair view of the activity of the entity, thus affecting the increase of transparency.

### Literature Review

According to the requirements of the Financial Reporting Framework, it is stated that an entity should prepare the financial statements in such a way that they provide useful information to the internal user and especially to their external users. To be reliable, the FS information should be relevant and present faithfully the activity the entity performs. Accounting scandals and frauds are perennial, they have occurred in all periods, in all places, and many corporations are affected. Unfortunately, there are some legal and regulatory space in accounting and auditing standards that permit discretion and thus motivate accounting professionals to use manipulation practices.

Principle-based accounting standards carry the use of a high level of judgment by the FS'prepares so that making evident the risk of manipulating information that is prepared on their basis. Also in Albania, Ujkani M, Myftaraj E (2018) in their study have identified that the complete set of National Accounting Standards (NAS) has spaces that leave room for interpretation and motivate professionals to use "creative accounting " in preparing financial statements by violating thus presenting the true and fair view of the entities activities, of its financial position and performance.

Bhasin (2016) in his study notes that Financial Reporting (FR) contains "asymmetric" information available to both stakeholders, both internal and external, as this because has two positions during the preparation of financial statements

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<sup>1</sup> <https://www.cfainstitute.org/-/media/documents/article/position-paper/financial-reporting-disclosures-investor-perspectives-on-transparency-trust-volume.ashx>

that depend on their preparers. The first approach considers (FR) and their preparation in order to "accountability" to their owners and for other stakeholders within the entity. Others consider FR as a "communication" of FS information to the shareholders and all other users who have an interest in an entity to make "useful" economic decisions.

In a perfect world, of course, all stakeholders, board members and executives would have full confidence in the "FS" of the economic units and could make "right and smart" decisions to invest or to buy a company, promoting the efficient distribution of capital. Sherman and Young (2016) in their study of FR shortcomings have argued that: "Unfortunately, this does not happen in the real world for some reason where among them we first distinguish, the FS of the entity *necessarily depends on the estimates and the way of judging of their preparers*, which can be extensively out of the "proper context" even when done in good faith. Also managers and executives routinely encounter powerful incentives to deliberately "inject" the FS error.

In the study conducted (Lu and Abeysekera 2014, Maroun 2017) it has been noted that the inclusion of financial information, and especially of non-financial ones, in the financial statements of the entities contributes greatly to the transparency of information and is therefore a important issue in economies worldwide. The provision of non-financial information is a strategic action that substantially improves the communication of entity with stakeholders (Fonseca 2010, Miska et al., 2013). A study carried on by Ernst and Young (2017) has highlighted the key importance of this information to users and has evidenced that 68% of investors have accepted that they use such disclosures in their investment decisions.

The increase of the volume of information provided by companies, including this in the FS, has happened mainly due to the work done in this area by the Global Reporting Initiative (GRI) (Moneva et al 2006, Brown et al 2009, KPMG 2011) whose guidelines are still more authoritative in the international arena. In Europe, various recent initiatives have strongly encouraged the introduction of non-financial information. Thus, EU Directive 2014/95 / EU (EU 2014) 2 and its adaptation to the specific characteristics of each Member State suggests that Public Interest Entities in Europe should publish a "Non-Financial Statement" addressing environment and social issues, respect for human rights, fight against corruption and bribery.

Currently, initiatives have been taken to create a comprehensive framework to improve the financial statements disclosures (FSD). The framework of FSD aims to help entities to communicate more effectively with investors, eliminate excessive information, and move away from their formal compilation. According to a CFA Institute's 2012 survey, a majority of respondents (80%) said they did not believe that the volume of Disclosures is a disturbing area for investors. The message was clear from the respondents: *Investors are not seeking a reduction in the volume of disclosure information, they are the main customers of the financial statements and reforms in the FS Disclosure should aim at providing investors with useful information to guide their investment decisions.* But the results of the study received from the financial statements preparers, the entities that provide consulting services in the field of accounting, academics and others, have commented that FS Disclosure have become voluminous and "heavy" for users to read. They believe their volume is excessive and can "darken" key messages and cause that investors may emerge from the most important pieces of information "in the midst of all the clutter" included in the financial statements. They therefore argue that reducing the volume of FS Disclosure would make them more effective.

These initiatives, as noted above, came as investors believed that the financial crisis of 2008 and the recent corporate scandals have clearly shown the lack of transparency in financial reporting information (such as Lehman Brothers, MF Global and Bear Stearns etc.). This evidences the need for improvements in the quality and effectiveness of financial reporting information which aim increasing of transparency.

Various studies and these discussions presented in this paper have led to the review of the FS Disclosure, which is viewed in the July 2012 initiative where the accounting standards setters have issue for discussion two documents that required public comment on the development of a framework for disclosure.<sup>1</sup> These were discussed for the purpose of changing the way in which the disclosure requirements are set by the accounting standards setters and how these requirements can be applied by the entities in their financial statements. Initially, the focus of standard setters was on the writing of principle based standards which aimed at reducing the volume of FS Disclosure, while leaving the volume of this information in the management to decide what to give in the FS Disclosure.

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<sup>1</sup> The Financial Accounting Standards Board's invitation to comment on its discussion paper, *Disclosure Framework* A discussion paper, *Towards a Disclosure Framework for the Notes*, by the European Financial Reporting Advisory Group, French Autorité des Normes Comptables, and U.K. Financial Reporting Council

But the growing demand for information from financial reporting, especially from third parties, investors, creditors (outside the entities) has brought to the revision and preparation of a FS Disclosure Framework. Lastly, during the last months of 2018,<sup>1</sup> there are efforts and initiatives on identifying disclosure objectives and related disclosure requirements for defined rate regulation. In the continuation of efforts to look for ways to increase communication in financial reporting, the IASB has made a better communication on Financial Reporting with its central topic of its agenda from 2017 to 2021, including a Disclosure Initiative which has as purpose to give the ideas how the disclosures in the financial statements can be improved.

Even in the Conceptual Framework Revised, published by the IASB in March 2018, pay a particular importance to the presentation of information in the FS and to the provision of disclosures. Information on the financial situation and performance of the entity is communicated through the presentation and provision of FS Disclosures. The IASB states that the effective communication of information in financial statements makes that information more relevant and contributes to a faithful representation of an entity's financial situation and its performance.

In the IFAC publication "Global Accountancy Profession's Call to Action for the G20 Countries" (IFAC 2018) is highlighted among some of the recommendations given by the G20 meeting in Argentina, the recommendation for enhancing transparency, "Robust transparency in the public and private sectors is key to earning the public's trust and confidence, fighting corruption and promoting good governance." To enhance transparency in the private sector, among other things, plays a role the strengthens of the FS disclosures and admission and implementation of integrated reporting

So actually it is not any more into question the provision of FS disclosure. In the focus is the level and amount of FS disclosure as well as the foundation of a general framework for their preparation.

We will briefly put in evidence the Albanian legal framework regarding the FS disclosure specified in two periods of time: before the preparation of the complete set of NAS, so before 2008; and after the preparation of the complete set of NAS. Accounting organization before 2008 was made based on law no. 7661 dated 19.01.1993 "On Accounting", where Article 48-52 foresees that an integral part of the annual accounts<sup>2</sup> would be "Annual Accounts Annex". These articles clearly specify the types of information that should contain the annex in relation to the preparation of annual accounts such as information in relation to:

The principles, rules and methods applied for the preparation of annual accounts;  
Analytical information on the various balance sheet items and the profit and loss account  
Completion of annual accounts with other necessary data etc.

Also in this law was defined the purpose of the annex content, which should be guided by the principle of the materiality of its information to the users of the company's annual accounts

Also, the full set of NAS initially created based on law no. 9 April 22, 2004, "On Accounting and Financial Statements", provides in the General Framework for the Preparation of FS that they should give a true and fair view of the financial position, financial performance and cash flow of the reporting entity, and only if (a) they are accurate and complete in reflecting the content of economic events; (b) their preparation is based on reasoned and substantiated assessments (where assessments are necessary); (c) the disclosure to the financial statements have been prepared in sufficient detail to give a general picture of the financial position, financial performance and cash flow of a reporting entity, in such a way that the competent reader can draw reasonable conclusions.

In this way, this law clearly establishes the role of FS disclosure for the presentation of the financial situation and performance of the entity. This objective has not changed even after the improvement of the complete set of NAS in Albania (paragraph 6 SKK 1). Each national accounting standard prepared by the National Accounting Council has at its end a complete section on the disclosure where are presented clearly the kinds of information that should contain the respective statements. The changes that had the full set of standards in 2014 with the entry into force in 2015, was also reflected in this section, where disclosure requirements were added compared to the former NAS set, but of course in our country is the legal space that the preparation of this information is "a subjectivism" of the PF preparers.

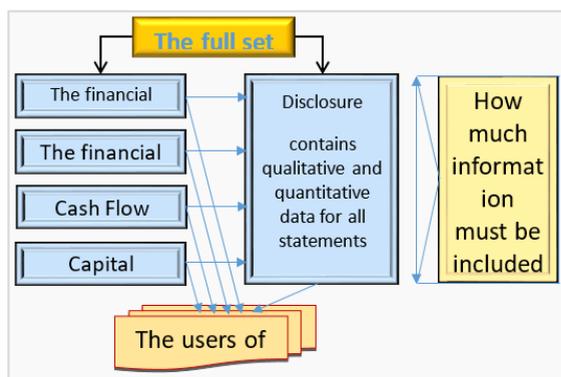
<sup>1</sup> <https://www.ifrs.org/news-and-events/calendar/2018/november/international-accounting-standards-board/> <https://www.ifrs.org/-/media/feature/meetings/2018/november/iasb/ap09e-rra.pdf> ; <https://www.ifrs.org/-/media/feature/meetings/2018/november/iasb/ap09d-rra.pdf>

<sup>2</sup> The term annual account is the definition of the law currently abrogated "On Accounting" and currently it does not exist but is equivalent to the full set of Financial Statements

Even the new Law 25/2018 "On Accounting and Financial Statements" clearly stipulates that in the package of the FS is included the statement of the disclosure (article 13). The new in this law states in its Article 16, which sets out the basic rules of the way of preparation and presentation of FS Disclosure as well as the information that should be given to them both for individual and consolidated FS. Furthermore it is stipulated that these disclosure should also provide information about the employees, wages of the executive and supervisory board, the fees of the auditors, and so on. The law also defines for the public interest entities even the need to provide other information such as: activity performance report (article 17); the non-financial report (Article 18), the internal management report (Article 19), and the reporting of payments made to state institutions (Article 21).

From the literature review, accounting standards and past and current laws of our country, it is noted that provision of the information on the FS disclosure serves as a switching bridge from the quantitative data to the qualitative data of the information reflected in the complete set of FS. As a consequence, a great deal of dilemma will be how much should be this information which should contain the explanation of the elements of the complete set of FS with the purpose of giving the activity of the entity in order to increase the transparency (see figure 1).

**Figure No 1- The relationship between the components of the financial statements and the information they contain**



**Source: Authors, based on literature review**

In conclusion, it can be said that what is unquestioned is the importance, care and role that have the provision of FS disclosure for the activity exercised by an entity, thus leading not only to fair and effective decision-making but also to enhancing transparency as well as in the usefulness of information for users.

### Methodology

In order to achieve the objective of our work, the description analyze and the chi square statistical model were used. A questionnaire has been prepared, whose data serves as the primary data where the target group served, the accountants- because they are compilers and writers of FS disclosures; auditors and tax inspectors- because they are users of "FS disclosures" and helped from these disclosures for the detection of frauds and mistakes. The primary data analysis to be provided below will serve first, to understand the level of preparation of the FS Disclosures and then to understand the role and importance of their information in preparing the financial statements for the purpose giving a true and fair view of the activity of the entities, thus increasing the transparency. Based on the reviewed literature but also in the objective of our work we raise some research questions such:

- How much is the Level of FS disclosures?
- Are the "FS disclosures" affected by the financial statements preparers?
- Do the disclosures help in identifying the discovery of errors, misinterpretations or fraud?
- According to the perception of the target group are seen FS disclosure as important and why?

The questionnaire was structured in three sections where the first section served to collect information about the general characteristics of the target group such as gender, occupation, current job position, years of exercise of the accounting profession, the size of the entities for which professionals have prepared, audited or controlled financial statements, etc.

The second section refers to the FS disclosure and the third section served to obtain information on their relevance. The questionnaire was distributed to 160 professionals designated as a target group and data was collected by 101 professional.

### Data Analysis

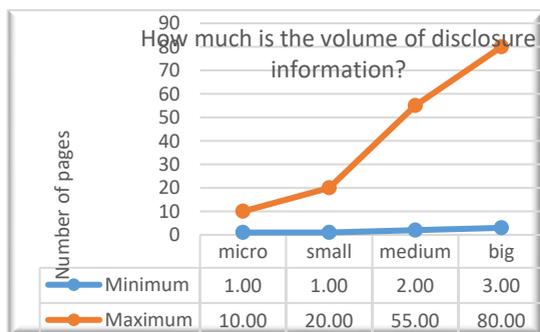
Initially, the data analysis will begin with a brief description of the characteristics of the target group which consists of private accountants with 52.48%, certified accountants with 33.66% and auditors with 13.86%. Respondents have working experience from 1 year to 32 years of work, as well as a geographical distribution in different districts of Albania such as Berat, Fier, Lushnje, Durres, Vlore, Shkoder, Tirana, Elbasan. At the same time, the size of the entities based on the law on SMEs for which respondents have offered FS preparation, audit or control services pertain to small and medium-sized enterprises and large enterprises. (See Annex I-General Characteristics).

From the data, it is concluded that around 84.15% of the respondents have used the complete set of NAS (ie 15 standards and one standard for NGOs). This implies that the preparation of disclosure not only cannot be avoided, but should also include a considerable "volume", referring to accounting standards.

So to answer our question on the level of the FS disclosure, it was originally thought to be obtain the answer whether the professionals have prepared the respective statement or not. If the answer was yes, depending on the size of the entity, it was asked to know how much the volume of this information was and then to evidence the type of information given. The data analysis showed that 86.14% of respondents have prepared the FS disclosure, while others have either not prepared or did not audited this FS.

Professionals that responded that have not prepare FS belong to the category of auditors who normally have in the focus the auditing services rather than the preparation of the FS. According to the descriptive analysis it is noted that the minimum of drafted pages for all entities there are zero pages prepared for the disclosure and the maximum levels of the disclosure pages are 80 pages only for the big entities (see Charts 1 and 2). This indicates that the professionals or prepare or do not prepare this statement in accordance with the principles set out in the complete set of NAS.

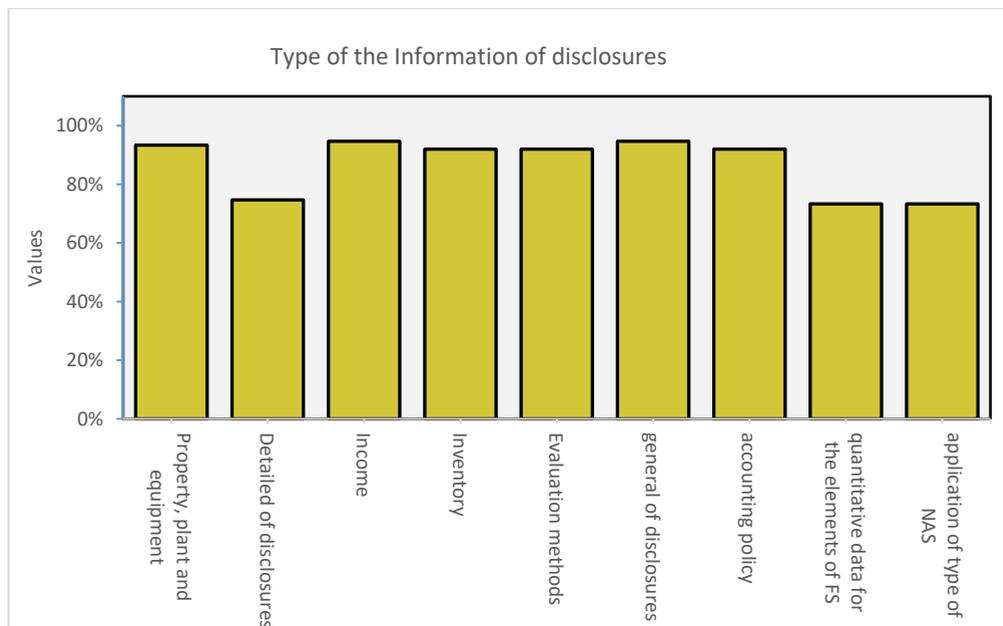
**Chart no1 " Have you prepared the disclosure" Chart no2" How much is the volume of disclosure information**



Source: Authors from data analysis

Meanwhile, regarding the type of information presented in these disclosure for those who have prepared FS disclosure, it is evidenced that the information was simply the evidence of the used NAS, of accounting policies and valuation methods and only three main indicators of the "inventories", "property, plant and equipment" and information on the calculation of the profit tax realized during the accounting period. (See Chart No. 3 as follows);

**Chart no.3 "Type of the information of disclosures"**



**Source: Authors from data analysis**

Research question -Are the "FS disclosures" influenced from the financial statements preparer, we have analyzed using the chi square test of independence test. Through this test, we will evaluate whether the variables are independent. The results showed that the preparation of the FS disclosures depended (not independent) on its author ( $p = 0.001$ ,  $p < 0.05$ ) (see table no. 1 Annex II); this was expected result, as long as the FS preparer is responsible for the preparation of the FS disclosures. By pointing out the role of the FS disclosures information and the responsibility for their preparation depends on the accounting professional we tried to test the fact that this information would help them in the next periods to prepare the FP where the results of the chi square test showed that it had an impact because  $p = 0.001$  less than 0.05 (see Table 2

To answer the research question – Do the FS disclosures help in identifying mistakes, misinterpretations, or fraud; we again used the chi-square test. The results of this test showed that FS disclosures have / not have effect; namely the effect of FS disclosures in detecting the errors that could contain the financial statements had an impact because  $p = 0.003$  (i.e. less than 0.05); while the FS disclosures had no impact on the misinterpretation since  $p$  resulted in a value of 0.15 (i.e. greater than 0.05 and the influence of FS disclosures in detecting fraud that may contain the financial statements was dependent on  $p = 0.008$  less than 0.05 (see tables No. 3,4,5, Annex II)

And the last research question was related to evidence of significance that has FS disclosures. From the analysis of the answers it turns out that the majority of respondents think that FS disclosures are very important to give a true and fair view (98%), and they are also important to identify the NAS application (83.2%) and 79.2% think that they are important also to detect possible anomalies and errors. While a small percentage of respondents, about 39.6% of them think that they have an impact on the detection of fraud. And their impact on decision-making processes is perceived as important since 63.4% of them are positively expressed (see Chart no 4).

**Chart no.4 “The importance of disclosures”**



**Source: Authors from data analysis**

At the end of the data analysis, we conclude that the FS disclosures are prepared by most of the financial statements preparers, which apply the entire set of financial statements according to NAS. But the information provided in this statement is "vaguely" as it cannot be considered normal a volume of explanatory notes of a minimum 0 up to 1 page when the entity's size grows from micro to large entities. While the data analysis found that these FS disclosures had an impact not only in the preparation of the financial statements in the coming periods, but also in the discovery of errors and misinterpretations contained the financial statements and did not affect the frauds that of the information provided in the FS. So knowing that the preparation of the disclosures depended on the preparation we can say with full conviction that a great deal of care should be given to its preparation, as this statement resulted to be of great importance in relation to the implementation of the NAS, to detect errors, fraud and especially in the decision-making process, which evidences the importance of this statement in the importance of presenting a true and fair view of an entity.

### Conclusions and Recommendations

At the end of this paper we can say that FS Disclosures has a very important role in financial reporting. They are a key to earning the public's trust and confidence, fighting corruption and encouraging good governance. Actually more and more attention is paid to the financial statements disclosure. Currently, international work is being done to prepare a general framework for FS Disclosures, to provide the fundamental principles for their preparation. Even G20 and IFAC have given more importance to the transparency of information on FS for fighting corruption and making better decisions.

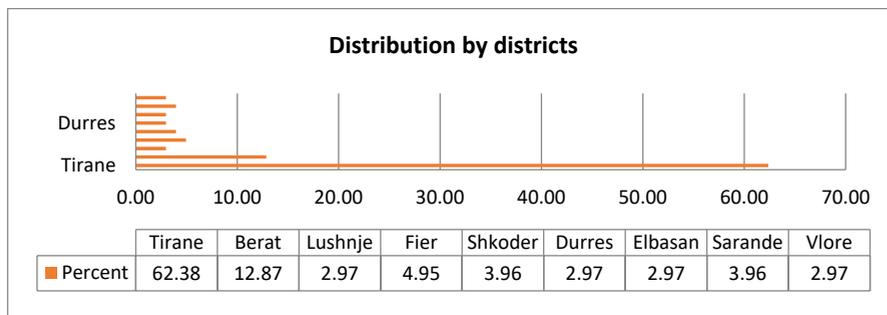
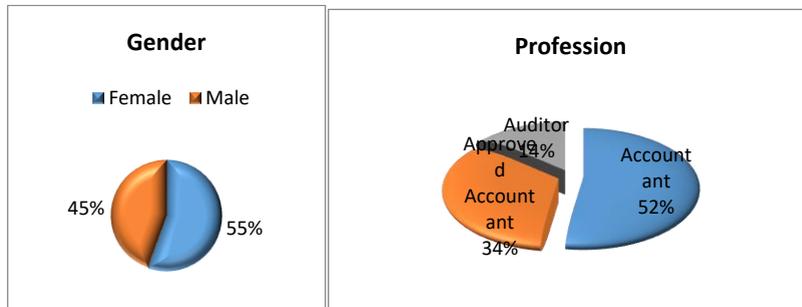
In Albania, there is a legal framework for FS Disclosure preparation. The main part of the FS prepares is to prepare the Disclosures but their volume and the importance in their preparation according to the law. The role of FS Disclosures is very important in finding abnormalities, frauds, but also in the decision-making process. And so we recommend that all actors cooperate with each other for the preparation of this statement with the aim not only of increasing transparency, but above all for the correct application of the general framework for the preparation of the financial statements.

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**ANEX I-General characteristics**



**Anex II-Data analyses**

**Table no 1 “Is the preparation of FS Disclosure affected by the accountant professional”**

		Profesioni
Shsh	Chi-square	38.109
	df	3
	Sig.	.001 <sup>a</sup> ,b

Table no 2 Chi-Square Tests—The use of previous FS disclosure on the FS preparation<sup>a</sup> Crosstabulation

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	23.544 <sup>a</sup>	1	.000		
Continuity Correction <sup>b</sup>	21.173	1	.000		
Likelihood Ratio	27.143	1	.000		
Fisher's Exact Test				.001	.000
Linear-by-Linear Association	23.311	1	.000		
N of Valid Cases	101				

Table no 3 Chi-Square Tests- found of mistakes<sup>a</sup> \* II2c Crosstabulation

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	9.923 <sup>a</sup>	1	.002		
Continuity Correction <sup>b</sup>	8.138	1	.004		
Likelihood Ratio	10.413	1	.001		
Fisher's Exact Test				.003	.002
Linear-by-Linear Association	9.712	1	.002		
N of Valid Cases	47				

Table no 4 Chi-Square Tests- misinterpretation \* II2c Crosstabulation

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	6.520 <sup>a</sup>	1	.011		
Continuity Correction <sup>b</sup>	5.036	1	.025		
Likelihood Ratio	6.552	1	.010		
Fisher's Exact Test				.015	.012
Linear-by-Linear Association	6.381	1	.012		
N of Valid Cases	47				

Table no 5 Chi-Square Tests- fraud \* II2c Crosstabulation

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	8.246 <sup>a</sup>	1	.004		
Continuity Correction <sup>b</sup>	5.710	1	.017		
Likelihood Ratio	9.955	1	.002		
Fisher's Exact Test				.008	.008
Linear-by-Linear Association	8.070	1	.004		
N of Valid Cases	47				

## Georgia in the World Merchandise Trade: Main Trends and Problems of Development

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### Abstract

Foreign trade is the main factor in the country's integration into the world economic system. It promotes the socio-economic development of states, especially developing countries. After the restoration of state independence, Georgia actively cooperates with different countries within the framework of bilateral and multilateral agreements. Its foreign trade activity is based on a high level of openness of the economy and liberal policy, features of the market economy and new vectors of development. Georgia has been a member of the World Trade Organization since 2000 and has one of the most liberal and competitive trade regimes across the world. Georgia's foreign trade turnover has a cyclical growth pattern with a combination of periods of its fall. Over the entire post-Soviet period, the country has a negative trade balance and a high dependence on imports. Export characterizes a high degree of concentration of geographical structure and low level of diversification. The article analyzes the current state of Georgia's foreign trade, shows the main indicators of the country's foreign trade for the period of 1994-2014, and examines the main trends in its development and the importance of export diversification to improve the efficiency of foreign trade.

**Keywords:** foreign trade, merchandise, export, import, Georgia

### 1. Introduction

After the collapse of the Soviet Union, Georgia moved to a new stage in its historical development, characterized by a high degree of freedom and a liberal economic policy. In 2018, according to the Index of Economic Freedom, Georgia ranks 16<sup>th</sup> among 180 countries and is part of a group of mostly free states. Liberal foreign trade policy is one of the major principles of the economic policy of Georgia. The Government of Georgia has implemented reforms in the tariff policy. As a result, nowadays Georgia has one of the most liberal foreign trade policies in the world, which implies the assistance of foreign trade regimes and customs procedures, low import tariffs and minimal non-tariff regulations (MESD).

Foreign trade is the main factor in the country's integration into the world economic system. Export contributes to the increase in foreign exchange earnings and stimulates the social and economic development of the state. As G. Haberler (1970) noted, "International trade has made a tremendous contribution to the development of the less developed countries in the nineteenth and twentieth centuries, and can be expected to make an equally big contribution in the future if it is allowed to proceed freely". In this regard, the main purpose of this work is to analyze the trends in the development of Georgia's foreign trade, determine its place in the world trade of goods and the opportunities for its further development based on export diversification.

### Literature review

The internationalization of production has been greatly accelerated and the international division of labor has deepened under the influence of globalization and scientific and technological progress (Korganashvili L. 2017, 2016). As a result of this international trade flows have increased. The need to include countries in international trade is explained by different theories. The role of foreign trade in the pursuit of wealth of the nation is highly evaluated by the mercantilists (Magnusson 1994). The starting international trading axioms inherent in classical theories (Smith 1986 [1776], David Ricardo 1951), which, despite a number of assumptions, explain the benefits of trade. Fundamentals of the reasons that determine the direction and structure of international trade flows, as well as the possible advantages in the international exchange, are laid by E. Heckscher and B. Ohlin (Heckscher 1919, 2007, Ohlin 1933). According to their theory, a country will export goods that use its abundant factors intensively, and import goods that use its scarce factors intensively. In the two-factor case, it states: A capital-abundant country will export the capital-intensive good, while the labor-abundant country will export

the labor-intensive good. Heckscher-Ohlin theory refined P. Samuelson (HOS-Heckscher-Ohlin-Samuelson Theory) (Suranovic 2010) and W. Stolper (Stolper-Samuelson Theorem) (Stolper&Samuelson 1941).

The standard model of international trade unites the various theories, developing the fundamental position of the classical theories. It is based on the concepts of the limit values and the general equilibrium of the economic system. It provides mathematical and graphical interpretation of international commodity exchange, and shows the real impact of international trade on the economies of individual countries (Edgeworth 1925, Marshall 1979, Haberler 1936), etc.

The alternative theory of international trade is critical to achieve reinterpreted predecessors and offered original interpretation of the participation of national economies in the international exchange of goods. Among these theories following should be noted: The trade theory based on economies of scale (Krugman 1981, Krugman&Obstfeld 1992, Lancaster 1980 et al.), The theory of technological gap (Posner 1986), The theory of a product life cycle (Vernon 1970), The theory of international competition (Porter 1986) and others. Since the second half of the XX century, dynamic comparative advantages became relevant. This question was studied by Krugman (1987), Grossman and Helpman (1989), Redding (1997) and others.

Although there are many theories of international trade, none of them can fully explain the nature of international trade. And there is ample empirical evidence that recognize the validity of the theory of comparative advantage (Bernhofen&Brown 2005, Schott 2004, Uchida & Cook 2004, Krugman&Obstfeld 2003). Moreover particularly noteworthy is the fact that most of the principles of the World Trade Organization (WTO) is based on the theory of comparative advantage (Root 2001). Currently, comparative advantages are used to assess the country's competitiveness in international trade (Korganashvili L. 2017, 2016, ).

### Research methodology

The theoretical and methodological basis of the work constitutes the fundamental tenets of the theory of international trade. Well-known scientific methods were used for the study: statistical, comparative, deduction and induction, analysis and synthesis, and etc. Informational and empirical basis of the study is constituted by statistical, informational and analytical data of various international and national organizations, research papers, online resources, and etc.

The effectiveness of foreign trade is calculated as the ratio of exports to imports. If this ratio - efficiency coefficient is greater than 1, then the trade can be considered effective. On the other hand, the import dependence of the trading partners is calculated as the ratio of imports to exports. The country will be considered dependent on the other, if the ratio coefficient of import dependence is less than 1.

Comparative advantages of Georgia on certain goods are valued by index Balassa (Balassa 1965), which is calculated according to the formula

$$RCA_{ij} = (X_{ij} : X_{it}) / (X_{wj} : X_{wt})$$

where  $RCA_{ij}$  is Revealed Comparative Advantage Index,  $X_{ij}$  and  $X_{it}$  are the values of country  $i$ 's exports of product  $j$  and world exports of product  $j$  and where  $X_{it}$  and  $X_{wt}$  refer to the country's total exports and world total exports. A value of less than unity implies that the country has a revealed comparative disadvantage in the product. Similarly, if the index exceeds unity, the country is said to have a revealed comparative advantage in the product.

### Main trends in the development of Georgia's foreign trade

After the collapse of the Soviet Union, Georgia actively cooperates with different countries within the framework of bilateral and multilateral agreements. In 2017, the geography of its trade covered 140 countries. According to preliminary data, in 2017, the foreign trade turnover of goods amounted to \$10707.4 million, including exports – \$2728.0 million, imports – \$7979.4 million (75%). Compared with 2016, foreign trade turnover increased by 13.8%, exports by 29.1% and imports by 9.4% (Geostat).

Foreign trade of Georgia is developing in the conditions of globalization. Its main development trends are followings:

The cyclical nature of the development of foreign trade turnover: a combination of growth with periods of its fall. For example, the growth cycles cover 1994-1997, 2000-2009 and so on (table 1, Growth rate to previous year, %).

Permanent negative trade balance and high dependence on imports. In 2017, the deficit was \$5254.7 million – 49.0% of all of trade turnover (Geostat). Compared to 2016, it increased by \$73.2 million (1.4%). This is the highest volume of trade

deficit, but its highest share in foreign trade turnover was in 1998 – 64.7%. The peak of the share of imports to turnover was observed in 1998 (82.4%), to GDP in 2017 – 52.6% (Table 1).

Low share of exports both in foreign trade turnover and in GDP. In the foreign trade turnover of Georgia, exports with the highest share were present in 1994 – 36.1%, and in relation to GDP in 2017 – 18.0%.

In 2017, the share of foreign trade turnover reached 70.6%, and in 1994 it was 16.7% (Table 1).

Change in the share of groups of countries. In 1995, the CIS accounted for 62.5% of Georgian exports and 40.1% of imports, in 2005 these figures were 47.0% and 40.0% respectively, and in 2017 – 43.3% and 29.6%. The share of the European Union has also changed. If in 2005 the EU countries accounted for 25.0% of exports and 29.7% of imports, in 2017 these figures were 23.7% and 27.5%. On June 27, 2014, the European Union and Georgia signed the Association Agreement, which includes the Deep and Comprehensive Free Trade Area (AA / DCFTA), which provides preferential trade relations. Despite this, the CIS countries occupy an important place in the foreign trade of Georgia (Korganashvili, 2016)..

High degree of concentration of the geographic structure of Georgia's foreign trade: in 2017, 3 main trade partners accounted for 34.7% of turnover, for 5-48.2% and for 10-66.7%. As for exports, these figures were 30.0%, 44.5% and 67.4% respectively, and for imports – 36.2%, 44.5% and 66.5% (Geostat). In 2016, the market concentration index (HH-Herfindahl-Hirschman index) was 0.06, and in 2012 it was 0.04 (WITS, 2016).

Low level of diversification of exports and imports: 10 commodity items account for 63,3 % of country's exports and 64.7% of imports (Geostat). In 2017, the first place in the commodity structure of Georgia's exports is occupied by copper ore and concentrates – 15.4%, the second place is ferroalloy – 11.3%, followed by motor cars – 8.6% (in 2013 their share was 24.2%. Georgia is not a producer of cars, therefore, a high share of this commodity position in the country's exports testifies to a significant volume of re-export operations), wine from fresh grapes – 6.3%, medicaments put up in measured doses – 5.2%, etc. In the commodity structure of imports in the first place are petroleum and petroleum oils - 8.7% of the total import of the country. The following positions are occupied: motor cars – 5.9%, petroleum gases and other gaseous products – 4.4%, medicaments put up in measured doses – 4.3%, copper ores and concentrates – 4.2% and etc. In 2016, the index of Export Market Penetration for export was 2.41, in 2015 - 2.57 (WITS, 2012-2016).

A decline in the share of high-tech exports in manufacturing exports: in 2002, high-technology exports (% of manufactured exports) accounted for 41.1% of manufacturing exports, but in 2016 it declined to 3.9%. 38.35% of Georgia's exports and 53.54% of imports are consumer goods, 23.95% and 14.71% are intermediate goods, 32.97% and 9.62% are raw materials, 3.67 and 21.72% are capital goods. A small share of capital goods causes a low level of technological development (WB).

Increasing the level of liberalization of foreign trade policy. Georgia has been a member of the World Trade Organization (WTO) since 2000 and the Liberal foreign trade policy is one of the major principles. The Government of Georgia has implemented reforms in the tariff policy. As a result, nowadays Georgia has one of the most liberal foreign trade policies in the world, which implies the assistance of foreign trade regimes and customs procedures, low import tariffs and minimal non-tariff regulations (MESD). In 2015, compared to 2002, its average tariffs for the countries with the most favored nation (MFN) for all goods decreased from 9.65% to

0.87%, including agricultural products from 12.53% to 7.1 % and non-agricultural from 9.44% to 0.46%. In 2015, the average of preferential tariffs were 0.72%, 5.88% and 0.38%, respectively (Table 2).

Table 1. The main indicators of Georgia's foreign trade in merchandise, 1994-2017

Years	million current US\$				Share in Turnover, %			Growth rate to previous year, %				Share in GDP, %		
	Export	Import	Turnover	balance	Export	Import	balance	Export	Import	Turnover	balance	Export	Import	Turnover
1994	151,2	268,0	419,8	-116,8	36.1	63.9	27.9	-	-	-	-	6.0	10.7	16.7

199 5	151, 2	391, 6	542, 8	- 240,4	27. 8	72.2	44.3	100 .0	146 .1	129. 3	205. 8	5.6	14. 5	20.1
199 6	198, 8	686, 7	885, 5	- 487,9	22. 5	77.5	55.1	131 .5	175 .4	163. 2	203. 0	6.4	22. 2	28.6
199 7	239, 8	943, 5	1183 ,3	- 703,7	20. 3	79.7	59.5	120 .6	137 .4	133. 6	144. 2	6.8	26. 9	33.7
199 8	189, 0	883, 2	1071 ,2	- 694,2	17. 6	82.4	64.8	78. 8	93. 6	90.5	98.6	5.2	24. 5	29.7
199 9	240, 7	622, 6	863, 3	- 381,9	27. 9	72.1	44.2	127 .4	70. 5	80.5	55.0	8.6	22. 2	30.8
200 0	324, 0	709, 0	1033 ,0	- 385,1	31. 4	68.6	37.3	134 .6	113 .9	119. 6	100. 8	10.6	23. 2	33.8
200 1	317, 6	753, 3	1070 ,9	- 435,7	29. 7	70.3	40.7	96. 2	107 .6	104, 0	113. 1	9.9	23. 4	33.3
200 2	347, 8	731, 4	1079 ,2	- 383,6	32. 2	67.8	35.5	109 .5	97. 3	100. 8	88.0	10.2	21. 5	31.8
200 3	465, 3	114 1,1	1606 ,4	- 675,8	29. 0	71.0	42.1	133 .8	156 .0	148. 9	176. 1	11.7	28. 6	40.2
200 4	646, 9	184 7,9	2494 ,8	- 1201, 0	25. 9	74.1	48.1	139 .0	161 .9	155. 3	177. 7	12.6	36. 1	48.7
200 5	866, 7	249 0,9	3357 ,6	- 1624, 2	25. 8	74.2	48.4	134 .0	134 .8	134. 6	135. 2	13.5	38. 9	52.4
200 6	993, 1	368 1,2	4674 ,3	- 2688, 1	21. 2	78.8	57.5	114 .6	147 .8	139. 2	165. 5	12.8	47. 4	60.2
200 7	124 0,2	521 6,7	6456 ,9	- 3976, 5	19. 2	80.8	61.6	124 .9	141 .7	138. 1	147. 9	12.2	51. 3	63.5
200 8	149 7,7	605 8,1	7555 ,8	- 4560, 4	19. 8	80.2	60.4	121 .8	116 .1	117. 0	114. 7	11.7	47. 3	59.0
200 9	113 3,6	450 0,2	5633 ,8	-336 6,6	20. 1	79.9	59.8	75. 7	74. 3	74.6	73.8	10.5	41. 8	52.3
201 0	167 7,5	525 7,1	6934 ,6	-357 9,6	24. 2	75.8	51.6	148 .0	116 .8	123. 1	106. 3	8.1	25. 3	33.4
201 1	218 6,7	703 8,4	9225 ,1	-485 1,7	23. 7	76.3	52.6	130 .4	133 .9	133. 0	135. 5	9.0	28. 9	37.9
201 2	237 6,2	803 6,9	1041 3,1	-566 0,7	23. 3	76.7	54.4	108 .7	114 .2	112. 9	116. 7	9.1	30. 7	39.8
201 3	290 9,5	801 1,6	1092 1,1	-510 2,1	26. 6	73.4	46.7	122 .4	99. 7	104. 9	90.1	10.8	29. 9	40.7

2014	286 0,7	859 3,3	1145 4,0	-573 2,6	25. 0	75.0	50.0	98. 3	107 .3	104. 9	112. 4	10.0	29. 5	39.3
2015	220 4.7	730 0.3	9505 .0	- 5095. 6	23. 2	76.8	53.6	77. 1	85. 0	83.0	88.9	15.8	52. 2	68.0
2016	211 3.1	729 4.6	9407 .7	- 5181. 5	22. 5	77.5	55.1	95. 8	99. 9	99.0	101. 7	14.7	50. 7	65.4
2017*	272 8.0	798 2.7	1071 0.6	- 5254. 7	25. 5	74.5	49.1	129 .0	109 .4	113. 8	101. 4	18.0	52. 6	70.6

Source: The table is compiled and calculated according to the annual "Statistical Yearbook of Georgia" and "External Trade of Georgia", 1995-2017.

Table 2. Average tariffs for the import of products in Georgia

Product group	Tariff type	2002	2006	2010	2015
All products	Average of MFN tariffs	9.65%	8.68%	0.68%	0.87%
	Average of preferential tariffs	9.65%	8.16%	0.65%	0.72%
Agricultural	Average of MFN tariffs	12.53%	12.65%	9.16%	7.1%
	Average of preferential tariffs		12.05%	8.7%	5.88%
Non-agricultural	Average of MFN tariffs	9.44%	8.42%	0.07%	0.46%
	Average of preferential tariffs		7.91%	0.06%	0.38%

Source: ITC, Market Access Map.  
<http://www.macmap.org/CountryAnalysis/AverageTariffResult.aspx?country=SCC268|Georgia&bysection=0>

The low level of Georgia's export diversification is one of the most acute problems of the country's economy, as it indicates the low efficiency of its foreign trade. Diversification of exports is directly related to the diversification of the national economy. Therefore, first of all, its progressive diversification is necessary: the main emphasis should be made on the development of industries with a high share of added value. At the same time, one should not limit oneself to exporting material and technical goods, special attention should be paid to trade in services and technologies. Diversification in this direction is of great importance for the Georgian economy, since the share of services in GDP in the country is about 2/3 (Korganashvili, 2017, 2014).

For the development of trade in technology requires a knowledge economy, the importance of which has increased greatly. This is due to the effect of the following trends: technological globalization and increasing role of human capital; the growth of innovation as an organized activity; the emergence of the "New Economy" on the basis of the revolution in information and communication technologies; development of innovative infrastructure and innovation management system at the national and international levels; mass and accessibility of higher education; the complication of the system "science-technology-production-consumption", etc. (Korganashvili L. 2015, 2014).

### Georgia's integration into world trade in merchandise

Georgia is a small country and its role in world trade is insignificant. In 2016, the share of Georgia's exports and imports in world exports and imports of goods amounted to 0.01 and 0.04%. In terms of their volume, the country took 128<sup>th</sup> and 106<sup>th</sup> places (WTO). In 2017, five of the main trading partners were Turkey (\$1,589,377.7 th. – 14.8%), Russia (\$118,367.7 million – 11.1%), China (\$939,518.6 th. – 8.8%), Azerbaijan (\$81,904.2 th. – 8.2%) and Ukraine (\$566,601.4 th. – 5.3%). Russia (\$394,712.4 th. – 14.5%), Azerbaijan (\$ 272172.5 th. – 10.0%), Turkey (\$211.67 million – 7.9%), Armenia were the main export trading partners (7.7%) and China (\$207218.0 th. – 7.6%), on imports – Turkey (\$1372802.7 th. – 17.2%), Russia (\$394788970.2 th. – 9.9%), China (\$732,292.9 th. – 9.2%), Azerbaijan (\$609721.8 thousand – 7.6%) and Ukraine (\$ 445147.0 thousand – 5.6%) (Geostat).

The degree of integration of a country into world trade can be estimated by the Enabling Trade Index (ETI). It assesses the extent to which economies have in place institutions, policies, infrastructures and services, facilitating the free flow of goods over borders and to their destination. ETI is calculated using four sub-indexes: Sub-index A – market access; Sub-index B – border administration; Sub-index C – infrastructure; Sub-index D – operating environment. Sub-index A measures the extent and complexity of a country's tariff regime as well as tariffs. There are two pillars in this sub-index. Sub-index B measures border administration of a single pillar, which assesses the efficiency and transparency of the border administration. More specifically, it captures efficiency, transparency and costs associated with importing and exporting goods. Sub-index C assesses the availability and quality of transport infrastructure of the country, associated services, and communication infrastructure, necessary to facilitate the movement of goods within the country and across the border. Sub-index D consists of a single pillar, which has a significant impact on the quality of its products, imports, and trade and transport merchandise to do business. According to the Enabling Trade Index in 2016, Georgia ranks 41<sup>st</sup> among 136 countries, and in 2014 it was on the 46<sup>th</sup> place among 134 countries. Under sub-index A Georgia is on the 15<sup>th</sup> place, sub-index B – 39<sup>th</sup>, sub-index C – 73<sup>rd</sup> and sub-index D – 33<sup>rd</sup> (Table 3).

Table 3. Enabling Trade Index, 2016

	Rank	Score
Enabling Trade Index	41	4.8
Subindex A: Market access	15	5.2
Pillar 1: Domestic market access	9	5.9
Pillar 2: Foreign market access	33	4.6
Subindex B: Border administration	39	5.3
Pillar 3: Efficiency and transparency of border Administration	39	5.3
Subindex C: Infrastructure	73	3.8
Pillar 4: Availability and quality of transport Infrastructure	76	3.3
Pillar 5: Availability and quality of transport services	98	3.6
Pillar 6: Availability and use of ICTs	65	4.6
Subindex D: Operating environment	33	4.8
Pillar 7: Operating environment	33	4.8
Weforum. The Global Enabling Trade Report. 2016, pp.136-137 <a href="http://www3.weforum.org/docs/WEF_GETR_2016_report.pdf">http://www3.weforum.org/docs/WEF_GETR_2016_report.pdf</a>		

The most problematic factors for importing are: high cost or delays caused by international transportation, tariffs and non-tariff barriers, high cost or delays caused by domestic transportation, burdensome import procedures, inappropriate telecommunications infrastructure, domestic technical requirements and standards, corruption at the border. In turn the most problematic factors for exporting are: identifying potential markets and buyers, inappropriate production technology and skills, technical requirements and standards abroad, access to trade finance, difficulties in meeting quality/quantity requirements of buyers, access to imported inputs at competitive prices, burdensome procedures at foreign borders, high cost or delays caused by international transportation, rules of origin requirements abroad, corruption at foreign borders, high cost or delays caused by domestic transportation and tariff barriers abroad (Weforum, 136). For the further development of Georgia's foreign trade and its full-fledged integration into world trade in goods, first of all these problems should be resolved.

Table 4 shows the estimates of efficiency of foreign trade of Georgia and its import dependence on top trade partners in 2017. The effectiveness of foreign trade is the ratio of exports to imports and import dependence on trading partners shows the ratio of imports to exports. As seen in Table 4, from 10 major trading partners of Georgia only trade with Bulgaria can be considered effective. Georgia has a strong import dependence on Germany, Turkey and China.

Table 4. Efficiency of Georgia's foreign trade and its dependence from imports of top trading partners, 2017

Countries	Exports, thsd. US Dollars	Imports, thsd. US Dollars	Export/Import*	Import/Export*
Total	2727971.5	7979435.0	0,34	2,92
Of which:				
Turkey	216567.1	1372802.7	0,16	6,34
Russia	394712.4	788970.2	0,50	2.00

China	207218.0	732292.9	0,28	3,53
Azerbaijan	272172.5	609721.8	0,4	2,24
Ukraine	124449.8	445147.0	0,45	3,58
Armenia	208701.5	281137.6	0,74	1,35
Germany	45361.6	433330.0	0,10	9,55
United States	121794.2	267746.1	0,45	2,20
Bulgaria	178827.4	155551.2	1,15	0,87
Italy	69278.0	217299.6	0,32	3,14
Other countries	888888.9	2675435.9	0,33	3,01
* Calculated by the author. Source: <a href="http://geostat.ge/cms/site_images/_files/english/bop/FTrade_2017_ENG-with%20cover.docx.pdf">http://geostat.ge/cms/site_images/_files/english/bop/FTrade_2017_ENG-with%20cover.docx.pdf</a>				

Despite the negative trends in the development of Georgia's exports, the country has the potential to increase it. As shown in Table 5, Georgia has revealed comparative advantages for such products as Minerals, Food Products, Vegetable, Metals, Transportation and Chemicals.

Table 5. Revealed comparative advantages of exported goods of Georgia

Products	Georgia $X_{ij} : X_{it}$	World $X_{wj} : X_{wt}$	RCA <sub>ij</sub>
Animal	2.15	2.20	0.98
Vegetable	9.20	3.44	2.67
Food Products	17.52	3.40	5.15
Minerals	9.36	1.52	6.16
Fuels	2.70	11.01	0.25
Chemicals	10.17	9.14	1.11
Plastic or Rubber	1.24	4.34	0.29
Hides and Skins	0.26	0.73	0.36
Wood	0.95	2.47	0.38
Textiles and Clothing	3.18	4.50	0.71
Footwear	0.15	0.92	0.16
Stone and Glass	2.20	4.94	0.45
Metals	16.85	6.91	2.44
Mach and Elec	2.50	25.11	0.10
Transportation	20.56	10.13	2.03
Miscellaneous	1.02	9.25	0.11
Calculated by the author. Source: WITS <a href="http://wits.worldbank.org/CountryProfile/en/GEO,http://wits.worldbank.org/CountryProfile/en/Country/WLD/Year/2014/TradeFlow/Export/Partner/all/Product/90-99_Miscellan">http://wits.worldbank.org/CountryProfile/en/GEO, http://wits.worldbank.org/CountryProfile/en/Country/WLD/Year/2014/TradeFlow/Export/Partner/all/Product/90-99_Miscellan</a>			

## Conclusions

The processes of liberalization of the economy in Georgia significantly change the nature of foreign trade relations. The country is gradually improving the terms of trade, but there are serious problems in this area. Among them, one should note the strong dependence on imports, the irrational commodity structure, the decrease in the share of capital goods, the high level of concentration, the low level of diversification, the underdeveloped infrastructure, etc. In this regard, Georgia should optimize the structure of the economy, find resources to stimulate exports and implement policies substitution of imports, increase of innovative potential, etc. Addressing the trade deficit and increasing exports should become one of the main tasks of Georgia's economic development. The country needs a development strategy that will reduce the impact of negative external factors and increase the level of independent development.

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## A Study on Public-Private Partnerships with reference to Municipality of Korca, Albania

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### Abstract.

Public private partnership is in central of good governance with emphasis on efficiency, inclusion and partnership. The main point is that the partnership does not mean competition, but cooperation between different organizations. It means a formal link between public and private sectors and involves cooperation in planning, financing and implementation of joint projects to achieve common goals. The state assists in its mission from many actors, and above all from the private sector. This article aims to explore the concept of Public Private Partnership as an approach that provides mutual benefits to both public and private sectors. Albania has great potential to develop successful forms of Public Private Partnerships and the public interest is quite high, however, it is important to learn from own successful and not successful experiences of the past, as well as from the experience of the others. This study focused in experience of Municipality of Korca, main region in southeast of Albania.

**Keywords:** Public- Private Partnership; local government; good governance; social projects; efficiency.

### Introduction.

Changes at the present time are characterized by dynamism, speed and complexity, therefore the public sector, local governments are actively under these rapid changes in socio-economic context. Today the modern state should act as a promoter of strategic, economic and social development. Main objectives of public authorities can be summarized as follows: To protect the public interest and undertaking the regulatory acts in those areas where the market is not functioning properly; to planning and to manage the implementation of public policies; to create an enabling environment to encourage entrepreneurship and investment. Public private partnership (PPP or P3) is central to good governance with emphasis on efficiency and involvement or partnership. Old regulatory role of the state changed. Now the new role of the state is partner aimed development. This is a cultural change that is characterized by mutual trust between the public and private sectors, as well as a greater economic understanding by the government on the one hand, and a stronger orientation towards a common goal of private enterprises, on the other. Public-Private Partnerships are widely accepted and recognized in public sector management. It is the new mentality in Albanian society. On one hand, public institutions have made efforts to adopt advanced models of development, have undertaken reforms and are all-reformed itself, have approximated with EU legislation, have made efforts to implement, have decentralized the responsibilities from central government to local governments. On the other hand, private business has demonstrated progress in increasing the business contribution to local GDP; they have begun to improve the level of management, have advanced the institutionalization of business representation and its perfection by European standards. In the same time civil society is represented by a consolidated network of non-profit organizations growing in national and local level. The purpose of this study is to identify the values of solidarity, the obligation of individuals to contribute to solving community problems. Local actors have begun dialogue on issues of common interest, but rarely noticed premise that goes against the principle of dialogue and partnership in development.

### Literature Review.

Public Private Partnerships are defined as a form of collaboration between public and private sector, taking different legal forms and being implemented in several sectors. There is a wide spread of these types of partnerships, different literature acknowledge that there is not a clear definition of such a partnership. From the 1980s, the key words of the New Public Management were privatization, market mechanism, the distribution of public goods and services, competitiveness and reinventing the role of government. The aims of New Public Management were: reduction of public sector expenditure, delegation of responsibilities to the private sector and promotion of voluntary commitment of private sector to providing

public goods (Mitchell-Weaver; Manning 1991). In a competitive global environment, governments around the world were focusing on new ways to finance projects, build infrastructure and deliver services. Initially, most public-private partnerships were negotiated individually, as one-off deals, and much of this activity began in the early 1990s. The 1990s saw the creation of PPPs as the main means of public policies worldwide (Osborne 2000, p.1), as a novelty of the New Public Management. The principles of New Public Management encouraged the establishment of Public-Private Partnership as a new management tool. Nowadays there is a large variety of public-private partnership definitions worldwide. The European Commission (2004) defines PPPs as "forms of cooperation between public authorities and the world of business which aim to ensure the funding, construction, renovation, management or maintenance of an infrastructure or the provision of a service" OECD (2008) defines PPP as "an arrangement between the government and one or more private partners (which may include the operators and the financiers) according to which the private partners deliver the service in such a manner that the service delivery objectives of the government are aligned with the profit objectives of the private partners, and where the effectiveness of the alignment depends on a sufficient transfer of risk to the private partners".

### **Methodology.**

This is a conceptual study with explorative methodology. The preparation of this article is based on secondary research, primarily in the form of literature review. The secondary data was collected from different sources like text books, research papers, articles, reports, surveys, strategic documents. This study was made to have an insight of Public Private Partnerships with reference to Municipality of Korca's projects and to analyses difficulties and benefits. This article aims to raise attention not only to the benefits of PPPs through exploring the trends of development, pointing out successful cases, but also to the need of properly understanding the concept of PPPs in order to reach successful agreements. These partnerships are considered to give a positive contribution not only to the economic development but also to the social welfare of a region.

### **Why is necessary the Public Private Partnership?**

In this way, we can group the causes for the development of PPPs in economic and social reasons; the former are further classified into macroeconomic factors related to the availability of public and secondly microeconomic investment related to the efficiency of public investment. In general, public authorities can consider PPP arrangements in any of the following circumstances. When:

- The project cannot be provided with the financial resources or expertise of the public sector alone;
- A private partner would increase the quality or level of service over that provided by the public sector on its own;
- A private partner would allow the project to be implemented sooner than if only the public sector was involved;
- There is support from users for the involvement of a private partner;
- There is an opportunity for competition among prospective private partners;
- There are no regulatory or legislative prohibitions to involving a private partner in the provision of a project;
- The cost of the project can be recovered through the implementation of user fees;
- The project provides an opportunity for innovation;
- There is a track record of partnerships between government and the private sector;
- There are opportunities to foster economic development.

The public sector is importing private initiatives, knowledge, skills and experience, but at the same time maintaining responsibility, democratic control, policy-making and protecting the public's interests. At the strategic level, arguments can be raised that the public sector is striving to increase efficiency through the use of business methods and entrepreneurial know-how, but private companies are interested in sharing their approach as a way to gain competitive advantage. Private partners receive new contracts, experience and at the same time expand their network, employ their people, use technological innovations. It is also in the interest of the private and public sector to gain access to public policy when co-operating and co-participating. When we talk about PPP at the same time we have also highlighted its advantages. In addition to alleviating pressure on public finances and helping to allocate them to other indispensable places, there are also some other useful advantages to be mentioned. In the context of PPP, the risks are transferred to the private sector, involving private sector know-how; the private sector takes an active part in public policy, cost transparency is high, services are cheaper and more qualitative, etc. Public-Private Partnerships can provide innovative and competitive solutions for the same amount of committed money, risk is allocated to the partner who manages it better and mitigates or reduces it, and at the same time processes are open, fair and transparent.

## Experiences of Municipality of Korca

Korca Municipality is the major urban centre in Southeast Albania. Korca Region neighbours the Elbasan Region to the Northwest, the Berat Region to the West, the Gjirokaster Region to the Southwest, while it shares borders with Macedonia to the Northeast and Greece to the Southeast. Currently Korca Municipality is working to implement some PPP with aim revitalization of some areas that are not functioning. Some of Korca Municipality initiatives are:

1. Establishment of a Public Private Partnership Center (PPP), as a study and coordination center in the function of local economic development. This center will identify various issues, coordinate the work of all actors to define project ideas and then draft project proposals to subsequently apply to potential donors to provide the necessary funding by monitoring the implementation of projects. It will become a center for different studies that precede the drafting of specific strategies or plans, concrete projects etc. The establishment of this center will also help to concretize the cooperation of local government, business and community in the interest of everyone. Expected results will be: Creating partnerships among stakeholders; identifying the real needs of economic development; drafting project proposals in a professional manner; finding potential funds for project implementation. Target groups are: Local community, businesses, local government institutions.

2. The PPP program for social housing and neighborhood improvement in the city of Korça. The main objective of this project is to improve local property management and attracting private sector investment with competition and transparency to rebuild urban lands, to provide housing and relevant services to the community. Completed of the project will offer affordable housing and social housing opportunities for some families that are unable to access market financial instruments. The project will include space for trading or for rent, open areas, parking and improvements necessary public infrastructure. This project was assisted by USAID project for Local Governance (LGPA) through its partner, the Urban Research Institute (URI). The project is expected to produce up to 463 apartments, of which 80% will be sold at the price of market and 20% will be subsidized for social housing. The project aims to general increase of living standards in a well-defined neighborhood community, while at the same time increasing the capacity of the municipality to influence private investment with through a Public Private Partnership structure (PPP). The main goals of the project are: to increase the value of public properties that are little used and owned municipality; to increase of the investment portfolio of the municipality in infrastructure and improving public services by developing skills for analyzing feasibility of the project and identifying appropriate alternatives for project financing; meeting the needs for social housing by investing in investments directly with the private sector through the PPP mechanism. The activities of this project will help the Municipality of Korça for overcoming problems in property management, evidencing the use it will maximize the proper and productive use of these properties, thus creating resources that can be used to increase the quality of public services provided by hall. Also, this project can help the municipality increase its experience and capacity local administration and elected officials in property management, treatment of issues such as local government property management, based on internationally accepted approaches. Enhance property management will enable it the municipality uses its assets more strategically to generate revenue necessary and to reduce the cost of providing the best public services. Identification of the correctness of the key parameters of the project will provide a competitive situation that will enable a transparent and quality assessment process for selecting the right private investor. The community also benefits from the processes as this is the right to benefit from one property (gained) and not given. As the final beneficiary of planning activities and municipal development programs, it is expected that a considerable number of families of registered as homeless in Korça will benefit from the realization of the proposed project public-private partnership. The private sector will benefit from the opportunity to compete in a fair and equitable way transparent for the right to build a major project with different uses in one an important city in Albania. The municipality will select the proposal it meets basic building parameters determined by the municipality, a project that is feasible and realist as a business venture and offering the greatest benefits or benefits to community. However, it is understood that the builder will also realize a fair profit as well the result of his involvement in this project. The most important achievement of this project is the introduction of public-private partnership as one an effective alternative to managing local properties by establishing a relationship long-term relationship between the private sector and the local government unit. Partnership structure private public establish a stable cooperation between the two parties by sharing risks, contribution capital, and profitability from the successful implementation of the project. In this way, two goals are achieved: This project is an important stage in starting a 10-year program housing designed by the Municipality of Korça, which aims to cut to 13% of the demand homeless families in the years to come. Today, Korça has about 1,500 homeless families out of it which 738 have reapplied for housing under Law 9232, dated 13.05.2004, "On the Program Social Security for Housing Citizens in Urban Areas".

## Conclusions and recommendations.

Public Private Partnerships are widely known to be the new face of development and growth where the collaboration between public and private actors aims to the achievement of common goals. PPPs have proven to be an effective approach in terms of providing investments and public services, in several European countries. Albania is a country with great potential for PPPs. Good PPPs should be built on basis of trust, mutual agreement, transparency and accountability. Some recommendations:

- Legal institutionalization of business relations / power central / local government and civil society. This should be accomplished through an open social dialogue.
- Extension of the tools of partnership with 'game rules' even at the local level. This relates to the transfer of some important powers from central government to local government, particularly fiscal powers.
- The important thing is to ensure greater transparency of public-private cooperation, which should also be provided for this law.
- Redefining the role of the state as the creator of a framework of stable and secure for everyone (citizens, various interest groups, business, etc.)
- Rules defining fair game and not taking their managing experience of developed countries: Modern state as a partner and as a guarantor.
- Continuation / deepening of the decentralization process as it ensures democracy, stability and promotes local economic development; It is also associated with financial decentralization process, at the same time strengthening the capacity of local units, training, and recognition of the positive experience in this area them;
- Building public private partnerships requires the focus of reforms and partnerships citizen - thus building a society with human face. Changing the mentality of local and central administration as part of public administration reform, promotion of cooperation among local units at home and abroad, including cross-border cooperation;
- Approximation of Albanian legislation with EU countries, and highlight the role of local government units in this process.
- Strengthening associations of local elected officials; institutionalization of relations with business and civil society, with laws and by laws.

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## Evaluating Challenges and Opportunities in the Development and Management of Physical Activity in Albania to Increase the Involvement of the Population in It

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### Abstract

The study aims to assess the challenges, opportunities for development and management of physical activity in Albania compared to other countries in the region. The data collection tool included interviews, and the questionnaire used in all gyms in Albania. The result speaks of a huge gap with regard to the development of sports and the inclusion of populations in physical activities. According to the findings of the study, the number of population frequented by gyms in Albania. It is also worrying the very low number of female participants in the gym compared to the total number of women in the national level and the large difference in the number of males participating in physical activity and mainly in gymnasiums with the number of women that correctly reflected that in Albania it needs the revival and strengthening of gender mechanisms at national and local level. The result also revealed a lack of trained human resources, lack of policies and sound development strategies to increase population participation in physical activities. To this end, the National Sports and Regional Institutions, the Albanian Sports Federation and other relevant sports authorities should take all necessary measures to develop and expand the inclusion of populations into physical activities as a necessary means to increase the quality of life.

**Keywords:** challenges and opportunities, development, participation policies

### Introduction

With increasing age, there is an increased risk of developing non-communicable chronic health conditions.<sup>2</sup> In a recently published review, Blair et al emphasised the direct link between physical inactivity, low cardiovascular fitness and the presence of chronic health conditions.<sup>3</sup>

Five leading risk factors for death are high blood pressure, smoking, high blood glucose, physical inactivity and obesity.<sup>4</sup> A glance at these risk factors reveals that high blood pressure and glucose levels as well as obesity are connected with physical inactivity.<sup>3</sup> Alongside the increasing incidence of these risk factors with ageing, there is a decline in many physiological systems; a loss of muscle mass, a decline in balance ability, a reduction in muscle strength and endurance<sup>5</sup> and a decline in cognitive performance,<sup>6</sup> all of which impact on functional independence. Paterson *et al*<sup>1</sup> suggested that increasing physical activity levels is the most important intervention to improve health in populations. For older adults, extending life is an important factor, but the maintenance of functional independence is also of high importance, both to maintain quality of life and to manage health resources.<sup>7</sup> Therefore, it is important for anyone to spend some time doing sports recreational activities in closed encounters, in nature, in gyms to enhance the quality of life.

### Methodology

A standardized questionnaire comprising open questions was used as an evaluating instrument and was submitted to owners, administrators and managers of fitness centers (when there was one in the surveyed areas) and Zumba, Pilates, Taekwondo and Kickboxing gyms. Data obtained from the questionnaire were further processed statistically to draw the results of the study.

309 fitness centers within the territory of Albania were the subject of the study.

### The aim of the study

The aim of this study is to highlight the participation of the Albanian population in organized sporting activities for all ages, to see and record the adequacy of sports centers in our country to meet the needs of the population and if we are working with professionalism from certified specialists such as one of the most important things to increase the participation. This study will serve to give a great help in participating in recreational activities for all age groups by increasing the quality of life.

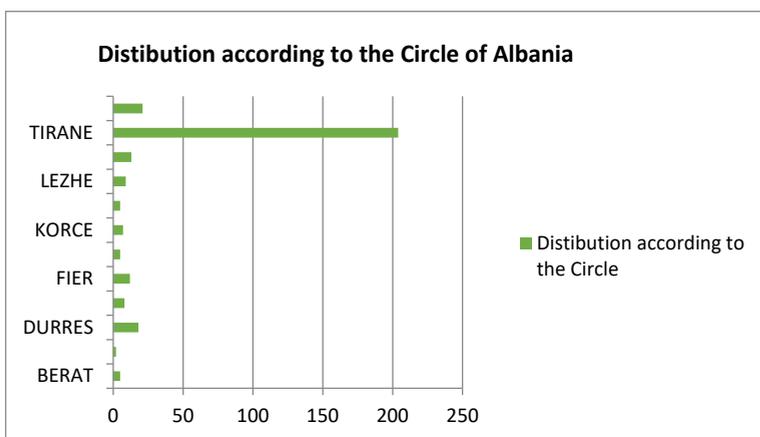
No work has been done so far for the number of people involved and that are in the process in this area at Albanian institutions.

### Results

1-Referring to the data on the number of gyms within the territory of the Republic of Albania, the results are as follow. What strikes from the data listed in the table is the low number of gyms in most cities and districts, and the sharp contrast with the situation in the capital of the country, where the number of gyms outdoes by many times that of the gyms in districts such as Vlorë, Shkodër, Durrës, Lezhë, and the insignificant number found in the districts of Dibrë, Kukes, Gjirokastër, Berat, etc.

The following tables reflect the distribution of the gyms according to the Circles in Albania

Distribution according to the Circle of Albania					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	BERAT	5	1.7	1.7	1.7
	DIBER	2	0.7	0.7	2.4
	DURRES	15	5.1	5.1	7.5
	ELBASAN	4	1.4	1.4	8.8
	FIER	9	3.1	3.1	11.9
	GJIROKAS	5	1.7	1.7	13.6
	KORCE	6	2.0	2.0	15.6
	KUKES	5	1.7	1.7	17.3
	LEZHE	10	3.4	3.4	20.7
	SHKODER	12	4.1	4.1	24.8
	TIRANE	200	68.0	68.0	92.9
	VLORE	21	7.1	7.1	100.0
	Total	309	100.0	100.0	

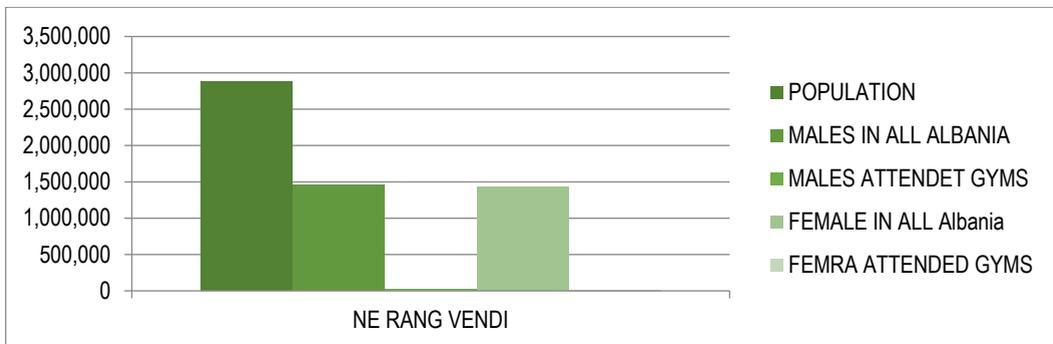


Distribution according to the Cities of Albania					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	BERAT	4	1.4	1.4	1.4
	BIBER	1	0.3	0.3	1.7
	DURRES	12	4.1	4.1	5.8
	ELBASAN	6	1.0	1.0	6.8
	ERSEKE	1	0.3	0.3	13.9
	FIER	6	2.0	2.0	8.8
	FUSHE KRUJE	3	1.0	1.0	17.3
	GJIROKAS	3	1.0	1.0	9.9
	KAVAJE	3	1.0	1.0	9.9
	GRAMSH	1	0.3	0.3	10.2
	KORCE	3	1.0	1.0	11.2
	KRUJE	6	1.0	1.0	12.2
	KUCOV	1	0.3	0.3	12.6
	KUKES	2	0.7	0.7	13.3
	KURBIN	1	0.3	0.3	13.6
	LAC,KURB	1	0.3	0.3	13.9
	LEZHE	7	2.4	2.4	16.3
	LIBRAZHD	1	0.3	0.3	13.9
	LUSHNJE	3	1.0	1.0	17.3
	MALLAKASTER	1	0.3	0.3	13.9
	MALESI E MADHE	1	0.3	0.3	13.9
	MAMURRAS	1	0.3	0.3	17.7
	MAT	1	0.3	0.3	18.0
	MIRDITE	1	0.3	0.3	19.7
	PERMET	1	0.3	0.3	18.4
	POGRADEC	3	1.0	1.0	19.4
	RROGOZHINE	1	0.3	0.3	25.5
	PUKE	1	0.3	0.3	19.7
	SARANDE	5	1.7	1.7	21.4
	SHKODER	11	3.7	3.7	25.2
TEPELENE	1	0.3	0.3	25.5	
TIRANE	200	68.0	68.0	93.5	
TROPOJE	3	1.0	1.0	94.6	
VLORE	16	5.4	5.4	100.0	
Total		309	100.0	100.0	100.0

In the tables and graphs that follow you find the number of population having a gym membership at district and country level, and the number according to gender divisions as compared to the number of population. From the data obtained it results that the number of people working out in gyms is relatively low as compared to the overall population at district and country level pointing to the fact that physical activity is not an important aspect in the life of people in general, what might be due to economical, social, cultural and psychological factors. Another important finding from the study is that the number of boys that frequent gyms is many times higher than that of women for all districts and at national level.

Qarku	YEAR 2017								
	MALES IN ALL ALBANIA	MALES ATTENDED GYMS	%	FEMALE IN ALL ALBANIA	FEMALE ATTENDED GYMS	%	POPULATION NUMBER OF ALBANIA	POPULATION ATTENDED GYMS	%

Berat	67,397	280.00	0.4	64,545	46.00	0.1	131,942	326	0.2
Dibër	65,742	110.00	0.2	59,837	50.00	0.1	125,579	160	0.1
Durrës	145,390	1012.00	0.7	139,433	969.00	0.7	284,823	1,981	0.7
Elbasan	144,258	180.00	0.1	139,564	210.00	0.2	283,822	390	0.1
Fier	155,524	620.00	0.4	146,983	270.00	0.2	302,507	890	0.3
Gjirokastrë	33,191	222.00	0.7	32,748	90.00	0.3	65,939	312	0.5
Korçë	108,337	342.00	0.3	105,984	278.00	0.3	214,321	620	0.3
Kukës	40,925	340.00	0.8	38,634	80.00	0.2	79,559	420	0.5
Lezhë	65,642	317.00	0.5	63,377	107.00	0.2	129,019	424	0.3
Shkodër	103,370	690.00	0.7	104,554	445.00	0.4	207,924	1,135	0.5
Tiranë	427,915	14696.00	3.4	434,446	10642.00	2.4	862,361	25,338	2.9
Vlorë	95,850	1172.00	1.2	92,945	635.00	0.7	188,795	1,807	1.0
Gjithsej / Total	1,453,541	19981.00	1.4	1,423,050	13822.00	1.0	2,876,591	33,803	1.2

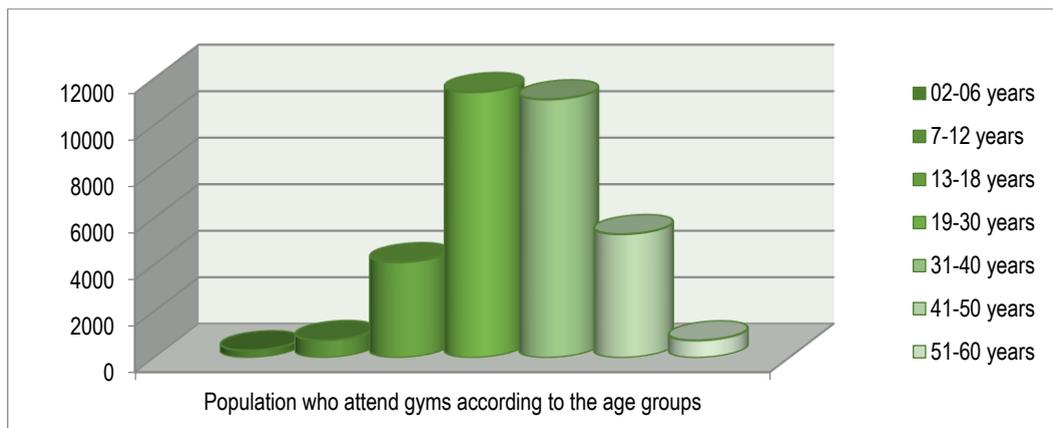


Besides results according to gender divisions, the study also obtained data on the number of gym memberships based on age divisions. In the table and graph displayed we have included results for every age, but I'd like to clarify that the data for the age groups of 2-6 years and 7-12 years have resulted from sports centers which include pools and which offer swimming classes for these age groups. Whereas gym memberships are held by adults more precisely; youngsters, middle aged and elderly people. The data collected speak for a considerable number of youngsters aged 18-30 years having a gym

membership, a tendency observed even in the group of 31-40 years of age, while a plummeting of the numbers is recorded in the age group of 41-50 years and an insignificant number can be observed among the age group of 51-60 years.

CIRCLE	02-06 years	7-12 years	13-18 years	19-30 years	31-40 years	41-50 years	51-60 years	61+	TOTAL
	ALL	ALL	ALL	ALL	ALL	ALL	ALL	ALL	
BERAT	0.00	0.00	39.00	138.00	149.00	0.00	0.00	0.00	326.00
DIBER	0.00	0.00	40.00	80.00	40.00	0.00	0.00	0.00	160.00
DURRES	0.00	0.00	295.00	717.00	480.00	430.00	59.00	10.00	1991.00
ELBASAN	0.00	0.00	10.00	100.00	190.00	90.00	0.00	0.00	390.00
FIER	0.00	0.00	80.00	360.00	320.00	130.00	0.00	0.00	890.00
GJIROKAS	0.00	0.00	25.00	101.00	145.00	41.00	0.00	0.00	312.00
KORCE	10.00	13.00	92.00	255.00	165.00	77.00	8.00	0.00	620.00
KUKES	0.00	0.00	100.00	110.00	210.00	0.00	0.00	0.00	420.00
LEZHE	0.00	13.00	49.00	228.00	96.00	38.00	0.00	0.00	424.00
SHKODER	0.00	0.00	199.00	410.00	305.00	201.00	10.00	10.00	1135.00
TIRANE	260.00	636.00	2938.0 0	8193.00	8580.00	4063.00	593.00	85.00	25348.00
VLORE	43.00	89.00	233.00	719.00	417.00	237.00	67.00	2.00	1807.00
TOTAL	313.00	751.00	4100.0 0	11411.0 0	11097.0 0	5307.00	737.00	107.00	33823.00

CIRCLE	02-06 VJEC	7-12 VJEC	13-18 VJEC	19-30 VJEC	31-40 VJEC	41-50 VJEC	51-60 VJEC	61+
	TOTAL	TOTAL	TOTAL	TOTAL	TOTAL	TOTAL	TOTAL	TOTAL
BERAT	0.00	0.00	11.96	42.33	45.71	0.00	0.00	0.00
DIBER	0.00	0.00	25.00	50.00	25.00	0.00	0.00	0.00
DURRES	0.00	0.00	14.82	36.01	24.11	21.60	2.96	0.50
ELBASAN	0.00	0.00	2.56	25.64	48.72	23.08	0.00	0.00
FIER	0.00	0.00	8.99	40.45	35.96	14.61	0.00	0.00
GJIROKAS	0.00	0.00	8.01	32.37	46.47	13.14	0.00	0.00
KORCE	1.61	2.10	14.84	41.13	26.61	12.42	1.29	0.00
KUKES	0.00	0.00	23.81	26.19	50.00	0.00	0.00	0.00
LEZHE	0.00	3.07	11.56	53.77	22.64	8.96	0.00	0.00
SHKODER	0.00	0.00	17.53	36.12	26.87	17.71	0.88	0.88
TIRANE	1.03	2.51	11.59	32.32	33.85	16.03	2.34	0.34
VLORE	2.38	4.93	12.89	39.79	23.08	13.12	3.71	0.11
TOTAL	0.93	2.22	12.12	33.74	32.81	15.69	2.18	0.32



## Discussion and Conclusion

Data on the number of gyms located in the territory of the Republic of Albania are a clear indication of the low number of gyms in most of the cities and regions and the difference of the number of gyms in the capital city with the number of gyms in the regions, which is many times more than in regions including Vloa, Shkodra, Durresi, Lezha and an insignificant number in other regions including Dibra, Kukes, Gjirokastra, Berat etc. The number of the population enrolled in these gyms at regional and national level and the number by gender categories compared to the total number of the population show that the number of people enrolled in these gyms is very much low compared to the total number of the population in regions and at national level. This is a proof that in our country physical activity is not an important part of the life of the population, and this phenomenon may be happening because of different economic, social, cultural or psychological phenomena.

Another important result of this study is the number of males enrolled in the gyms which is higher compared to the number of females in all the regions and at national level. It must be noted that in the smaller regions including Berat, Dibra, Gjirokastra, Kukesi etc the participation of females is quite low, compared to males.

The study, in addition to the gender category, considers even the age groups enrolled in the fitness centers. The gyms are mostly attended by adults: young people, middle age and third age. There is a high number of the young people aged 13-18 and the involvement of the population of the age group 19-30 and 31-40 years of age. There is a sharp decrease of the number of those aged 41-50 and even more so of those aged 51-60. Such low number of persons of this age group attending the gyms must be studied from a broader point of view, in all the possible social, economic, cultural, physiological, psychological components etc.

An important aspect pointed out in this study is the shortage of the professional trainers and their education as an important factor to have professional gyms as the key to having an increase number of people attending them. The statistics show that the gyms in our country do not provide services of the proper standards because there are only a limited number of trainers, two per each gym, and an average number of clients of 90 persons, which means that 1 trainer must prepare a training plan for 45 clients per day and it is impossible in this situation to perform quality service. Not only does the high number of clients per trainer infringes the standards, but also their education does not correspond to the work they carry out. The results show that most of the trainers are teachers of physical education, other are trainers who have completed another education, and only a few of them are trainers who have the relevant education for this occupation. Physical activity and recreation "fitness trainer.

## Further Implication

Further study will be needed to find the reason why there are few fitness center in most of the cities in our country and why are they attended by a low number of the population. There is a big difference of these components with the capital city. Additional study should consider as well the third age group in several physiological, psychological, social etc aspects as they do not go to the fitness center, but maybe they are involved in other recreational activity. Another study must concern the considerable difference between the number of males and females attending the gyms, the reason behind, whether for economic reasons or social conservative reasons.

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## Edmodo as an Assessment Tool in the Foreign Language Learning Process

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### Abstract

Due to the rapid developments in educational technology, today's professors are in search of exploring innovative techniques in order to promote involvement of students in the learning process in general and in the foreign language learning process in particular. This is why today's students are seen as digital-natives and being motivated for the learning process is very difficult if the modern technology they are familiar with is not utilized effectively in the classroom. When it comes to the assessment part of this process, the situation may become worse, as most of the students feel unwilling due to anxiety problems in general and foreign language anxiety in particular. This study presents an innovative way of assessing students' skills that they gain during foreign language learning process introducing Edmodo, which is an educational social network that provides a secure learning platform for students and educators. This study is a descriptive one, based on the analyses, surveys, and opinions of different researchers that have implemented this platform in their teaching process. The main objective is to introduce the implementation of various assessment applications through Edmodo.

**Keywords:** assessment, Edmodo, Learning management system, foreign language learning process, foreign language anxiety, test anxiety

### Introduction

Nowdays due to recent developments in information and communication technologies professors are trying more and more to create contemporary learning environment, modernizing current teaching techniques, materials, new methods and tools. Today's students, labelled as "digital natives" need more than what traditional classrooms can give. Motivating and engaging today's students in the learning process is very difficult if the learning environment doesn't "call" them.

For these reasons, technological devices have become essential and crucial for these students facilitating access to information anywhere and anytime.

In the foreign language, learning process the assessment is regarded as an essential component and many studies showed that language learners confront much more assessment activity than other subject learners. Many students have reported the existence of foreign language anxiety. It seems quite natural for them to be anxious as they are assessed almost during the whole process.

That is why a great amount of attention has been paid to foreign language anxiety and language test anxiety and have been reported by many researchers. For examples Horwitz et al. (1986) stated that the language anxiety is mostly grounded in the skills of speaking and listening. They also stated that language anxiety appears when an individual is evaluated in academic and social context. Therefore, they have identified three related performance anxieties: communication apprehension, test anxiety and fear of negative evaluation.

To put it in other words an individual experiencing communication apprehension finds it difficult to speak in a group or in public, or even to listen to a spoken message. The communication apprehension can also be caused by the necessity to produce language structures in a language which is not yet fully mastered. The inability to express themselves in a desired manner or to understand others can lead to frustration and can make otherwise talkative people silent in foreign language class. (Horwitz et al.1986)

Performance evaluation is an ongoing feature of most foreign language classes, so tests are a common measurement of progress (Horwitz et al. 1986).

Many researchers have found that there are differences in the anxiety produced by different testing forms.

One of the most anxiety provoking tests are those involving translation, while dictations and true- false forms of tests are least anxiety provoking (as cited in Piechurska-Kuciel, 2008).

The third element of anxiety that also occurs in the foreign language process is the fear of negative evaluation. According to Horwitz et al. (1986) there is a moderate correlation between the fear of negative evaluation and language anxiety. Students are afraid of making mistakes, especially in pronunciation and oral communication, because they fear the negative evaluation from their

peers or professors. If the students are anxious, they will try to avoid any form of communication, or reduce it to a minimum, in order to avoid negative evaluations.

For these reasons motivating students has become more difficult and challenging. That is why researchers and professors are constantly searching innovative techniques to promote today's students involvement in learning activities and in particular in foreign language learning process.

For examples, Lee and Lee (2015) examine the effects of audio-visual aids on anxiety, retention in reading, comprehension test scores in English as a Foreign Language (EFL) classrooms. During their study reading and listening tests, general and test anxiety, and retention were measured in English-major college students in an experimental group with audio-visual aids (n = 83) and a control group without audio-visual aids (n = 94) with similar general English proficiency. As the result lower reading test anxiety, unchanged reading comprehension scores, and better reading short-term and long-term retention after four weeks were evident in the audiovisual group relative to the control group. In addition, lower listening test anxiety, higher listening comprehension scores, and unchanged short-term and long-term retention were found in the audiovisual group relative to the control group after the intervention. They conclude that employing audio-visual aids can help students reduce reading and listening test anxiety.

Therefore, foreign language professors should know how to cope with anxiety problems inside the class especially during the testing of their students since anxiety has the potential of decreasing students' motivation, integration, and involvement in learning.

So the researches recommend foreign language professors to create more innovative, helpful and supportive atmosphere in their class in order to decrease students' anxiety levels and to encourage their involvement in the learning process. As it is clear from many studies conducted in different context about foreign language anxiety in general and test anxiety in particular, reducing students' anxiety in the foreign language learning process is crucial for the success.

This study, suggests an alternative way of evaluating students' different language skills encouraging the use of modern technology with which almost all students are familiar.

This form of evaluating tool is embedded in a learning management system (LMS) called EDMODO which is a user-friendly and popular platform.

### **Learning Management System**

Learning Management System (LMS) also called Virtual Learning Environment (VLE) or Course Management System (CMS) are mainly used in e-learning environment to control and arrange learning and teaching activities. They are employed by professors and students too for posting contents, sharing materials and presentations, assigning students, perform assessment, creating quizzes, conducting polls, etc.

They provide learners with both synchronous communications facilities like chat rooms, whiteboards, video conferencing and asynchronous communications like quizzes, polls, surveys, forums, etc.

Irene Govender and Desmond W.Govender in their study "An Exploratory Study: The effectiveness of a Learning Management System (LMS) in the delivery of a face-to-face programming course" stated that using an LMS to manage administrative and organizational matters and for making more course resources available is effective and useful in large classes; the discussion forums brought the greatest satisfaction among students; the increased communication, via the forums, helped lecturers respond to problem areas quickly and to be more sensitive to student learning needs.

Dalton (2009) makes suggestions for professors of English that young people feel connected to people and the global knowledge. In contrast with the classroom setting, they may feel disconnected and isolated because it seems to them that school is irrelevant to their lives.

He addresses further these implications. Firstly, professors might try to use learning technologies in the classroom whenever they can so that they make the learning experience relating to their students. Secondly, professors might take on the role of trainer instead of engineer. Finally, they might find out which social networking site their students are using the most. So he suggests that LMS are reported to create an informal and relaxing atmosphere by making the learning process effective.

### **Edmodo - the Facebook for Education**

Recently the use of Information Communication Technologie (ICT) has spread in education all over the world. Specifically, in language education, the use of computer assisted language learning (CALL) has been broadly acknowledged as a positive contribution. Many language professors adopt and use various application software into their classrooms so they can deliver effective lessons and develop language skills.

Many studies have shown that social networks sites (SNS) like Facebook and Twitter have been emphasized as sites for interactive language learning. However these sites are not education-oriented.

In contrast, Edmodo is an education-oriented SNS developed in the United States in 2008. Many studies that have focused on the use of Edmodo in the education have showed that it is a very powerful online learning tool and have named it like "Facebook for Education" (Enriquez, 2014, p.1)

Edmodo is a highly user-friendly application for educational purposes, and its access is limited to students and professors who are registered. This site is supported in various languages, so professors and the students can select a preferred language to manage their accounts.

Every professor can create a different number of courses and for every course can invite students to join it by giving them the course's code created automatically by the platform.

Edmodo also allows to attach a variety of file types like Word doc, PPT, Excel, JPEG, MP3 etc. The users can share web sites links, embed flash objects like Google forms, YouTube videos, games, etc. Sharing different types of games (created by other softwares) can help to learn and improve new vocabulary items and grammar rules. When the game is then uploaded students receive notifications and are required to complete it within the given amount of time.

The video sharing is also useful for the foreign language learning process and helps to train listening.

Each file is supported by useful links to assignment or note like online dictionaries, forums, etc.

This platform enables professors to create quizzes, tests, assignments, assessments, analyse the result and estimate whether the learning goals have been accomplished. The analysis allows tutors to make the appropriate changes in the learning program, types of activities, etc.

Evidently, Edmodo makes the learning environment more flexible and adaptive to students' needs.

As a matter of fact, incorporating technology in teaching, especially these platforms like Edmodo is not a popular option in Albania, especially in our Faculty, due to several issues like lack of infrastructure or teacher's preferences for the old fashioned way of teaching.

My study stems from the curiosity of discovering views and concerns regarding conventional teaching which consequently triggered an interest in exploring an intervention scheme for foreign language learning showing potential aspects of implementing Edmodo and I prefer to focus shortly in two aspects that I thought are important for the foreign language learning process:

1. Using Edmodo as a channel to do assessments (supporting anxiety problems for the foreign language learners) and
2. Using Edmodo to develop language learning autonomy.

### Edmodo as a channel for assessments

Many studies have showed mismatched teaching and learning styles whereby the focus of conventional teaching is to prepare students for examinations while students of digital age need different learning strategy in order to retain information longer.

In her study "Rethinking Conventional Teaching in Language Learning and Proposing Edmodo as Intervention: a Qualitative Analysis" Farha Alia Mokhtar <sup>1</sup> focuses on perceptions of future teachers selecting as participants of the study pertaining to conventional teaching and potentials of implementing Edmodo to a foreign language classroom.

She explains that regarding the new ways for assessments using Edmodo the participants think that "Quizzes created and shared in Edmodo make learning interactive. The professor gave us the fill-in-the-blank task and such form of assessment gives an exiting new experience while and the end of the task they'll also know about thier overall performance ... Quizzes added new experince to the learning curve and the "poll" feature is also noteworthy because you cen get quick opinions just by voting".

At the introduction of my study I mentioned three forms of foreign language anxiety: problem of communication apprehension that is caused when the student has difficulties to speak in a group or in public, or even to listen to a spoken message, fear of the negative evaluation and test anxiety. Implementing Edmodo in the learning process and using it as a tool for the assessment these problems are avoided. Different studies based on interviews and surveys have reported some students' reflections according this new tool, for example "before I answer the questions professor posted on Edmodo, I read others' replies to see how they write their responses, how they use grammar items and finally I try to apply what I've read in my reply. In a way, I am learning grammar and vocabularies by looking at other comments...I think the fact that everyone will be able to see my answer/response make me more cautious and give extra attention to it, for example I don't want to commit grammar mistakes so it makes me more careful of my replies. You will want to write the best that you can because of the competitive situation. My vocabulary can also be improved as I get to read other comments and learn new words from them. I can learn from peers at the same time."<sup>2</sup>

In his article "Integrating Edmodo into Foreign Language Classes as an Assessment Tool" Emrah Ekmekci<sup>3</sup>, has reported some results from the semi-structured interview conducted by him with 62 students attending English preparatory classes in a state university in Turkey participated in various assessment activities through Edmodo during 2014-2015 academic year.

According to the question "Which assessment type would you prefer if you had a chance? Pen and paper quizzes or online quizzes?" a great number of students (n:53) reported that they would prefer online quizzes to pen and paper quizzes. Only 9 students stated that they would prefer pen and paper quizzes if they had a chance.

As a response to this question, students also stated that they feel less test anxiety in online quizzes compared with pen and paper ones. Some students' speech are as follows:

S1: "I prefer online quizzes, because I feel more relaxed and secure during online quizzes"

S2: "Normally I get excited in all exams. However, I really feel comfortable in online quizzes"

S3: "I don't like pen and paper quizzes. I feel nervous and I forget everything, but I believe that online quizzes help me reduce my test anxiety" .

### Implementing Edmodo to develop language learning autonomy

Phil Benson at his book "Teaching and Researching: Autonomy in language learning" writes that as the theory and practice of language teaching enters a new century, the importance of helping students become more autonomous in their learning has become one of its more prominent themes.

He also adds that when learners succeed in developing autonomy, they not only become better language learners but they also develop into more responsible and critical members of the communities in which they live. Autonomy can be broadly

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<sup>1</sup> School of Education and Modern Languages, College of Arts and Sciences, Universiti Utara Malaysia,

<sup>2</sup> Rethinking Conventional Teaching In Language Learning And Proposing Edmodo As Intervention: A Qualitative Analysis by Farha Alia Mokhtar

<sup>3</sup> Ondokuz Mayıs Üniversitesi, Department of English Language Teaching

defined as the capacity to take control over one's own learning; but we have to note that autonomy is not a method of learning, but an attribute of the learner's approach to the learning process. As a teacher and researcher who has been involved with the promotion of the idea of autonomy for a number of years, he takes the position that autonomy is a legitimate and desirable goal of language education. He states that autonomous learning is more effective than non-autonomous learning. In other words, the development of autonomy implies better language learning.

On Edmodo, the students have to answer questions given by professor or they will not be given marks. In this way, students are more responsible with their own learning process.

By using Edmodo the learning process become more attractive to students because it's student-centered while teachers only facilitate, observe and assess.

Edmodo provides a plausible solution by enhancing learners' learning curve and offering diverse options in assigning tasks always maintaining the focus and aims of the lessons through content analysis, grammar and vocabulary improvement and the most important students' self-efficacy.

One of the features of Edmodo, is the use of 'backpack/library' that allows extended storage on the site (i.e., documents, files, images and others). Besides storage, there are some other applications such as quiz, poll, assessments and quick buttons as useful in enhancing students' learning experience. Students can find information or links and keep it in 'backpack' and when it is time to submit or when they are done with the assessment/task, they can put up the link or whatever they found as a reference. They can store their assignments in "backpack" as a backup file to consult them further individually.

Edmodo as an intervention has the potential to produce promising results on students' self-efficacy.

### **Limitations and Relevant Issues**

Edmodo has been designed for mobile devices and PCs. Its main objective is to provide remote control to the discussion section, materials, and assignments. But its effectiveness is significantly decreased if the student are unable to download this platform to their mobile device. The insufficient memory of smartphones makes impossible to download Edmodo and join learning process so the student has difficulty to pass the test successfully due to limited access of learning materials.

Another limitation is associated with a battery charge of the device where Edmodo is downloaded. Low battery voltage may prevent a student from passing the quiz or doing the assignment on time.

Finally, the use of Edmodo requires the users to have the Internet connection, otherwise they cannot access the information, participate in the discussion. So it limits the working process, making it less convenient than face to face interaction. To ensure adequate systematic learning, the schools and universities, where Edmodo is used, are expected to provide every student and professor with the updated PCs, tablets or smartphones. Moreover, it is necessary to create the areas with uninterrupted Internet connection so to enable every student to join the educational process and the learning materials quickly. It's very important that equality in learning, access to information, and participation in quizzes or discussions will be guaranteed.

### **Conclusions**

It is necessary to say that LMS has recently become one of the most progressive ways for the foreign language learning process. Tools like Edmodo can be used both as a primary and as a supportive tool for professors. It enables them to share useful learning materials with the students, monitors their interest and progress in acquiring four skills which are reading, writing, listening, and speaking. Use of Edmodo increase the effectiveness of learning process.

Different studies introduce Edmodo as an alternative assessment tool to traditional pen and paper assessment techniques. Being a free of charge learning platform, Edmodo can provide all professors in general and foreign language professors in particular with various assessment facilities. Edmodo can be used as an effective assessment techniques as well as a learning platform through which professors can share course materials, notes, links and documents.

Some studies conducted with pre-services professors has suggested that Edmodo application should be carried out with international participation. So it is possible to create virtual classrooms with international participation of professors and students who are teaching and studying in the same departments and grade level in different countries, so the professors and students can see and recognised different experiences from the education system of the countries.

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## A Case Study of Foreign Direct Investment and Economic Growth Relationship in Turkey

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Davit Belkania

### Abstract

Foreign direct investment is believed to enhance long-term economic growth of a country through knowledge spillovers and technology transfers. This paper is an empirical attempt to check the effects of the foreign direct investment (FDI) on the economic growth (GDP) of Turkey. The paper uses time span from 1980 to 2017 for statistical analysis. Johansen co-integration and Granger causality tests were applied for empirical analysis. The results of the tests confirmed the presence of the co-integration between GDP and FDI as it was expected from the beginning. Furthermore, Granger causality test showed the unidirectional causality from FDI to GDP.

**Keywords:** Turkey, Foreign Direct Investment inflow (FDI), Gross Domestic Product (GDP), knowledge spillovers, technological advances

### 1. Introduction

Foreign Direct Investment (FDI) can be defined as the flow of cash organized by a unit or an individual, which aims at the business located in another country. The essential feature of FDI is the ability to establish an effective control over the decision-making process of a foreign business or substantially have an influence on it at the very least.

The role of foreign direct investment has been on the rise since the second half of the 1980s. The new management understanding and a considerable amount of possibilities are brought together resulting from technological advances, these investments have been demanded by both developing countries and developed countries. Foreign investments which was previously considered as a negative exertion are now put into practice in many countries due to the positive contributions they have made, as a result they are willing to open their borders and pay attention to attracting more direct foreign investment. Turkey has adopted new policies and strategies in this regard as it has been witnessing the initiation of foreign direct investment in the country as well as the widespread view that the problems of the countries suffering from capital shortages will arise immediately and have a positive effect on other macroeconomic indicators. In Turkey, promotion of the FDI through various policies is quite multidimensional. Turkish government utilises intersectoral development approach. The manufacturing, retail, logistics, communications and financial services industries have been the major beneficiaries of FDI in Turkey since 2002 (Citation). As for the legislative part, Turkish government undergone the set of changes to create more flexible investment climate. According to the "Foreign Direct Investment Law" issued in 2003, foreign investors shall be subject to equal treatment with domestic investors; Foreign investors can freely transfer abroad: net profits, dividends, proceeds from the sale or liquidation of all or any part of an investment (Deichmann, Karidis, & Sayek, 2003).

In addition to the efforts of the Turkish government to create competitive investment environment, geographical location played an important role in success of Turkish economy. It has unique location, lying in both Europe and Asia and serving as a bridge between the two biggest markets. Thus, giving a stimulus to the policy makers to develop outward-oriented growth state.

Besides the practical importance of this article to justify current policy changes in Turkey favouring FDI driven growth, we will enrich the existing literature regarding FDI and economic growth and eliminate the gap between theory and practice.

The article starts with section 2, in which we expound literature review about FDI inflow and Economic Growth. Our model which was applied in this paper and its result based on statistical analysis along with the data set will be illustrated in section 3. In section 4, disclosed conclusion according to achieved results will be made. Finally, section 5 will present all the references used.

### 2. Literature review

(Alagöz, Erdoğan, & Topallı, 2008), the relationship between direct foreign investment in Turkey and economic growth has been examined for the period 1992-2007. Resulted no causal relationship between direct foreign capital investments and economic growth from the study. The regression analysis for period 2002-2007 was examined in the study. The elasticity coefficient of the model indicates the effect of foreign direct investment on economic growth is moderate.

(Şen & Saray, 2010) analysed the effect of direct foreign capital investments on economic growth in Turkey using panel data regression analysis. Positive contributions to economic growth lead to direct foreign capital investments in Turkey.

(Yılmaz, Kaya, & Akinci, 2011), the effects of foreign direct investment on economic growth have been analysed for the Turkish economy for the 1980-2008 period. In the analysis, two variables were used as gross domestic product and foreign direct investment. Time series analysis method was used in the study. Resulting a one-way causality relation from foreign direct investment to economic growth. It is also seen that the variables are co-integrated. Positive effects on economic growth from foreign direct investments shown from the estimation results.

(Gürsoy & Kalyoncu, 2012) analysed the impact of direct foreign investment on economic growth between 1977 and 2010 in Georgia. Engle-Granger co-integration test and Granger causality analysis were used in the study. Results show that the two variables are co-integrated, that is, they act together in the long run. Which also gave the conclusion that direct foreign investment is the reason for economic growth.

(Çeştepe, Yildirim, & Bayar, n.d.), the data for the period 1974-2011 used for the direct causal relationship between foreign direct investment, growth and foreign trade in Turkey. The long-term causality between the variables was investigated by following the Toda-Yamamoto method in the study. Findings obtained; "Growth based export", "export dependent FDI" and "import dependent export" hypothesis. These findings can be interpreted as the fact that the import-based export structure and FDI inflows do not change this, so the export-based growth hypothesis cannot be verified in Turkey.

(Younus, Sohail, & Azeem, 2014) analyzed the impact of foreign direct investment in Pakistan on economic growth for the period 2000-2010. The two-step least squares method is used in the study. As a result, there is a positive relationship between economic growth and foreign direct investment. Domestic investment, exports and political stability have been found to be very important in the selection of foreign direct capital in Pakistan.

(Muhammad & Ijirshar, 2015) analyzed the impact of foreign direct investment on economic growth in Nigeria between 1970 and 2013. Time series analysis method was applied in the study. As a result, a one-way relationship between foreign direct investment and economic growth; there was no relationship between foreign direct investment and unemployment. A positive but statistically insignificant relationship was found between the foreign direct investments and the economic growth in Nigeria in the short and long term.

### **3. Data, Methodology and Model Results**

#### **3.1 Data and Methodology**

The time series data set has been used for applied analyses part of paper, covered the period span from 1980 to 2017. Two variables were utilized in the model: GDP (Gross Domestic Product) and FDI (Foreign Direct Investment inflows) those were obtained from World Bank Group ("World Bank Group - International Development, Poverty, & Sustainability," n.d.). As software, Gretl and EViews were employed to fulfil empirical part of the paper. The long-run implications of FDI on economic growth of Turkey can be detected through regression analysis. Before applying the regression model, stationery test was performed through the Augmented Dickey-Fuller (ADF) test. Stationery level is the crucial part in the time-series analysis. In fact, running the conventional regression analysis on non-stationary time-series can be consistent if the linear combination of the selected variables results in stationary residuals, otherwise, it leads to the spurious results. In this case, statistical property like co-integration appears to deal with non-stationary time-series and detect the long-run relationship between them. Thus, the Johansen co-integration test was employed for our empirical study. The test examines the multiple linear combinations for more than one variable, that results in a stationary process. The Johansen test uses two statistics to identify the number of co-integration vectors: The trace and the maximum eigenvalue tests. In addition to our empirical examination, we employed the Granger Causality test to check the causality between the observed series.

#### **3.2 Model Results**

##### **3.2.1 Unit root test and order of integration**

As the pre-condition of Johansen co-integration test suggests, selected time-series must be non-stationary,  $I(1)$ . Therefore, we performed ADF test individually on both variables. The null hypothesis of the ADF test states that there is a unit root in

the series. The null hypothesis is rejected if the P-value is less than 5%, thus, accepting the alternative hypothesis of no unit root in the series.

**Table 1. ADF test results.**

ADF test at Level. 9 lags, unit-root null hypothesis: $a = 1$ model: $(1-L)y = b_0 + b_1t + (a-1)*y(-1) + e$	LnGDP	LnFDI
Estimated value of $(a - 1)$	-0.4412	-0.4049
Test statistic	-3.0718	-2.9647
P-value	0.1278	0.1554
ADF test at First Difference. 9 lags, unit-root null hypothesis: $a = 1$ model: $(1-L)y = b_0 + (a-1)*y(-1) + \dots + e$	LnGDP	LnFDI
Estimated value of $(a - 1)$	-1.6721	-1.1217
Test statistic	-4.1972	-7.3377
P-value	0.0006	3.575e-07

Source: Author's own calculation

The results presented above showed that both variables have a unit root at levels, as long as we can't reject the null hypothesis, and become stationary at first difference (See Table 1). Therefore, we can conclude that the observed data are integrated of order one,  $I(1)$  and continue to the Johansen co-integration test.

### 3.2.2 Johansen co-integration test

According to the ADF unit root test results, our series are integrated of the same order,  $I(1)$ . Thus, it allows us to continue with Johansen co-integration procedure. The test uses two statistical measures from Trace and Eigenvalue tests.

**Table 2. Johansen co-integration test results**

Johansen Co-integration test: Sample (adjusted): 1982-2017, Included obs.: 36, Series: LnGDP, LnFDI, Lags interval (in first differences):1 to 1.				
Unrestricted Co-integration Rank Test (Trace)				
Hypothesized No. of CE(s)	Eigenvalue	Trace Statistic	0.05 Critical Value	Prob.
None	0.3522	16.559	15.4947	0.0345
At most 1	0.0253	0.9257	3.8414	0.336
Unrestricted Co-integration Rank Test (Maximum Eigenvalue)				
Hypothesized No. of CE(s)	Eigenvalue	Trace Statistic	0.05 Critical Value	Prob.
None	0.3522	15.6333	14.2646	0.0302
At most 1	0.0253	0.9257	3.8414	0.336

Source: Author's own calculation

Based on the Johansen co-integration test results we rejected the null hypothesis of both trace and maximum eigenvalue tests of no co-integration between GDP and FDI at 1% level of significance, but we failed to reject the alternative hypothesis (P-value in both tests > 0.05%, and Trace/Maximum Eigenvalue < 0.05 Critical Value = 3.8414) (See Table 2). Thus, we can confirm the existence of at most one long-run co-integration vector between GDP and FDI.

### 3.2.3 Granger Causality test

As we have already mentioned, we checked the causal relationship between GDP and FDI through Granger Causality test. The null hypothesis of the test states the following:

$H_0$ : LnFDI does not Granger Cause LnGDP, and

$H_0$ : LnGDP does not Granger Cause LnFDI

Null hypothesis is rejected if the probability value is less than 0.05%.

**Table 3. Granger causality test results**

Pairwise Granger causality test, Lags 2, Sample 1980-2017		
Null Hypothesis	F-statistic	Prob.
LnFDI does not Granger Cause LnGDP	4.696	0.016
LnGDP does not Granger Cause LnFDI	2.251	0.122

Source: Author`s own calculation

According to the results we can reject the null hypothesis of no causal relationship from FDI to GDP (P-value=0.016<0.05%), and except the second null hypothesis (P-value=0.122>0.05). Thus, the results of causality test indicated the unidirectional causal relationship from FDI to GDP (See Table 3).

#### 4. Conclusion

This study analyzes the relationship between Foreign Direct Investment inflows to Economic Growth of Turkey by using annual data for the period span from 1980 to 2017. Unit root test (ADF), Johansen co-integration test and Granger Causality test were applied for empirical part of paper to examine the impact of Foreign Direct Investment inflows on Economic growth(GDP) of Turkey.

The findings showed us further; According to the results of Unit root test both of variables were stationary. That meant we could continue our calculations by applying Johansen co-integration and Granger Causality tests. The next step was Johansen co-integration test. Johansen co-integration test confirms the existence of at most one long-run co-integration vector between GDP and FDI. The final step to complete our empirical analysis part of paper was Granger Causality test. Based on results there was unidirectional causal relationship from FDI to GDP.

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## An Empirical Examination of the Export-Led Growth Theory Regarding Georgia

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### Abstract

This paper aims to justify the validity of the export-led growth hypothesis (ELG) for the transition economy like Georgia. The ELG theory implies the acceleration of an economic growth through the market openness in exchange for market expansion. The concept of the work lies in the following assumptions: Firstly, as a transition country, Georgia should prioritize private sector driven and export-led growth economy and secondly, the European integration process is the unprecedented opportunity for Georgia regarding export market expansion. The paper covers the time from 1990 to 2016; Engle-Granger cointegration and Granger causality tests were employed to trace the validity of the ELG hypothesis. The results confirmed the existence of at least one cointegration vector, as well as the bidirectional causality between economic growth and export, thus landed support on the validity of the ELG hypothesis regarding Georgian economy.

**Keywords:** Economic growth, export, Export-led growth hypothesis, Georgia

### 1. Introduction

An economic development strategy varies depending on a country background and its role in the global economy. It is the common practice that for small countries like Georgia, consumption is limited as it is a market volume. This condition creates a high dependency on external markets. Over the years, as the economy is getting more advanced, the dependence on the foreign market increases correspondingly. Considering the European integration process of Georgia that opens the doors to a whole new market, the export-led growth hypothesis (ELG) can boost the economic growth through “reaping” the trade benefits in terms of comparative advantage. In addition, implementation of the ELG theory can enhance the inflow of foreign direct investments (FDI) in a country, thus increasing productive capacity and capital accumulation of the nation (Salisu & Sapsford 1996).

During last two decades Georgia developed sufficient base of the economic legislation to implement the outward oriented growth strategy. Georgia is a post-soviet state which is in a transition process from a centrally planned economy to a market economy with GDP per capita of 3864.6 USD. After undergoing a set of structural changes to develop the market based institutional framework, Georgian economy started growing rapidly. In 2007 annual GDP growth reached 12.34% that was the exceptional record for the country.<sup>1</sup> In the World Bank accounts, Georgia is set as the exemplary model regarding successful economic transformation.

An Association Agreement and DCFTA (Deep and Comprehensive Free Trade Areas) that took place in 2014, is the remarkable economic phenomenon for the country. DCFTA serves as the main stimulus for the promotion of the ELG theory. It refers to the extended market access through the harmonization of a national and EU regulations, as well as the reduction of the trade barriers to some extent. By signing these agreements, Georgia is able to explore 500 million European market; Correspondingly diversifying the export market and raising the incentives to invest in productivity improvements (Juvenal & Monteiro 2013).<sup>2</sup>

Currently, decomposition of Georgia’s export market looks as following: Russia remains the biggest market for Georgia with the 12.9% share; The second largest export market is Turkey 12.6% coming with Azerbaijan 9.1%, USA 6.7%, and

<sup>1</sup> Gross Domestic Product. National Statistics Office of Georgia.  
[http://www.geostat.ge/index.php?action=page&p\\_id=119&lang=eng](http://www.geostat.ge/index.php?action=page&p_id=119&lang=eng)

<sup>2</sup> Juvenal & Monteiro (2013). Export Market Diversification and Productivity Improvements.  
<http://citeseerx.ist.psu.edu/viewdoc/download?doi=10.1.1.296.5533&rep=rep1&type=pdf>

Romania 6.6%. As for the export by country groups, EU covers 28.8% of the Georgian total export, CIS countries 36.3% and others 34.9% respectively.

Nowadays, EU is the largest host market for agricultural products that are produced by developing or transition countries. Therefore, Georgian agricultural production is the additional aspect to be considered at the national level. As an agrarian-oriented country, Georgia has a significant rural population. The employment in agriculture as the percentage of total employment averaged 40% during 1990-2016.<sup>1</sup> A contribution of the agricultural sector in GDP is ranging from 8 to 9%. Dependence of Georgia's economic performance on the agricultural sector is undeniable.

Recent OECD (The Organization for Economic Cooperation and Development) study showed that Georgia's comparative advantage in agriculture ranks 15th out of 193 countries. In a study of global wine markets, Georgia's revealed comparative advantage in wine ranks second on a list of 13 major wine exporting countries.<sup>2</sup>

The list of the product categories in which Georgia revealed comparative advantage from 2008 to 2017 include: ferro alloys, motor-cars, copper ores, live animals, pharmaceutical products, beverages, wine, vegetable plaiting material and etc. Furthermore, the export intensity index of Georgia with EU indicates that Georgia is exporting less than we should expect. Hence, there is considerable potential to stimulate the export earnings through prioritization of agricultural sector.

## 2. Literature review

Although a relationship between trade and growth is quite "mature" topic in economics, the general dispute still exists. The emergence of the ELG theory is dated back to post world war two period. By the 80<sup>th</sup> of the last century, the ELG hypothesis reached a general consensus in the academic field regarding its effectiveness. During this period, advocates of ELG theory seemed to be the winners of the inward-outward oriented policy game in trade and economic growth. Later on, while the economic growth theorists continued to deal with general trade-economic growth concepts, interestingly, a number of country-specific empirical researches were conducted, which did not support the "conventional wisdom" of ELG theory. For instance, contrary to Chinese experience with ELG growth model, Mexico has not recovered its strong performance of 1960-1980 [Thomas I. Palley 2011]. In the empirical research regarding exports, growth, and causality in developing countries conducted by Woo S. Jung and Peyton J Marshal, only in 4 cases out of 37 was there evidence that supported the export-led hypothesis (Indonesia, Egypt, Costa Rica, and Ecuador). Similar results were presented in Henriques and Sadorsky (1996), Jung and Marshal (1985) etc.

Herman Daly (1999) called globalization via ELG the new philosopher's stone of the IMF-IBRD-WTO alchemists and criticized ELG in terms of low wages, poor working class, and deteriorated environment.

Despite the controversy that arose from the number of country-specific empirical researches, ELG theory still persists on its effectiveness. As so, despite the theoretical dispute regarding emerging new models, it is important to conduct the empirical examination to reduce the gap between theory and practice. Till now, the economic growth is thought to be an essential goal for the countries' wellbeing. Increasing export is considered as the important stimulus for economic growth. Developing countries try to reach high economic growth through more trading. For low-income countries, agriculture plays a vital role in increasing export to reach economic development. Mostly, theoretical sources consider export as a growth engine and with reference to low-income countries, agriculture is an essential part of increasing the export.

As *Francisco F. Ribeiro Ramos* remarked: Export, as a main determinant of the production and employment growth according to export-led growth theory (ELG), is supported by the following reasoning: Firstly, the export growth is escorted by the expansion of production and employment regarding export multiplier that operates like the investment multiplier of Keynes; Secondly, the foreign exchange enhances the importation of capital goods, successively increase the production ability of a country; Competition in the exports markets leads to technological progress in terms of production, as well as, economies of scale (Ramos 2001).

An effectiveness of export in economic growth is mentioned in the works of *Robert F. Emery*. He argued that there is a causal relationship between the two and that this relationship is one of interdependence rather than of unilateral causation, but that it is mainly a rise in exports that stimulates an increase in aggregate economic growth rather than vice versa (Robert F. Emery 1967).

<sup>1</sup> International Labor Organization. Employment by sector -- ILO modelled estimates, May 2018. Georgia.

<sup>2</sup> Cramon-taubadel, S. Von. (2014). Georgia's agricultural exports, (November)

[http://georgien.ahk.de/fileadmin/ahk\\_georgien/Publikation/Georgias\\_agriculture\\_exports.pdf](http://georgien.ahk.de/fileadmin/ahk_georgien/Publikation/Georgias_agriculture_exports.pdf)

Peter C.Y. Chow, Gershon Feder and Rostam M. Kavoussi presented empirical results, which showed that “for the small open economies the development of manufacturing industries and export growth have causal relationships. It means that they are interdependent in the development process. The export growth in developing countries can expand their limited domestic markets and contribute to the economies of scale necessary for industrial developments. Furthermore, export growth integrates domestic economy with regional and/or global economies thereby expanding the dimension of competition to international markets. Competition promotes resources reallocations in developing countries as they transform from less productive farming sector to relatively more productive manufacturing sector. Therefore, factor productivities are improved through export growth” (Peter C.Y. Chow 1987).

In his work “Export expansion, growth and the level of economic development” Demetrios Moschos showed that the positive effect of the export on economic growth is limited for ‘advanced economies’ but on the contrary, the evidence indicates that among ‘less advanced developing economies’ output growth is mainly influenced by export expansion and capital formation, its response to labor growth being highly insignificant (Moschos 1989).

Furthermore, Majid Mahmoodi and Elahe Mahmoodi provided the evidence of long-run causality from export and FDI to economic growth and long-run causality from economic growth and export to FDI. Thus, as Gerald M. Meier remarked, export expansion leads to a reduction of the unemployment rate as well as increased domestic saving/investment, by this enhancing the inflow of factor inputs regarding the export sector.

Both, empirical and theoretical scientific literature reflects the bipolar nature of the ELG hypothesis. The effects of export on economic growth are derived through the positive impact on the resource allocation, economies of scale, the inflow of the foreign direct investment, labor force skills, employment, and capital formation. Conducting the empirical analysis is essential in this case to provide a solid argument for ELG effectiveness.

### 3. Methodology

#### 3.1 Model specification

This paper uses a Solow-Swan growth model which derived from the neoclassical production function framework, commonly referred to Cobb-Douglas kind. According to the model the output is calculated by the interaction of two factors of production, labor force and capital.

Originally the model was designed by Robert Solow and Trevor Swan in 1956. Due to its flexibility and simplicity, the Solow-Swan model can facilitate various extensions, thus, it became the basis of multiple mathematical formulations. Similarly, our model uses the following production function:

$$Y=f(L,K).....(1)$$

Correspondingly, the formula is expanded by adding total export:

$$GDP_t=f(LF_t, CA_t, EX_t).....(2)$$

By taking natural logarithm on the variables we discarded the differences in the units of measurements and minimize the gap between them:

$$\ln GDP_t= \beta_0+ \beta_1\ln LF_t+ \beta_2\ln CA_t+ \beta_3\ln EX_t+\varepsilon_t.....(3)$$

$\ln GDP_t$ ,  $\ln LF_t$ ,  $\ln CA_t$ , and  $\ln EX_t$  are natural logarithm of the gross domestic product, labor force, capital, and export respectively;  $\varepsilon_t$  represents the error term;  $\beta_0$  is the constant and  $\beta_1$ ,  $\beta_2$ ,  $\beta_3$  are the coefficients to be estimated.

#### 3.2 Specification of the variables

This paper uses the secondary time-series data (from 1990 to 2016) collected from the National Statistics Office of Georgia and World Bank Group. The following variables were used for the empirical analysis:

**GDP** – Gross Domestic Product. GDP is expressed in terms of total value of goods and services produced in an economy within a year (inflation adjusted).

**EX** – Total Export is the sum of the goods and services produced in a country and sold abroad to foreign countries/citizens.

CA – Gross Capital Formation is the total value of the gross fixed capital formation, changes in the inventories and acquisitions less disposals of valuables for a unit or a sector.<sup>1</sup>

LF – Total Labor Force or currently active population, comprises all the persons who fulfill the requirements for inclusion among the employed or the unemployed during a specified brief reference period.<sup>2</sup> It will reflect the effect of LF on GDP growth.

### 3.3 Research methods

The method selection process was guided by the stationarity level of the variables and sensitivity of the co-integration tests regarding the time span. The level of stationarity is important to avoid spurious regression.<sup>3</sup>

The stationarity check of the variables presented in this paper was performed through the Augmented Dickey-Fuller test (ADF). ADF test procedure is similar to standard Dickey-Fuller (DF) test (equation 4). Difference is that in ADF test we are augmenting the DF test by the lagged values of the dependent variable (equation 5):

$$\Delta Y_t = \beta_0 + \delta Y_{t-1} + \mu_t \dots \dots \dots (4) \text{ DF with drift}$$

$$\Delta Y_t = \beta_0 + \delta Y_{t-1} + \delta_1 \Delta Y_{t-1} + \dots + \delta_{p-1} \Delta Y_{t-p+1} + \mu_t \dots \dots \dots (5) \text{ ADF with drift}$$

The null hypothesis of the test is that series contain the unit root, therefore it is non-stationary and alternative hypothesis states that the series does not contain the unit root and it is stationary. If the *P* value is less than 5%, we can reject *H*<sub>0</sub> and accept *H*<sub>1</sub> of stationarity of the series.

Unlike other cointegration tests, Engle-Granger is less sensitive to small data sample. As long as our data covers the period from 1990 to 2016, by this having at most 27 observations, the Engle-Granger co-integration test was employed to check the validity of the ELG hypothesis.

In general, Engle-Granger co-integration is a two-step test which requires series to be integrated of the same order. Correspondingly, if the series are integrated of order 1, but the error term in this relationship tends to be stationary *I*(0), then the series are cointegrated.<sup>4</sup> Engle-Granger co-integration is the residual based test (equation 6) which uses the following equation (7) for the co-integration procedure:

$$\varepsilon_t = Y_t - \beta_0 - \beta_1 X_t \dots \dots \dots (6)$$

$$\Delta \varepsilon_t = \mu + \varphi \varepsilon_{t-1} + \varepsilon_t \dots \dots \dots (7)$$

The null hypothesis of the test states that there is no co-integration relationship (*H*<sub>0</sub>=( $\varphi=0$ )) and alternative hypothesis: *H*<sub>1</sub>=Existence of the co-integration ( $\varphi \neq 0$ ).

The last step of our empirical analysis deals with the causality check of economic growth and total export. Hence, the Granger causality test was employed. This test refers to the augmentation of the autoregression of the particular variable by including lagged values of another variable to check if it adds explanatory power to the regression. Mathematical formulation of the Granger causality test is as follows:

$$Y_t = \alpha_0 + \alpha_1 y_{t-1} + \alpha_2 y_{t-2} + \dots + \alpha_m y_{t-m} + b_p x_{t-p} + \dots + b_q x_{t-q} + error_t \dots \dots \dots (8)$$

The null hypothesis of the test states that *y* does not Granger cause *x* and vice versa; in other words: No explanatory power added by the *x*'s lagged values.

## 4. Econometric analysis

### 4.1 Stationarity check and order of integration

<sup>1</sup> Glossary of statistical terms – Gross Capital Formation  
<https://stats.oecd.org/glossary/detail.asp?ID=1158>

<sup>2</sup> OECD - The Organization for Economic Co-operation and Development, Glossary of Statistical Terms.  
<https://stats.oecd.org/glossary/detail.asp?ID=2719>

<sup>3</sup> Stationarity – The Central Concept in Time Series Analysis. Andreea-Cristina Petrică.  
[https://www.ermt.net/docs/papers/Volume\\_6/1\\_January2017/V6N1-107.pdf](https://www.ermt.net/docs/papers/Volume_6/1_January2017/V6N1-107.pdf)

<sup>4</sup> Co-Integration and Error Correction: Representation, Estimation, and Testing - Robert F. Engle; C. W. J. Granger.  
[http://www.ntuzov.com/Nik\\_Site/Niks\\_files/Research/papers/stat\\_arb/EG\\_1987.pdf](http://www.ntuzov.com/Nik_Site/Niks_files/Research/papers/stat_arb/EG_1987.pdf)

As the precondition of the Engle-Granger co-integration test, the variables must be integrated of order one. Therefore, stationarity check was performed on all the variables by using the Augmented Dickey-Fuller (ADF) unit root test. Pre-examination of the raw data indicated the distortion from the endemic post-Soviet affects in terms of huge time-series shifts from 1990 to 1991, thus we eliminated two observations. In this regard, the elimination of the observations helps us to estimate the model for the post-soviet state; 'Blank page' for the country of Georgia.

The results showed that observed series are non-stationary at levels, as far as we can't reject the null hypothesis of non-stationarity: T-statistics are less than critical values at 5% level of significance and P-values of the corresponding variables are more than 5%. After taking the first difference, the series became stationary (T-statistics > Critical values at 5% and P-values < 5%). Thus, the series appear to be integrated of order one (I(1)) (See Table 1).

**Table 1. ADF unit root test results.**

Variables	lnGDP	lnLF	lnCA	lnEX
ADF at Level (T-Stat.)	-1.43	-2.39	-1.03	-1.16
Critical Values at 5% (level)	-2.99	-2.99	-2.99	-2.99
Prob. at Level	0.54	0.15	0.72	0.67
ADF at 1 <sup>st</sup> Difference (T-Stat.)	-4.70	-4.38	-5.73	-6.48
Critical Values at 5% (1 <sup>st</sup> Diff.)	-3.00	-2.99	-3.01	-3.01
Prob. at 1 <sup>st</sup> Difference	0.001	0.002	0.000	0.000

#### 4.2 Estimation of the long-run relationship

The results of the ADF unit root test showed that all the series are integrated of order one. Thus, we can proceed to the estimation of the long-term relationship between economic growth (GDP) and total export (EX) by using the Engle-Granger cointegration test. The results of the test are presented below in Table 2:

**Table 2. Engle-Granger co-integration test results.**

Step 1: Co-integrating regression				
Dependent: lnGDP	Coefficient	Std. error	T-ratio	P-value
Constant	9.44	3.890	2.427	0.024
Time	0.024	0.003	7.35	4.21e-07
lnLF	0.557	0.265	2.098	0.0488
lnCA	0.159	0.022	7.091	7.13e-07
lnEX	0.079	0.020	3.806	0.001
Adjusted R-Squared	0.98			
Durbin-Watson	1.63			
Step 2: Testing for a unit root in residuals				
model: $(1-L)y = (a-1)y(-1) + \dots + e$ estimated value of $(a - 1)$ : -0.876719 test statistic: $\tau_{u_c}(4) = -4.4093$			p-value: 0.002121	

The result presented in Table 2 confirms the existence of the cointegration between the GDP and Export. All the variables are statistically significant at most 5% level. As for export, 1% increase of total export increases economic growth by 0.079%. Furthermore, The residuals tend to be stationary, as long as we can reject the null hypothesis of non-stationarity (Step 2 in co-integrating regression presented above: p-value=0.002<0.05%). Durbin-Watson value is close enough to ideal value and the adjusted R-squared is high (98%), meaning that the dependent variable was explained by 98%.

### 4.3 Post-diagnostic tests for Long-run relationship model

#### 4.3.1 Autocorrelation test

Autocorrelation is the process when the time-series data is influenced by its own lagged values. Thus, violating the underlying assumption of independence. Check for the autocorrelation was performed via LM test for autocorrelation. The null and alternative hypothesis of the test states the following:  $H_0$ : No AR(P) and  $H_1$ : AR(P).  $P=1$ , as long as we are testing for the first order autocorrelation (AR(1)).

**Table 3. Autocorrelation LM test results.**

LM test for autocorrelation up to order 1. Null hypothesis: no autocorrelation	
Test statistic: LMF	0.343064
P-value = $P(F(1, 20) > 0.271537)$	0.564959

According to the test results, the series does not indicate the presence of the first order autocorrelation, as we can't reject the  $H_0$ : Probability (0.564959) of the Test statistic with the value of 0.343064 is more than 0.05 (See Table 3).

#### 4.3.2 Heteroskedasticity test (White's test)

To ensure the consistent results from the regression model, the residuals must indicate the constant variance, or homoscedasticity. In this regard, heteroskedasticity refers to the changing variance of the residuals.

Presence of the heteroskedasticity in the model violates the profound assumption of the homoscedasticity and can bias the regression results. Hence, we used the White's test for heteroskedasticity. Null hypothesis of the test states the absence of the heteroskedasticity.  $H_0$  can be rejected if the probability value is less than 5% and vice versa.

**Table 4. White's heteroskedasticity test results.**

White's test for heteroskedasticity. Null hypothesis: heteroskedasticity not present	
Test statistic	18.2068
P-value = $P(\text{Chi-square}(14) > 18.2068)$	0.197522

The results of the White's test do not detect the presence of the heteroskedasticity, as we failed to reject the  $H_0$  (P-value>5%). Therefore, residuals seem to be homoscedastic.

#### 4.3.3 Normality of residuals (Shapiro-Wilk Test)

Observing the residuals is the vital aspect of our statistical modeling. To check whether the residuals are well-behaved or not, we applied to Shapiro-Wilk Test. The  $H_0$  of the test is that the sample is normally distributed.  $H_0$  is rejected if the probability value is less than 5%, thus accept the alternative hypothesis of non-normality.

**Table 5. Shapiro-Wilk Test Results.**

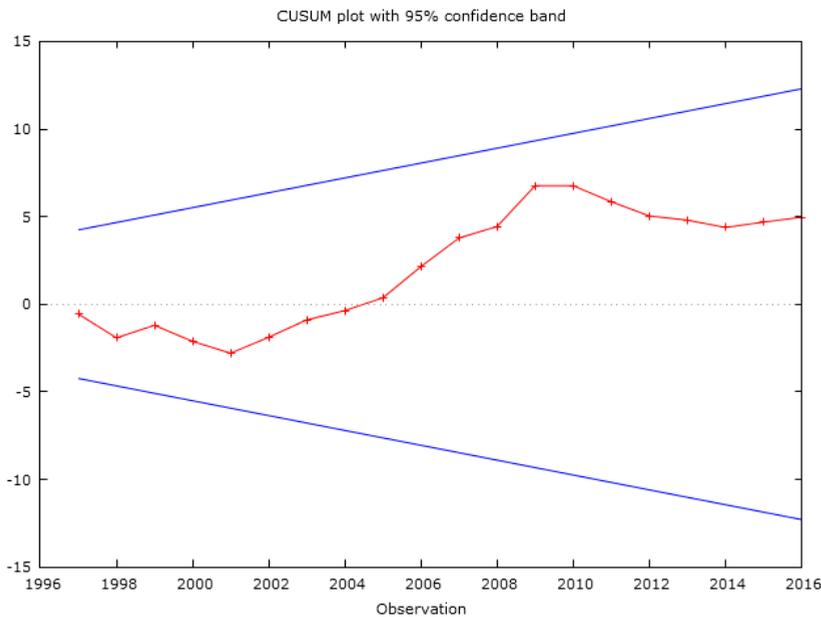
Shapiro-Wilk Test for normality of residual. Null hypothesis: Error is normally distributed	
Shapiro-Wilk W	0.948424
P-value	0.230967

The results of the test showed that the residuals are normally distributed, as we cannot reject the  $H_0$  of normality (P-value=0.230967>0.05%) (See Table 5).

#### 4.3.4 Structural stability of the parameters (CUSUM Test)

We used CUSUM test to check the structural stability of the estimated parameters. The  $H_0$  of the test states that parameters are structurally stable, against  $H_1$ : Parameters are not structurally stable. If the test crosses the 95% confidence band even once, then the coefficients are not structurally stable.

**Graph 1. CUSUM test results.**



(Harvey-Collier  $t(19) = 1.10995$  with  $p$ -value 0.2809)

As we can see from the Graph 1, crossing of the 95% confidence band is not detected, and  $P$ -value=0.2809>0.05, therefore, we accept the  $H_0$  of structural stability of the coefficients.

**4.4 Causality check**

The last step of our econometric analysis deals with causality check. In the previous section, we showed the existence of the long-run relationship between economic growth and export. Thus, suggesting that there can be a causal relationship between the two. Performing the Granger causality test revealed the existence of bidirectional causal relationship from export to GDP and vice versa, as we can rejected both null hypothesis of no causality at 5% level of significance (See Table 6):

**Table 6. Granger causality test results.**

Null Hypothesis	F-Statistic	Probability
InEX does not Granger Cause lnGDP	6.54	0.018
lnGDP does not Granger Cause lnEX	16.92	0.000

**5. Conclusion**

This paper empirically examined the compatibility of the ELG hypothesis for the Georgian economy. To check the validity of the theory multiple econometric methods were employed namely Engle-Granger co-integration and Granger causality tests.

Although, current direction of the Georgian economy does not indicate strong signs of the export-driven economy, empirical results landed support to the ELG hypothesis by revealing the existence of the long-run co-integration relationship between economic growth and the export, as well as the bidirectional causality from export to GDP and vice versa. Thus, prioritization of the ELG theory as the main economic development strategy can boost the economic performance of the country. Due to the European integration process, Georgia has an opportunity to explore the new export market. Therefore, enhancing the economic growth in the long-run through increasing the export earnings.

An adoption of the outward-oriented growth model in Georgian economy can have multiple benefits: Besides the GDP growth, export expansion can stimulate the foreign direct investment (FDI) inflow, as well as the reduction of the unemployment and increase in domestic savings. To stimulate the rapid growth, economic policymaking should be directed towards the most productive sectors of the export production (like wine and agriculture) to reap the benefits of both, comparative advantage and increasing returns to scale.

There is no doubt that after changing a direction of the economic development strategy towards radical, outward-oriented growth, the results will reflect stronger support to the ELG hypothesis. Thus, farther empirical examination will be needed to trace the validity of the ELG theory. As for now, this article can serve as the preliminary results indicating the effectiveness of the ELG theory, even though it is not fully prioritized by the country.

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## Impact of Human Settlement on Land Use/Land Cover Changes in the Middle River Njoro Sub Watershed in Kenya

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### Abstract

This study investigated the use of remote sensing and GIS in evaluating the impacts of human settlement on land use /Land cover changes. The study also investigated the drivers behind the change in the middle of River Njoro sub watershed for a period of 27 years. Drivers of land use change were captured by the use of DPSIR model where Drivers (D) represented human needs, Pressures (P), human activities, State (S), the ecosystem, Impact (I) services from the ecosystem and Response (R), the decisions taken by land users. Land sat MSS and Land sat ETM+ (path 185, row 31) were used in this study. The Land sat ETM+ image (June 1987, May, 2000 and July, 2014) was downloaded from USGS Earth Resources Observation Systems data website. Remote sensing image processing was performed by using ERDAS Imagine 9.1. Three land use/land cover (LULC) classes were established as Human settlement, forest and shrub land. Severe land cover changes was found to have occurred from 1987-2000, where human settlement increased by 52%, shrub land reduced by 19%, and forestry reduced by 72%. In the year 2000 – 2014, human settlement increased by 121%, shrub land reduced by 45%, and forestry reduced by 64%. Forestry and shrub land were found to be consistently reducing while human settlement was increasing. It was evident from the images that the LULC changes with corresponding soil quality deterioration mostly occurred in the upper and middle parts of the Middle river Njoro sub watershed which were initially under forest. To minimize the risk of vegetation destruction and soil degradation, it will be necessary to identify socioeconomic safety nets and initiate restoration of the environment to original pre- catastrophe status.

**Keywords:** watershed. Land use/land cover change, Landsat imagery, Geographic Information System

### Introduction

Settlement can be observed directly in the field or by remote sensing. Information collected on land use in form of settlement require the integration of natural and social scientific methods (expert knowledge, interviews with land managers) to determine which human activities resulting from settlements that are occurring in different parts of the landscape. As a result, scientific investigation of the causes and consequences of land use/land cover change (LULCC) requires an interdisciplinary approach integrating both natural and social scientific methods, which has emerged as the new discipline of land-change science. Land use /Land cover (LULC) is continuously changing in the Middle River Njoro ecosystem, thereby threatening sustainability and livelihood systems of the people. Human population increase is causing great pressure to the natural environment resulting in increasing conflict between different human activities and the need for biodiversity conservation. Settlements and other biodiversity modifications have resulted in deforestation, biodiversity loss, global warming and increase of natural disaster like flooding (Fan *et al*, 2007, Dwivedi, *et al*, 2005).Land use/land cover change in most or all cases is associated with environmental problems. Therefore, available data on LULC changes can provide critical input to decision-making of environmental management and planning the future (Fan, *et al*, 2010, Prenzel, 2004). The growing population and increasing socio-economic necessities creates a pressure on land use/land cover. This pressure results in unplanned and uncontrolled changes in LULC (Seto, *et al*, 2002). The LULCC alterations or change in the state of the ecosystem are generally driven by pressures resulting from mismanagement of agricultural, urban, and forest lands which lead to severe environmental impacts such as landslides that require a response to abate disaster.

The driver's – pressure – state – impact - response (DPSIR) framework is a causal chain where the driving forces of LULCC consist of any natural (biophysical) or human-induced (socio-economic) factors like settlement that can lead to environmental pressures. The demand for agricultural land, energy, water, food, transport and housing can serve as examples of driving forces (Giupponi, 2002; Kristensen, 2004; Wood and van Halsema, 2008). Pressures consist of the driving forces' consequences on the environment such as the exploitation of resources (land, water, minerals, fuels, etc.), pollution and the production of waste or noise (Wood and van Halsema, 2008). As a result of pressures, the 'state' of the environment is affected; that is, the quality of the various natural resources (air, water, soil, etc.) in relation to the functions

that these resources fulfill. The 'state of the environment' is thus the combination of the physical, chemical and biological conditions. The support of human and non-human life as well as the depletion of resources can serve as pertinent examples (Kristensen, 2004). Changes in the state may have an impact on human health, ecosystems, biodiversity, amenity value and financial value. Impact may be expressed in terms of the level of environmental harm and finally, the responses demonstrate the social efforts to solve the problems identified by the assessed impacts, e.g. policy measures, and planning actions (EEA, 1999; Giupponi, 2002; Kristensen, 2004; Wood and van Halsema, 2008). To date, DPSIR has been proved as a valuable tool that describes the relationships between the origins and consequences of environmental problems (Leka *et al.*, 2005), it provides a significant fraction of the necessary environmental information (EUROSTAT, 1999), it facilitates decision making (Tscherning *et al.*, 2012) and promotes the core essence of environmental sustainability (Reed *et al.*, 2006). As a result, it has been applied in numerous research efforts including Water Resources Management of various scales as well as in a series of international and multidisciplinary research projects as the main analysis tool (Tscherning *et al.*, 2012).

The middle River Njoro sub Watershed has been undergoing a new phase of rapid land use change to accommodate the increasing rural and urban human settlements. There is therefore need to understand how land use changes affected the environmental sustainability of the study area. This study was therefore aimed at establishing the impact of human settlement on land cover/land use change and its influence on land use decisions in the middle River Njoro sub watershed.

### Study Area

Njoro town is located in Nakuru County on the eastern edge of the Mau Forest Complex, the largest single forest blocks in Kenya. The area lies between the forest and Lake Nakuru National Park, a world famous flamingo habitat. The greater Nakuru District is situated between 35° 28' – 35° 36' E longitude and 0° 13' – 1°10' S latitude. Most of the new settlers were originally pastoralists but are now practicing agro-pastoralists or keeping animals and practising crop farming. In addition to farming, they are using cleared forest areas for grazing livestock, mainly cattle, sheep and donkeys. Besides subsistence farming, these farmers also keep dairy animals and grow wheat as a cash crop. Smaller farms are interspersed with a few remaining large scale farms from the colonial era, including Egerton University's Ngongogeri commercial farm. Urban centres in the middle zone include Njokerio which is around Egerton University Campus and Njoro Township.

The area of study covers about 8,170 Ha and lies between latitudes 0° 15' S and 0° 25' S and longitudes of 35° 50' E and 36° 00' E (Figure 1). The whole watershed has a population of about three hundred thousand (300,000) people with more than three thousand (3000) individual farm holding units (Baldyga, *et al.*, 2003). However, according to Kenya National Bureau of Statistics, Njoro Sub County registered a population of 23,551 people having grown by 3% from a population of 22, 845 people in 1999 (KNBS, 2009). Based on the same growth rate, the watershed population may have also grown to 309, 000 people with may be 3100 households. Due to the heavy settlement in the middle watershed, it is estimated to be home to about 2000 farm holding units in an area of more than 8,000 hectares with slopes ranging from < 2 to > and soils that are predominantly volcanic clay loam except near the lake where silt clay dominates (Mainuri and Owino, 2013).

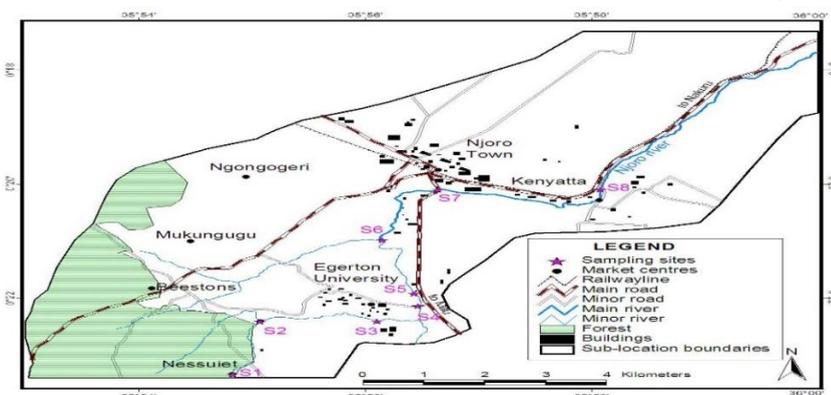


Figure 1: Middle River Njoro Watershed (Source: Mainuri and Owino, 2014)

### 3.0 Methods

A baseline survey at household-level encompassing socio-economic changes and impacts of land use activities in the middle River Njoro Watershed was established. Additionally, information on factors influencing land use decisions, productivity factors and change in economic activities were sought through use of a questionnaire. The middle River Njoro

sub watershed household survey was to target an area of approximately 8000hectares. Three Landsat scenes were selected (1987, 2000 and 2014) for this study. These dates captured the major excision and settlement changes that have taken place in the watershed. Effort was made to acquire imagery that corresponds with major land use/land cover changes within this period.

The study utilized 200 questionnaires which were administered to homesteads that were initially identified at random on both sides of the river. The questionnaires were subjected to scrutiny for completeness and consistency in question answering and the way they addressed the various issues intended to be captured. The questionnaires were sorted out and entered into the SPSS (version 20) work sheet. With the descriptive and categorical nature of most of the questions, simple descriptive analysis was done using SPSS and inferential statistics performed based on the results.

### 3.1. Land use field data

Data on the driving factors that influence land use decisions in the Middle River Njoro sub watershed drainage basin was gathered through semi-structured interviews with the farmers (land owners) and six (6) key informants selected at random based on the their areas of operation including an agriculturist, environmentalist, social economist and NGOs in the region. Local group officials such as self-help groups, Friends of River Njoro and Water Resource Users Association (WRUA), were also interviewed concerning land use history and the perceived processes driving land use in the area.

### 3.2 Image classification

Land sat MSS and Land sat ETM+ (path 185, row 31) were used in this study. The Land sat ETM+ images (June 1987, May, 2000 and July, 2014) were downloaded from USGS Earth Resources Observation Systems data. The dates of both images were chosen to be as closely as possible in the same vegetation season. All visible and infrared bands were included in the analysis. Remote sensing image processing was performed using ERDAS Imagine 9.1. Five LULC classes were established as commercial farms, forest, settlement, subsistence farms, and shrub land. Three dated Land sat images (1987, 2000, and 2014) were compared using supervised classification technique. In the supervised classification technique, three images with different dates were independently classified. A Supervised classification method was carried out using training areas. Maximum Likelihood Algorithm was employed to detect the land cover types in ERDAS Imagine9.1.

### 3.3. Analysis of the Driving Forces of Land Use using DPSIR model

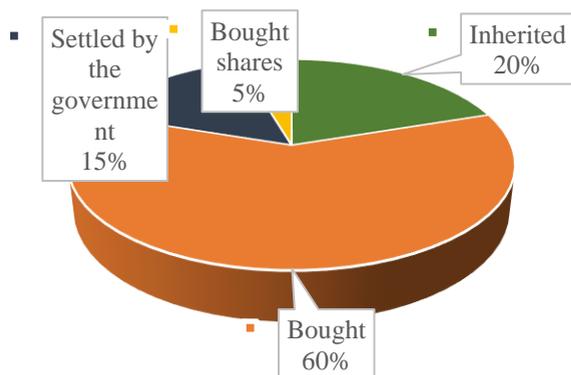
The DPSIR conceptual framework is a causal chain consisting of five elements; **Drivers** (human needs), **Pressures** (human activities), **State** (the ecosystem), **Impact** (services) and **Response** (decisions) which was used as a means to organize the many social, economic and ecological interactions in the sub watershed. Assessment of driving forces behind land use/land cover change (LULCC) was done to capture past patterns and also be able to forecast future patterns. Driving forces on LULCC captured in the survey included most of the factors that influenced human activity, including population increase, poverty, land tenure and markets. Also other underlying factors like local culture, food preference were found to influence the decisions made. Economics or the demand for specific products and financial incentives were also reported to greatly influence the pattern of production. Environmental conditions like soil quality, terrain, moisture availability, land policy and development programs such as agricultural programs, road building, zoning and feedbacks between these factors which included past human activity on the land such as land degradation, irrigation and roads played a major role in the decisions that people made.

### 4.0. Results

It was observed from the survey that 50 percent of the respondents had obtained up to primary education, while 20% percent had not obtained any formal education. A lower proportion (33%) had obtained secondary and post secondary level of education. 70 percent of the respondents had primary level education and below. The finding indicates that most of the respondents in the middle river Njoro sub watershed had low formal education and this affected the way in which they responded to new information on resource conservation and how they also received innovative ideas. The respondents were interviewed on the changes in natural vegetation and human settlement. 73 % of the respondents agree that human settlement has been increasing while 27% of them feel that human settlement has not been significant. 93% of the watershed inhabitants have observed massive land use changes taking place with 7% not feeling that there has been any noticeable change in land use. This possibly could be that they have recently settled in the area and since they settled there has been no change. Climate change impacts resulting from human settlement have been felt by 31% of the people with a bigger population of 69% having not experienced any effects of climate change. The pressures exerted by the society through waste disposal, over cultivation and deforestation may have led to unintentional or intentional changes in the state

of the ecosystem. However, only 4% of the respondents had observed any pollution or degradation of the ecosystem with a huge population of 96% not feeling or not being aware of the impacts possibly because they had recently purchased the land.

It emerged from the study findings that the biggest proportion (60%) of the land was bought by the current owners. A number of respondents had inherited the land from their fore parents comprising about 20% of the total. There were also cases of people (15%) allocated land by the government while the remaining 5% had acquired their pieces of land through buying shares in cooperative societies (Figure 2).



**Figure 2: Land tenure**

The study also established that most of the land was under cultivation when the current owners acquired as portrayed by 31.7% of the responses. This was closely followed by grass cover which formed 26.6% of the total responses. A significant 19% reported that the land area was under indigenous trees when they initially moved in, while a 15.4% response exhibited presence of exotic trees. However, only 7.3% of the total responses reported the presence of soil and water conservation structures on the land during initial settlement period (Table 1).

**Table 1: Nature/ state and extent of Land cover during acquisition by current owners**

Land Use/ Cover	Responses		Percent of Cases
	N	Percent	
Presence of soil and water conservation structures	24	7.3%	12.9%
Under cropping	105	31.7%	56.5%
Under grass cover	88	26.6%	47.3%
Under indigenous trees	63	19.0%	33.9%
Under exotic trees	51	15.4%	27.4%
Total	331	100.0%	178.0%

An interview was carried out on some key informants concerning the land use activities that have been observed over the period of study (Table 2). The respondents reported that the main environmental impacts were indicated by a general increase in agricultural activities on riparian zones. This has emanated from pressures exerted by the increase in the number of people settling along the river Njoro. The main economic activity creating impacts to the ecosystem that was reported by these people was usually farming by the many people settling in the sub watershed which has resulted in the reduction of natural vegetation. However, the state of the ecosystem has remained a bit stable despite the heavy human settlement due to agro forestry and scattered natural vegetation that has contributed to the forest which is thriving in some parts of the ecosystem. The impacts of human settlement had altered the state of the ecosystem with most farms being seriously affected by soil erosion as most farmers were not observing any conservation measures. Hence, soil erosion was found to be notably rampant in Lare and Nessuit areas which have higher slopes with 70% of the respondents reporting severe erosion in the steeper slopes, 20% reported severe erosion on gentle slopes and 10% on flat grounds, while 20%

of the people reported moderate erosion on steep areas, 69% reported moderate erosion on gentle slopes and 11% on flat grounds. 80% of the respondents reported no erosion on gentle slopes and 20% reporting no erosion on flat areas. Nobody gave any evidence of no erosion on steep slopes (Table 2).

**Table 2: Level of soil Erosion**

Slope of the land	Level of erosion		
	severe	moderate	No erosion
Steep	70	20	0
Gentle	20	69	80
Flat	10	11	20

As a result of no proper land ownership, most people are shy to invest in long term development activities and majorities are sluggish or unable apply any resource conservation measures. Driving forces on land use and conservation of natural vegetation included most of the factors that influenced human activity that exerted pressure on the ecosystem, including population increase, poverty, land tenure and markets. Underlying factors that drive actions like food preference demand for specific products, financial incentives and environmental state indicators such as soil quality, terrain and moisture availability played a great role in altering the land cover of the area. Increasing land use/cover changes were observed in the middle river Njoro watershed ecosystem which had more settlements over the last twenty seven (27) years. These changes resulted from a number of factors, but mainly related to habitat loss due to agricultural encroachment and human settlement. Information about changing patterns of land use/cover through time and the factors influencing such changes have been captured in the change detection maps of 1987, 2000 and 2014 and the results summarized in Table 4. The Long *et al.*, (2010) formula computed the rate of change within the three periods (T1, T2, and T3).

$$\Delta = \left\langle \frac{A2 - A1}{A1} \times 100 \right\rangle \div \langle T2 - T1 \rangle$$

Where:

. = Average annual rate of change (%)

A1= Amount of land cover type in time 1 (T1, 1987)

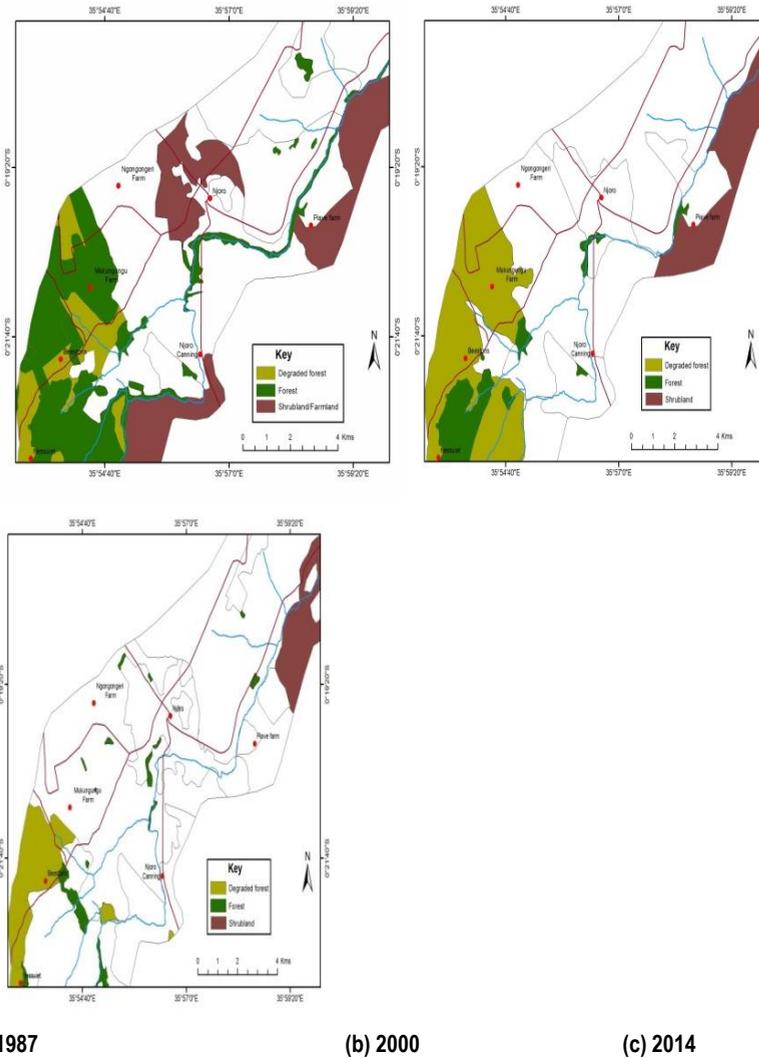
A2 = Amount of land cover type in time 2 (T2, 2000)

A3 = Amount of land cover type in time 3 (T3, 2014)

**Table 3: Change detection**

Class Type	1987 Area Hectares T1	2000 Hectares T2	2014 Hectares T3	ΔHa 1987-2000 T1-T2	ΔHa 2000-2014 T2-T3
Forest	1460.898	405.351	145.712	-72%.	-64%
Settlement	437.403	664.109	1470.364	+52%,	+121%
Shrub land	849.281	687.820	373.150	-19%,	-45%

From the study, it is evident that natural vegetation which was indicated by forest and shrub land (Table 5) has reduced over the period the respondents have resided in the area. The result from image processing and analysis for the years 1987, 2000 and 2014 portrays a general reduction due to settlements in both forests and shrub lands within the study area Figure 3 (a,b,c).



1987

(b) 2000

(c) 2014

**Figure 3: Reduction of Forests and Shrub Lands over the period of study.**

We can therefore say that deforestation has been witnessed in the study area for the last two decades due to land use patterns. These patterns resulting from cultivation and human settlement stood out to be the major driving forces that have led to the reduction in natural vegetation cover in these areas, each constituting 33% and 30.9% of the total responses respectively. Other activities included charcoal burning, infrastructural development, and grazing and commercial timber production resulting from the growing population. The population has for the last two decades been growing. Owing to this, respondents' feedback shows that a significant increase in human settlement has been witnessed in the areas covered by the study. An assessment of the values obtained from image analysis of the area, show that there has been an almost four times increase (from about 437 ha in 1987 to 1500 ha in 2014) in the human settlements Figure 4 (a,b,c)



The residents are therefore recommended to develop responses to rehabilitate the degraded environment through soil and water conservation, reducing land use/land cover change (LULCC), choice of crops and crop rotation in order to mitigate the negative outcomes of the ecosystem changes.

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## Nursing Homes in Estonia

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### Abstract

*The aim of the current paper was to assess the care workers' psychosocial and physical health; patient's safety and examine the variations of care workers' working conditions in the national nursing homes. The NOSACQ-50 questionnaire was used as a research method. The majority of the care workers in nursing homes complain about physical pain, especially low back pain, and work-related stress. The study results show, that several specific features, such as management safety priority, commitment and ability, are found to influence the six dimensions of safety climate. Based on these results, the importance of good communication practices, management commitment and effective safety training to ensure a strong safety climate and safe behaviour among health care workers is highlighted. Mutual support from the employers to the care workers is needed to create safety as an organizational value. Thus, an effective assessment tool for the evaluation of safety level in nursing homes could be proposed based on the results of this study. The current paper presents a Reciprocal Health Care Model for determination the levers of safety improvement in nursing homes. The model refers to the importance of management safety priority and abilities as well as peer safety communication and trust in the safety ability.*

**Keywords:** health care, safety climate, psychosocial health, physical health, workplace safety

### 1. Introduction

#### Theoretical Basis

The health care sector hires a large number of employees with high health risks. Healthcare workers are also at risk of suffering many different types of harm on the job. Even the fatal accidents of employees are possible, but the number of nonfatal occupational injuries, illness and absences are more common, particularly in the nursing homes of ageing people (Tullar *et al.*, 2010). Most of the health care risk managers look forward to the opportunities ahead and are dedicated to managing their organization's risk and enhance patient's safety. Additionally, workers' occupational health and safety (OH&S), which has impact on patient's safety, need to be emphasized. Previous research has also demonstrated that the level of workers' physical and mental health can influence patient's well-being (Flin, 2007). The healthcare systems across the globe continue to experience persistent and unsettled changes, reforms and improvements. The opportunities for healthcare specialists, particularly nurses, to provide effective and visionary leadership to address the challenges and consequences of the system reform have never been greater (Duncan *et al.*, 2014). Economic controls that cause demands for the new models of care in hospitals in order to reduce costs (Aiken & Patrician, 2017) are significant in many countries and contribute to a climate of increased management (Duncan *et al.*, 2014). Persistent concerns about nurses and leaders shortages (Titzer *et al.*, 2014) along with complaints of overloaded and dissatisfied nursing workforces point to the importance of healthy and productive work environments in sustaining the health and well-being of nurses (McHugh *et al.*, 2011). Effective leadership practices to address these tasks should be informed by the current observed conclusions of the extraordinary effects of nursing management styles on nurse outcomes. Safety management challenges within the different organisations were studied with a special focus on the safety culture, safety knowledge, interrelationships between safety management systems and organizational factors (Järvis, 2013).

It is common understanding, that health care workers in the nursing homes face a wide range of OH&S hazards causing infectious diseases, musculoskeletal disorders, chemical-induced disorders and stress-related illnesses (Andre *et al.*, 2016). Many of them experience fatigue, because of the long shifts and heavy physical work, mental stress, lack of balance between work and family and physical pain – factors that may pose a serious problem, not only for workers' well-being, but

can also decrease their ability to provide good quality of patient's care (Yassi & Hancock, 2005, Sundin *et al.*, 2011; Sepp *et al.*, 2015; Andre *et al.*, 2016). Previous research has illustrated, that the work of nurses and care workers in the Estonian hospitals and nursing homes is physically and mentally stressful (Sepp *et al.* 2015). It is clear that supportive environment in the organisation is essential in order to maintain employees' health and motivation, learning and innovation (Kivimäki *et al.*, 2010). Yassi and Hancock (2005) describe a number of studies showing that interventions designed to reduce health care workers' injuries and illness also have positive effects on patient's safety. Katz-Navon with colleagues (2005) state that health care sector has several unique characteristics comparing with other sectors. First, the working environment in health care sector is complex in terms of job and task characteristics and involving high risks. Second, working environment affects not only workers' safety and well-being, but also patient's safety, what is the highest priority in health care sector. In addition, workers' safety behaviour is generally controlled not only by the health care organization, but also by the health care professionals' (nurses, supervisors and physicians) authorities.

Knowing the safety climate ingredients in the organization, there is a possibility to improve the safety system and safety level (Manoukian, 2017), particularly in nursing homes. The research literature discusses several approaches to developing a positive safety culture and climate as well as possibilities to enhance it (Järvis, 2013). At the same time, relatively little is known how healthcare organizations influence and deal with the formation of safety climate with respect to workers' psychosocial and physical health as well as patient's safety. Despite multiple attempts to explain safety climate through competing models, there is limited empirical research to substantiate which dimensions of the safety climate and organisational safety practices have the most demonstrative impact on safety performance within the nursing homes.

In the light of the above arguments the aim of the present study was to assess the influence of different dimensions of safety climate on workers' psychosocial and physical health, patient's safety and examine variations among national nursing homes. In addition, the article intends to propose and to discuss a model for a positive safety climate and empirically to test this.

## 2. Materials and methods

The current study investigates the safety climate's level in different nursing homes in Estonia. The Nordic Safety Climate Questionnaire (NOSACQ-50) (Kines *et al.*, 2011) was used for measuring safety climate. A simple random sample was selected from care workers employed at the 19 nursing homes in all four parts of Estonia. Four of the selected nursing home refused to participate in the study and thus, 15 nursing homes were included in the sample. The sample involves nursing homes, rehabilitation and follow-up health care organisations, and workers, who are providing home health care services.

The data were collected during the period of September–December 2016. The questionnaire was sent to 371 care workers and, 233 of them (representing 62.8 % response rate) fulfilled the questionnaire and participated in the study. The highest response rate was in the East (36.9%) and North (31.3%) parts of Estonia. The majority of the nursing homes involved in the study, were financed by the public health care system (46.7%). Table 1 contains additional background information of the participants in the study.

According to NOSACQ-50 questionnaire, the dimensions (Dim) of safety climate are described as follows:

Dim1 - "Management safety priority and ability" (The organizational priorities are largely communicated through the managers. Manager's behaviour would be a main source of the information. If the managers are perceived to be committed to safety and to prioritize safety in relation to other goals, safe behaviour would be expected to be rewarded, and thereby reinforced);

Dim2 – "Management safety empowerment" (One-way for managers to convey trust is empowering the employees. Empowerment is a delegation of power, and as such it demonstrates that trust workers' ability and judgement, and that managers value workers' contributions);

Dim3 – "Management safety justice" (Employee safety responsibility and safety behaviour would be positively influenced by management procedural and interactional safety justice, i.e. just treatment and procedures when handling accidents and near-accidents.);

Dim4 – "Workers' safety commitment" (Safety motivation is strongly determined by the leadership and safety standards of the leader, but also by the standards and group cohesion. Group standards and cohesion are also determined by safety behaviour).

Dim5 – “Workers’ safety priority and risk non-acceptance” (Safety priority and safety commitment should be assessed regarding separately to management procedures and practice);

Dim6 – “Peer safety communication, learning, and trust in safety ability” (Communication and social interaction are necessary means for the creation of social constructs such as organizational climate. Reason (1997) pointed out a learning culture and a reporting culture as two of the constituting sub-climates. Hofmann & Stetzer (1998) suggested that management encouraging open communication on safety sends a strong signal on how safety is valued.).

Dim7 – “Workers’ trust in the efficacy of safety systems” (The safety climate questionnaire that should assess perceptions of the efficacy of safety systems, but that this should be assessed together with other aspects of safety climate, suggested above) (Kines *et al.*, 2011).

Table 1 General Information

Characteristics of the sample (n=233)	Category	n	%
Gender (n=233)	Female	225	97
	Male	6	3
	Non-specified	2	1
Age (n=233)	Group1(≥65)	27	12
	Group2 (55-64)	77	33
	Group3 (45-54)	72	31
	Group4 (35-44)	33	14
	Group5 (25-34)	18	8
	Group6 (≤24)	6	3
Language	Estonian	183	79
	Russian	50	21
Demographic/background	North part <sup>1</sup>	73	31.3
	West part <sup>2</sup>	52	22.3
	South part <sup>3</sup>	22	9.4
	East part <sup>4</sup>	86	36.9
Occupation	Group A-Care workers	215	92.3
	Group B-Administrative staff	17	7.3
	Non-specified	1	0.4

Nursing homes <sup>1</sup>in North with codes F,J,G,H,M; <sup>2</sup>in West with codes B,O,E; <sup>3</sup>in South with codes A,K,N; <sup>4</sup>in East C,D,I,L

The NOSACQ-50 questionnaire was used in the Estonian and Russian languages in order to explore the care workers’ shared perceptions and opinions toward safety-related procedures and practices in the nursing homes.

The tool contains positively and negatively formulated 50 items using a four-point Likert scale: strongly disagree-1, disagree-2, agree-3, strongly agree-4. The mean score was calculated for each dimension, respondent and for the groups. A mean score over 2.5 was considered as a positive result, as this is the mathematical mean value of the highest and lowest score. In addition, respondents were asked to provide data about experienced occupational accidents and diagnosed occupational diseases as well as to report possible health complaints (for example, pain in neck, back, arms and knees). Respondents’ opinion and perception towards patient’s safety was assessed using a Likert five-point scale.

Additionally, the Nordic musculoskeletal questionnaire (Kuorinka *et al.*, 1987) was used for assessment the musculoskeletal complaints (pain in the muscles) of workers.

The analyses have been prepared using SPSS Statistics 22.0. The following statistical methods were used: correlation, MANOVA and Factor Analysis Principal Component method (Field, 2013).

### 3. Descriptive analysis

The occupational accidents and diseases rates among respondents were low (occupational accidents 5.6%, occupational diseases 4.3%); however, 76.4% of the respondents reported that their job is stressful and 82.8% of them reported that they have experienced physical pain in different body locations. In order to investigate health care workers' physical health, the average muscular pain locations according to the workers' age were examined (Table 2). The most frequently reported health problem (low back pain), was reported by 48.9% of the respondents.

Table 2 Pain complaints

Age	n	Neck pain (%)	Upper back pain (%)	Low back pain (%)	Arms' pain (%)	Knee pain (%)
≥65	27	18.5	33.3	22.2	29.6	22.2
55-64	77	35.1	22.1	48.1	37.7	40.3
45-54	72	38.9	26.4	56.9	31.9	22.2
35-44	33	45.5	30.3	48.5	15.2	15.2
25-34	18	27.8	11.1	55.6	16.7	27.8
≤24	6	16.7	16.7	66.7	16.7	50.0
Total	233	34.8	24.9	48.9	29.6	28.3

According to NOSACQ-50 questionnaire, the general results reflected positive outcome on different dimensions (Dim) of safety climate.

Dim1. Management's safety priority and ability

Dim2. Management's safety empowerment

Dim3. Management's safety justice

Dim4. Workers' safety commitment

Dim5. Workers' safety priority and risk non-acceptance

Dim6. Co-workers' safety communication, learning, and trust ability

Dim7. Workers' trust in the efficacy of safety systems.

The total scores according to NOSACQ-50 were the following (scale 1-4): Dim1–3.39, Dim2–3.49, Dim3–3.52, Dim4–3.57, Dim5–2.89, Dim6–3.52 and Dim7–3.61.

The comparison of the results of patients who felt pain according to the locations (Table 3) of the nursing home, it is possible to conclude that the results do not vary significantly. However, a slight tendency can be observed that the institutions in north part of the country have lower scores in Dim1, Dim2, Dim4, Dim5 and Dim6; thereby the Dim3 - "Management safety justice" had the highest score in the Estonian north part's nursing homes. Institutions in the east part of the country show the high scores in Dim2, Dim4, Dim5 and Dim7. In the west part of the country, the highest scores were followed in the dimensions 1, 2 and 6. The differences between the regions are too small to draw substantive conclusions based on the regional results. It is seen from the results, that Dim5 - "Workers' safety priority and risk non-acceptance" have the lowest score and Dim7 - "Workers' trust in the efficacy of safety systems" gained the highest score in all the regions. This result might be influenced by the way of thinking from the Soviet times, when the superiors, insured the security of the subordinates in full.

Table 3 Regional results of dimensions

PART	n	Dim1	Dim2	Dim3	Dim4	Dim5	Dim6	Dim7
North part	73	3.3	3.42	3.54	3.45	2.79	3.45	3.61
West part	52	3.45	3.52	3.51	3.62	2.87	3.61	3.53

South part	22	3.32	3.49	3.52	3.63	2.88	3.55	3.45
East part	86	3.43	3.52	3.49	3.63	2.98	3.52	3.69
Total	233	3.39	3.49	3.52	3.57	2.89	3.52	3.61

### 3.1 - The relationships between the safety climate dimensions, stress and patient safety

In order to explore psychosocial health in detail, we examined statistically correlations between stress and occupational diseases and accidents, muscular pain and patient's safety in the unit as well as in the organization in general. The opinion of the leadership and the care workers might be different about the safety level and the use of safety improvement possibilities; therefore, the leadership and the care workers were investigated separately.

Initial data was divided into 2 samples, based on the position of worker (care workers ( $n=215$ ), group A; and administrative staff ( $n=17$ ), group B). Correlations between dimensions and selected variables were calculated within the groups. The results indicate (Table 4) that the care workers (group A) who give a higher score to Dim3 - "Management safety justice" feel that patient's safety in their unit is higher.

The only significant correlation ( $p<0.05$ ) for group A is defined between the parameters "Management safety justice" and "Patients' safety in their unit". Positive moderate correlations for the group B are detected between workplace stress and management safety priority and ability, empowerment and justice. Additionally, we can say that rating of patient's safety correlate with "Management safety empowerment". Study results also reveal that those administrative workers (group B) who find their work not very stressful, give higher scores to Dim1 - "Management safety priority and ability", Dim2 - "Management safety empowerment" and Dim3 - "Management safety justice". At the same time, workers who perceive the patient safety in high level in both – in their unit and within the organization, give higher scores to Dim2- "Management safety empowerment".

Table 4 Safety climate dimensions and correlation with perceived stress and patient safety

		Stressful job	Patient safety in the unit	Patient safety in the organization
Group A ( $n=215$ ) Sig. (2-tailed)	Dim3 Management safety justice	0.005	0.138* 0.048	0.104 0.151
Group B ( $n=17$ ) Sig. (2-tailed)	Dim1 Management safety priority and ability	0.566* 0.022	0.465 0.060	0.465 0.060
Sig. (2-tailed)	Dim2 Management safety empowerment	0.570* 0.021	0.568* 0.017	0.568* 0.017
Sig. (2-tailed)	Dim3 Management safety justice	0.570* 0.021	0.333 0.191	0.333 0.191

\*Correlation is significant at  $p<0.05$

There is a positive correlation at significance level 0.05 between the variables "stressful job" and "patient's safety" in the organization for the group A ( $r=0.163$ ). However, this correlation (0.163) is very weak, so we cannot conclude that workers, who feel that their work is not stressful, give higher scores to patient's safety in the organization.

Table 5 describes the assessment for patient safety according to the different nursing homes in different Estonian regions. The average score (1-5 scale) for patients' safety in the unit is 3.69 and in the organization 3.66. So, there is no particular difference between the nursing homes in different regions of the country.

Table 5 Assessment of perceived patient safety

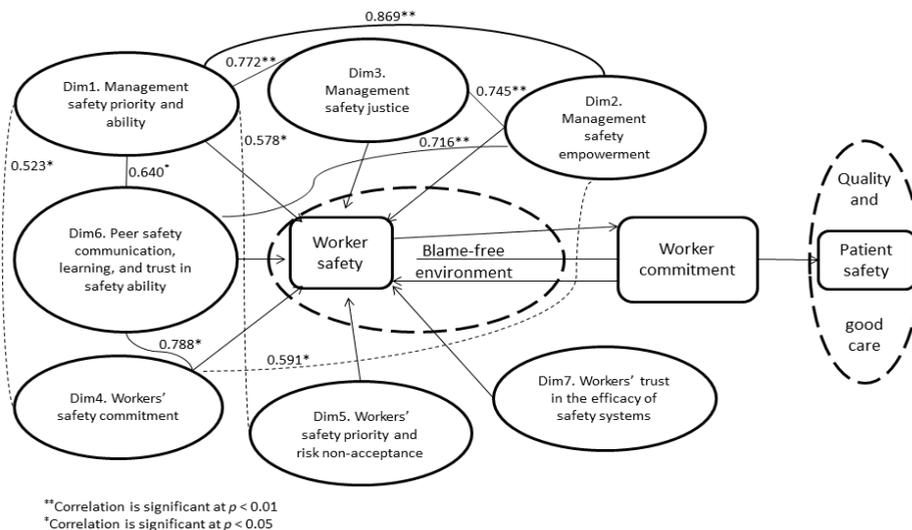
Part	Patient's safety in the unit	Patient's safety in the organisation
North	3.53	3.52
West	3.69	3.68
South	3.86	3.58
East	3.79	3.78
Total	3.69	3.66

### 3.2 - Development of a Reciprocal Health Care Model for improvement of safety climate in nursing homes

Based on the previous research in the nursing safety area (theoretical part of the current paper), the current research results and the correlations between the safety climate's different dimensions, a Reciprocal Health Care Model for Safety Climate (RHC<sub>Msc</sub>) has been developed. The model integrates the main reciprocal components affecting safety climate that enhance workers' safety commitment and also contribute to good patient's safety. Figure 1 demonstrates the relationship between workers' safety, workers' commitment and patients' safety.

The model proposed takes into account the dynamic interrelationships between different dimensions of safety climate, safety management systems (SMSs), safety behaviour and motivational strategies for safety knowledge exchange and learning within the organisation.

Figure 1. Reciprocal Health Care Model for safety climate (RHC<sub>Msc</sub>)



The author suggests that healthcare organizations should pay more attention to how create blame-free environment in the nursing in order to develop a positive safety climate and to change employees' safety behaviour.

Figure 1 demonstrates, that the main factors to create the blame-free environment in the nursing home and the positive safety climate, are "management safety priority and ability" and "management safety empowerment". Those factors ensure "workers' safety commitment" and improve "peer safety communication, learning, and trust in safety ability". The correlations between the different ingredients (dimensions) in the safety climate model are high. Exceptional is the Dim7 that do not suit to the model ("workers' trust in the efficacy of safety systems). If we "invest" into management's and care workers' safety knowledge, where the priority is good safety culture, the effective patient's care is guaranteed.

The further development of the model is needed in order to test the usability of it and to validate it. The author emphasizes that the vital part of the implementation of the proposed model is the proactive integration of safety management systems into organizational structure and processes as well as employers' commitment, employees' involvement in health and safety activities as well as their commitment to safety.

#### 4. Discussion and Conclusions

In the light of the above arguments, the present nationwide study was the first step in the assessment of safety climate and relevant factors in Estonian nursing homes. The results of the study indicate that the care workers' job is psychologically and physically stressful. Earlier, Sepp *et al.* (2015) demonstrated similar results in the Estonian nursing homes. Our results showed that low back pain is reported as the main physical problem. From the other researchers, the musculoskeletal disorders of health care workers have been attributed in the large part to the patient's transfer and lifting activities (Hignett, 2003).

The results show that the care workers evaluate their safety climate higher than the patient's safety. The care worker is a key person in the nursing home and their safety behaviour depends on their perceptions and beliefs towards safety as well as shared values and norms within the organization. The results indicate that when the management is committed to safety and demonstrates that safety is a value and priority for the organisation, then workers' involvement in health and safety activities, safety decision-making process and good safety practice are increased. This result is supported by Kines *et al.* (2011) who concluded that if managers are perceived to be committed to safety and to prioritize safety in relation to other goals, safe behaviour would be rewarded, and thereby reinforced. This commitment can be reflected by the training programs, management involvement in the safety committees, consideration of safety in job design etc.

The results of the present study also demonstrate that the management plays the main role in order to improve safety climate in nursing homes. These results are in a line with Griffin and Hu (2013) who have found the certain leadership aspects that influence on safety behaviour, and Flin (2007) who has also revealed that one of the essential factors to the construct of safety climate in healthcare is the senior managers and supervisors' commitment to safety.

The results of the current study show that the number of reported occupational accidents and diseases in Estonian nursing homes is low. It can be explained by the underreporting in general (due to the various political and legislative shortages in Estonia) and by the fact that risk is perceived as a normal part of care workers' job and as the people tend not to report about minor accidents and near-misses. It is supported by our study results - low score of Dim5 (questions concerned attitudes to risk taking, considering minor accidents as a part of daily routine, accepting dangerous behaviour as long as no accidents occur, braking safety rules while on time pressure). Results by Eklöf *et al.* (2014) indicate the similar: if the management do not accept to consider the risks as a part of health care workers' job, then it does not support the improvement of workplace health and safety. Alameddine *et al.* (2015) found that the main barrier for improving safety and a high-quality care is a lack of mutual trust between employers and employees, which may cause hiding of errors and near-misses. West with the colleagues (2006) demonstrated that 'high-performance human resource managements systems, which include several essential aspects - workers employment security, investments in workers training, workers participation in decision making processes as well as relevant and adequate feedback to workers - facilitates better to their health, commitment and well-being'.

As the final result of the study in progress, the researchers developed a Reciprocal Health Care Model for safety climate which refers to the importance of management's safety priority and abilities as well as peer safety communication and trust in the safety ability. This is in a line with other researchers' results: e.g. Firth-Cozens (2002) states that effective leadership and line managers' commitment play a critical role in the maintaining of a good safety culture, commitment of workers (Laschinger *et al.* 2000), trust (Prause *et al.* 2013; Stulova *et al.*, 2017) and effective safety communication (Nadzam, 2009). Additionally, workers' professionalism, cooperation and support are essential for good safety in workplace and those factors promote workers' health, motivation, learning and innovation (Kivimäki *et al.*, 2010).

Employers must pay close attention to risk analysis and risk assessment that affects both employees and nursing home clients (patients). Risk management and prevention are a proactive component of safety management.

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## Technology as a Motivational Factor in Foreign Language Learning

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### Abstract

It is a common belief that engagement and motivation are crucial factors in learning and especially in language learning. In particular, increasing motivation can lead to the mobilization of students' personal, cognitive, emotional and behavioral resources and, consequently to better learning results. As digital technology has become more sophisticated, its tools and applications can be used in and outside the classroom, in both formal and informal settings, in order to increase students' motivation. Amongst the various factors -tools, methods or strategies- that can lead to increased motivation, this paper examines the role of technology as a motivational factor in foreign language learning. The relationship between the use of technological means such as web tools and services, digital games, mobile apps or communication tools and motivation in language learning context, has been studied extensively, with a wide variety of approaches, and within the framework of several language learning applications. In order to determine the real impact of technology on learners' motivation, an extensive literature review focusing on studies that have examined the impact of technology use in language learning and teaching on motivation to learn, has been carried out. Furthermore, this paper discusses the concept of motivation in learning context and the relationship between technology and language learning, summarizes some of the numerous studies and researches on this subject, presents a synthesis of the studies examined, and formulates conclusions and perspectives for effective integration of technology as a motivational tool / factor in language learning context.

**Keywords:** language learning technology, motivation.

### Introduction

Nowadays technology is not any more a privilege for the minority of students but it is accessible to all the students, as it has become considerably cheaper. Technology is ubiquitous and, hence, the wealth of the world's information can be easily accessed through a variety of devices. According to recent statistics, 5 billion people worldwide use mobile devices (eWeek, 2017). The growing use of mobile devices (personal digital assistants-PDAs, mobile phones, iPods, laptops, Tablet PCs) and wireless technologies (Wi-Fi, Bluetooth, GPS, 3G, 4G, satellite systems), enable the user to access any type of training and instructional material from anywhere and at any time.

Today's students, who are considered digital natives, are familiar with any type of technology and they are highly skilled at multitasking in the modern information era where ubiquitous connections are now possible. Millennials interact continuously and seamlessly with technology and this is affecting both how they want to learn and to be taught in any level of education, and, the teaching and learning practices used. They use technology as an integral part of everyday life, both in formal and informal learning contexts, not for the sake of technology but as a fundamental tool to access information and communication, as a basic element of everyday life and as an essential tool for their existence (Prensky, 2007, Housand and Housand, 2012, Thomas, O'Bannon, and Bolton, 2013).

Research has shown that technology-enhanced environments can increase students' motivation and engagement and improve students' productivity (-Prensky, 2007; Roblyer & Doering, 2010). But is this the case in the foreign language learning context? What is the real impact of technology on learners' motivation? In this paper, we tried to answer this question by examining the results of previous research carried out in the field of foreign language focusing on the impact of technology use in language learning and teaching on motivation to learn.

## Technology and Motivation in Foreign Language Learning

The integration of digital technology into foreign language teaching and learning is not an innovation. However, the advent of Web 2.0 and the great variety of tools that are more numerous and easier to access and handle seem to have given it an accelerating effect. This integration has changed teachers' pedagogical practices and renewed learning strategies among learners.

Actually, as Lamb states, "... developments in digital technology are probably the most prolific source of innovation in L2 teaching methodology in contemporary times, at least in western or developed world contexts, and the motivational properties of each innovation are usually considered an important aspect of its instructional qualities ...". (Lamb, 2017: 30).

In the context of an action-oriented approach, as proposed by the Council of Europe, the solid ground of the use of technology is that one can learn by action, by experience, "by doing". The use of technology has two main purposes: to facilitate the transfer of what is learned outside the school, in other social contexts, and motivate learners by engaging them in the proposed learning tasks and activities.

According to Brophy (2004: 3) "... motivation is a theoretical construct used to explain the initiation, direction, intensity, persistence, and quality of behavior, especially goal-directed behavior...". Motivation is important because it helps to determine whether a learner persists in a course, the level of engagement shown, the quality of work produced, and the level of achievement attained (Maggie Hartnett, 2016: 13). Motivation is the "tensor" of the original forces, internal and external (situational, contextual and global), directed or not by an aim that influences an individual cognitively, emotionally or behaviorally (Karsenty, 1999).

Lamb (2017, 30) listed the main motivational benefits of using technology in foreign language learning:

- Greater autonomy and individualization;
- Enhanced opportunities for communication;
- Identity development;
- Recognizing and utilizing learners' existing IT skills;
- Content-based instruction;
- Intercultural content;
- Designing motivating tasks;
- Increasing the relevance of the L2;
- Alternative forms of assessment.

The growing amount of research evidence has shown that teachers and researchers have used a variety of software and applications in order to face motivational challenges. We have grouped the results of our literature review into four parts according to the type of technology used: Web tools, services and applications, games and MUVes, communication tools and mobile technologies.

### Literature Review

In the following section, we will briefly present and summarize some of the numerous studies and researches on how the use of various technological means can reinforce and maintain learners' motivation and increase their engagement in the educational process.

### Web tools, Services and Applications

The relationship between Web 2.0 tools and motivation has been studied extensively. According to Terrell (2011) access to online tools (wikis, avatars, games, interactive stories), increases English Language learners motivation to practice English outside the classroom. Furthermore, as McLoughlin & Lee (2008a) argue, Web 2.0 tools appear to motivate the individual to link personal interests to broader social networks, participating, thus, in a dynamic community that provides feedback and reciprocity. The following studies relate to specific web 2.0 services and tools:

Mazer, Murphy and Simonds (2007) carried out a study in order to explore the impact of teacher self-disclosure on Facebook on student motivation, affective learning and classroom climate. The results of the study confirmed that this practice may lead students to higher levels of anticipated motivation and affective learning and to create a more pleasant classroom climate.

Shih (2011) also studied the effect of integrating social networks (in that case facebook) in a College English writing class, using a blended learning approach and peer assessment. The findings demonstrated that using cooperative learning, this facebook integrated instruction could also significantly enhance students' interest and motivation.

Lee, McLoughlin and Chan (2008b) experimentally used the production of podcasts to better prepare their students for the content of the course. The conclusion was that the students-producers found the task both challenging and motivating, as evidenced by the quality and intensity of their interaction and by the successful production of the podcasts.

Mahoney (2014:36, cited by Richards, 2015) investigated the use of blogging in a writing course. The results showed that this has a highly motivating effect on students.

Wilkinson (2016) used media sharing services to increase the motivation of students. The study confirmed that the public exposure of student work (eg publishing to YouTube) drives them to do their best.

Sun (2009), in an experiment on the effectiveness of voice blogs, concluded that voice-blogging can increase learning motivation, authorship, and development of learning strategies, as it encourages students to present themselves, exchange information and connect to peers.

Yang & Wu (2012) developed a Digital Storytelling (DST) program to investigate whether it has an impact on academic achievement, critical thinking, and learning motivation of senior high school students learning English as a foreign language. The results after a period of 6 months showed that the participants achieved a better level in English language, but also showed improvement in critical thinking and learning motivation, especially for task value and self-efficacy. Yang & Wu also refer to other studies (eg. Pintrich et al, 1993; Pintrich, 1999; Robin, 2005, 2008; Sadik, 2008; Van Gils, 2005), that lead to the general conclusion that DST can trigger users' interest, increase their cooperative skills, and help them improve in foreign language.

### **Games, Video Games and MUVES**

Many researchers argue about the benefits of using video games in education. Games can be used in a variety of learning approaches, and they are able to motivate and engage the students in the learning process:

O'Neil, Wainess and Baker (2005) argue that when learning content is combined with game elements, motivation of the learner is positively affected as games offer high level of interaction.

Randel, Morris, Wetzel and Whitehill (1992) state that competitive games motivate via challenge, fantasy and curiosity (Randel et al. 1992).

Bisson and Luckner (1996), argue that games create a complete, interactive, virtual playing environment, which offers an immersive experience and motivate users via fun, challenge and instant, visual feedback.

Mitchell and Saville-Smith (2004) claim that well-designed computer games are engaging and seductive, and motivate the player to continue using rewards and feedback.

Prensky (2007), Kirriemuir & McFarlane (2003) and Susi, Johannesson and Backlund (2007), agree that the desire to win, challenge and set goals that characterize games, implies an increase in user motivation.

Rosas, Nussbaum, Cumsille, Marianov, Correa, Flores and Rodriguez (2003) investigated the effects of introducing educational video games into the classroom and noticed positive effects on learning, motivation and classroom dynamics.

Mitchell & Saville-Smith (2004) believe that video games can stimulate the enjoyment, motivation and engagement of users and promote the development of various social and cognitive skills.

Woo (2014), carried out a survey among 63 university students for 8 weeks in order to find out whether Digital Game-Based Learning supports student motivation and cognitive success. The results showed that, using the online game, motivation and cognitive load exhibited a significant canonical correlation with performance.

Liu & Chu (2010) studied the ways in which ubiquitous games influence English learning achievement and learners' motivation. The research concluded that integrating ubiquitous games into the English class can result in better learning outcomes and motivation than the use of a traditional method.

Several other studies (Papastergiou, 2008; Tüzün, Yılmaz-Soylu, Karakus, Inal and Kizilkaya (2009) have concluded that GBL can improve learning motivation, attention and interest.

MUVEs provide students with an opportunity to visualise and engage with complex learning systems in a setting that is motivating and engaging (Kennedy-Clark, 2009).

Wehner, Gump and Downey (2011) investigated the effect of learning a foreign language (in that case Spanish language) in a virtual world (in that case Second Life) on the motivation of users. Results demonstrated that virtual worlds can increase student motivation, lower their anxiety and help them learn a foreign language.

Connolly, Stansfield and Hainey (2011) developed an Augmented Reality Game to investigate if AR Games can increase student motivation in foreign language learning. ARG project was part of a European Commission Comenius project and involved 6 European partners, 328 14–16 year old students and 95 language teachers in 17 European countries. The students who participated in the research believe that they developed not only motivation but also cooperation, collaboration and teamwork skills.

Other software applications, tools, and learning activities have also been used to motivate students. Mullamaa (2010) investigated the ways of using a web-based environment (in that case the Blackboard LMS) in creating study materials for teaching English and Swedish (ESP and terminology) courses. Research has shown that the use of this environment improved cooperation among students and increase their motivation. Finally, Norbrook & Scott (2003) believe that quizzes are also capable to increase students' motivation.

### **Communication Tools**

The potential of technology to increase motivation through synchronous or asynchronous communication has also been thoroughly explored:

Sun (2009) refers to several researches concerning the possibilities of CMC (Computer Mediated Communication). Results have shown that carefully prepared textual or audiovisual communication activities, both synchronous and asynchronous, can foster learner autonomy and enhance student motivation (Beauvois, 1992, 1998; Godwin-Jones, 2003; González-Bueno, 1998; Kern, 1995; Pellettieri, 2000; Shield & Weininger, 1999, all cited by Sun, 2009).

Alamer (2015), investigated the possibility of using the instant messaging application WhatsApp in L2 learning. Feedback showed that informal use of such application can foster their motivation to learn an L2.

Freiermuth & Huang (2012) examined in detail the motivation of Japanese students of English as a foreign language (EFL) who chatted electronically with Taiwanese EFL students using online synchronous chat software. The results reveal that students can be highly motivated when they participate in well-designed synchronous online chat tasks.

Freiermuth & Huang (2012) referring to a number of related studies, argue that CMC is naturally attractive as a tool, as students seemed highly motivated by the activities. (Beauvois, 1995, 1999; Chun, 1994; Darhower, 2002; Freiermuth, 1998, 2001; Freiermuth & Jarrell, 2006; Kelm, 1992; Kern, 1995; Meunier, 1998; Warschauer, 1996, 1997; Warschauer et al., 1998 all cited by Freiermuth & Huang, 2012).

In another published research, Mayer pointed out that text messaging improves motivation (Mayer, 2002)

### **Mobile Technologies**

Nowadays, the main trend seems to be the exploitation of mobile technologies. M-learning uses mobile computing technologies to enhance learning and therefore has an excellent potential to motivate learners as it is available anytime, anywhere and provides learners with rich, real-time, convenient, collaborative, contextual and continuous learning experiences, both inside and outside the classroom (Kukulka-Hulme, 2005). Indeed, the latest generation of smartphones offers great possibilities to deliver multimedia content, location-based learning materials, and serious games to enhance the learners' enjoyment and motivation (Claudill, 2007). Foreign language courses developed for smart-phones, encompassing video clips, exercises, and other useful tools, are, according to the users, highly motivating Chinnery, 2006). This is a common belief among many researchers who argue about the benefits of using mobile technologies in education:

Burston (2013) analysed some 575 works that was conducted relating to MALL (Mobile Assisted Language Learning) and conducted from 1994 to 2012. Among those publications, were 360 descriptions of projects concerning the use of mobile technologies in language learning and covering a variety of topics concerning MALL. Some of these applications studied the motivational effects of MALL applications in students (all cited by Burston, 2013): Chan et al (2011) explored the use of podcasting to support the learning of L2; Chiang (2012) investigated the effect on subsequent motivation to do extensive L2 English reading comparing Kindle ebook reader and printed materials; Gjedde & Bo-Kristensen (2012) conducted a lifelong learning project in which adult L2 learners complement classroom instruction using mobile phones to take textual notes, capture photos and videos, and make audio recordings; Hung & Young (2007), reported on the rationale of designing a PDA-based L2 English vocabulary acquisition game aiming to help elementary school students learn English words through collaborative and competitive group learning activities; Hung et al (2009) explored the effectiveness of a tablet PC-based Wireless Crossword Fan-Tan Game (WiCFG) on L2 English vocabulary acquisition; Kim & Lim (2010), explored how Twitter can be utilized to increase the motivation of L2 English students to write in English. Lan et al (2007), developed a tablet-PC based peer-assisted learning system (MPAL) to support the collaborative acquisition of L2 English reading skills; Lin et al (2008), studied the effect of hand-drawn sketches using the Group Scribbles application on web-linked tablet PCs to support the in-class collaborative learning of L2 English vocabulary by primary school children; Lin et al (2007), designed and tested a mobile-based system intended as a textbook complement; Liu & Chu (2010) reported on the use of location-aware HELLO language learning system; Song (2008), developed an hybrid website + mobile phone SMS vocabulary learning program; Yamada et al (2011), reported on the effectiveness of a smartphone + web server program on the improvement of L2 English listening comprehension. In all of the above MALL projects, there has been less or more positive effect on the motivation of users thanks to the use of mobile technologies.

Huang, Yang, Chiang and Su (2016) developed a 5-step vocabulary learning (FSVL) strategy and a mobile learning tool in order to investigate their effects on the learning motivation and performance of their (80) students in English as a foreign language (EFL). The results showed that the learning motivation and performance of the students that used the mobile learning tool were superior to those of students taught via the traditional learning tools. This study also found that the learning approach did not significantly affect students' motivation to learn the teaching materials, which leads to the conclusion that the increased motivation is due to the mobile tool.

Sandberg, Maris and De Geus (2011) conducted a survey on the added value of mobile technology for learning English as a second language for primary school students. The results showed that the use of the mobile application motivated users and increased the total learning time with obvious benefits to their learning. The conclusion is that that formal school learning can be augmented by learning in an informal context, outside school, due to motivation created by the mobile app.

In a study conducted at Middlesex University in the UK, mobile learning activities (3D simulations) which encompass quiz and game functions were incorporated into certain sections of anatomy courses. The results were positive, as students found the iPad educational app fun and motivating (Adams Becker, Cummins, Davis, Freeman, Hall, Giesinger and Ananthanarayanan, 2017)

Thornton and Houser (2005) used mobile phones to teach English at a Japanese university, comparing web-based with SMS-based learning. The results of this study showed that the SMS-based lessons had been more effective because the use of mobile phones motivated the students to rehearse more frequently, which resulted in better retention of the material.

The JISC Case Studies in Wireless and Mobile Learning, which reviewed innovative practice in the United Kingdom, identified a number of benefits to 125 learners, including increased engagement and motivation. In that case, the use of mobile technology served as a motivator, since the variety of media and self-pacing attributes encouraged students to engage with learning material (Kukulska-Hulme, 2005).

### **Technology Based Learning Activities**

As can be deduced from the numerous studies presented in the previous paragraphs, the use of technologies can, beyond any doubt, increase the motivation of users, make them follow the courses with more interest, and engage more actively in the learning process.

As far as language learning is concerned, the use of technologies involves a variety of tools and strategies. In foreign language classroom, properly designed activities for presentation, practice, assessment, testing, reference, communication or simulations, but also for creation, production and publishing are used by students.

It is a common belief among the researchers who investigate the effectiveness of technology use in FL learning / teaching that learning activities supported by technology can promote motivation by engaging students in activities which are enjoyable and fulfilling (Huang et al, 2016; Golonka et al, 2014). However, although the use of all these technologies can guarantee an increase in motivation, it does not necessarily guarantee better learning outcomes. Golonka et al, claim that it is unclear whether technology by itself actually improves students' learning.

As this is the crucial issue and the ultimate goal of teaching, the challenge is to use technology in such a way as to make the best possible use of the very positive attitude and motivation it brings to users. In this context, designing activities to achieve the best pedagogical use of technology is crucial.

According to Yang & Wu (2012), technology-based activities must have clear objectives that incite students' interest and, thus, increase their willingness to participate. Respectively, Ushioda (2011) claims that defining and monitoring targets can help learners develop self-determined behavior, conform to the wider requirements, and consequently, achieve better results. In the same spirit, Adams-Becker et al (2017) believe that the connection between coursework and the real world must be easily identifiable by the students, as it helps them to understand how the new knowledge and skills will impact them.

Concluding from the views outlined above, the integration of technology in well-designed and prepared activities increases motivation of both teachers and learners, and leads to improved performance and better learning results (Atkinson, 2000). However, it is obvious that pedagogical relevance is an important driving force (Sun, 2009). Choosing a method that supports active learning experiences (such as project-based learning), seems to be important as well. Derntl & Motschnig-Pitrik (2005) reach the same conclusion, by arguing that the blended learning approach in particular, can enhance students' motivation to participate actively in class and, thus, improve learning.

## Conclusion

As is evident from the data presented above, the use of technology in the foreign language classroom can undoubtedly have a positive effect on increasing students' motivation and eventually lead them to better learning outcomes (Woodrow, 2017). Actually, this does not only apply in the context of institutionalized education, but it seems to be true for learning outside the classroom. Several researches concerning Self-Regulated Learning, concluded that ICT can increase students' motivation in self-directed learning aspects of informal learning when using online learning resources (Lucas & Moreira, 2009; Song & Bonk, 2016). Lai & Gu (2011) also observed students' use of technology for language learning in Self-Regulated Learning (SRL) scenarios. The results reflect a clear increase in participants' motivation when they used technology to achieve their learning goals.

As digital technology is progressing and becoming more sophisticated and, at the same time, simple to use, its tools and applications are increasingly becoming part of everyday life and, of course, education in both formal and informal settings.

Having proven that the use of technology in language learning is an important factor in order to increase student motivation, future research should concern the integration of technologies into learning activities that have the appropriate pedagogical approach to exploit their potential and lead learners to higher learning outcomes.

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## Issues of Special Education in Romanian Schools

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### Abstract

School managers, teachers, students, as well as their parents are faced with increasingly frequent attempts to integrate the diversity of pupils as a result of integration policies at national and European level. Educational needs of impaired persons require special attention. It is necessary to make steps should be taken to ensure access to education for each category of disabled person as part of the education system. Legislative framework in the field of special education Romania takes into account the legislation created by the international bodies on the education of persons with special educational needs, to which Romania has adhered. This paper presents aspects regarding the organization of educational support services dedicated to children, students and young people with special educational needs in mainstream schools in accordance with Romanian law; it also underlines the international legal framework of reference. This paper is part of a wider project that focuses on teacher training to optimize the integration of SEN pupils into the mainstream school; we used data collection methods, such as social document study and focus-group. An integrated and tailored approach is needed for children with SEN (special educational needs); focus-groups organized with primary school and gymnasium children, as well as with support teachers, revealed a number of adaptation issues from both sides (pupils with SEN and students with no problems). On the other hand, the itinerant teachers are assaulted by a series of organization problems and it becomes impossible to provide support and assistance to children with special needs who are growing in numbers. Training of teachers is one of the most important pillars in the integration of all those involved in education, it is the way to optimize service organizations. Teacher training must respond to the real and complex needs of the beneficiaries, based on exploratory learning. In the final, will be presented and analyzed the main important problems faced by both teachers and pupils in the current educational context.

**Keywords:** special education, educational needs, integration policies, children, teachers

### Introduction

In any democratic society, every individual's right to education is unquestionable. However, there are categories of people who do not have open access to education. Moreover, this right is limited and difficult to obtain. This category includes children with disabilities, with special needs, children who, like typical children, have desires to learn and to achieve success in their lives.

The legislative framework in the field of special education in Romania takes into account the legislation created by the international bodies on the education of persons with special educational needs, to which Romania has adhered. Romania has produced several legislative documents in line with key international documents on the education of children with special needs since the mid-1990s.

In Romania, the right of these children with Special Educational Needs (SEN) to integrate into mass school (Law on Social Work, No. 292/2011, Law on The Protection and Promotion of Disabled Persons Rights, No. 448/2006, Law on the Protection and Promotion of the Rights of the Child, No 272/2004). These children are supported by teachers who are specially trained to work and adapt the curriculum to the skills of every disabled child. All students participating in the educational process, especially those with CES, should benefit from educational differentiation as they feature different

abilities and different interests, they come from different social backgrounds and exhibit different affective behaviors (shyness, emotion), they have individual learning potential and different learning styles and methods.

The present article will describe a part of the PION project, (The itinerant-pawn teacher of integrating students with SENs into mainstream schools), a research project aimed at implementing a continuing professional training program for itinerant teachers. Such a training program was extremely welcomed by itinerant teachers, given that it was the first continuous training program, a pilot project for Brasov County.

We will describe the documentation for the training program, the research methods used in the initial evaluation and a part of the implementation of the training courses of the itinerant teachers.

### **Theoretical framework**

Studies on disabilities distinguish the concepts of impairment, disability and handicap (WHO, 1980; Gherguț, 2001).

Thus, impairment means any loss, anomaly or disturbance of anatomical, physiological or psychiatric structure or function.

Disability means any lack, reduction or loss of ability to perform an activity under the conditions considered normal for a person.

Handicap means any disadvantage suffered by a person as a result of a deficiency or disability that prevents or limits the total or partial satisfaction of the tasks considered normal for a person (depending on age, gender and various social and cultural factors).

Some authors make a distinction between the terms according to the way of addressing the issue of people with special needs (Gherguț, 2001, p. 12). Therefore, from a medical point of view, we talk about impairment, according to the functional aspect we talk about disability, and from a social point of view, of handicap.

One of the changes in recent years is the transition from handicap, better understood in the medical sense, to disability, which has a more relevant social component. The notion of disability is broader and also includes the social role of the person with impairment or disability, being disadvantaged compared to other people in the concrete case of the person's interaction with his/her specific social and cultural environment.

Thus, WHO, in 2001, defined disability as a generic term for deficiencies, limitations of activity and participation restrictions and revealed the negative aspect of the interaction between individual and society.

However, the most comprehensive definition, and perhaps closest to reality, was given by the United Nations in 2006 at the United Nations Convention on the Rights of Persons with Disabilities: disability is an evolving concept and it results from the interaction of people with disabilities and attitudinal and environmental barriers that prevent their full and effective participation in society at a level equal to other people.

Statistics show that around 10% of the world population is estimated to be dealing with disabilities (WHO, apud Yeo, 2001). However, at the level of Romania there are 742,353 (3.63%) adults with disabilities, including 63,300 children. Also, at the level of Brasov County, the rate of people with disabilities is 2.97% <sup>1</sup>

One of the greatest risks that this population may face is poverty (Yeo, 2001), especially due to social discrimination and the inaccessibility of people with disabilities in education. Disability can lead to discrimination, marginalization and, ultimately, to social exclusion by being perceived in relation to social barriers which deny the opportunity of employment for people with disabilities (Burke, 2008). Moreover, people with disabilities are "considered to be one of the social categories at high risk of multiple social exclusion" (Lazăr, 2009, p. 206), with disastrous consequences at individual, family and societal level.

Studies conducted by UNESCO show that in developing countries only 1-2% of children with a certain deficiency receive education, boys being more often the beneficiaries of education compared to the female population.

However, in developed countries we see improvements in equality and in the removal of barriers of any kind meant to increase participation of people with disabilities in schools and society.

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<sup>1</sup> (<http://anpd.gov.ro/web/transparenta/statistici/trimestriale/>).

As stated before, when talking about disability, we have two ways of approaching this concept, accepted by specialists: the medical model and the social model. (Manea, 2006).

The medical model emphasizes individual loss or disability, due to a medical problem, considering that the difficulties of people with disabilities are due to their biological and psychological inferiority. According to the medical model, the problem of disability is related only to the person concerned, who is inactive due to his / her deficiencies and who needs medical interventions in order to recover the necessary skills to adapt to environmental requirements. One of the moral dilemmas that arises is that of other people's interventions, which are usually without disabilities, in the lives of people with disabilities. They can decide, for example, what school a disabled person should attend, what kind of support he or she should receive, where he or she has to live, whether or not he is allowed to reproduce (Campbel & Oliver , 1996).

On the other hand, the social model comes with a humanistic perspective in understanding disability, taking into account the social environment in which disability manifests itself. The model blames society when it comes to incapacity and disabilities of a person with a medical problem. Manea (2006) considers that "interventions focus on the environment, aiming at the elimination of restrictions, barriers that impede the participation of people with disabilities in various aspects of social life" (p.2).

Beyond the "treatments" proposed by the medical model, which focuses exclusively on impairment and disability, the social model takes into account the client system, with all the interactions between the person concerned and other people, organizations, and society.

The disability theories attempt to explain the phenomenon and to bring understanding in its approach by society. Thus, one of the most well-known theories in the area of disability is the social model of disability discrimination based on the disability paradigm (Pfeiffer, 2001; Barns & Oliver, 1993). This model suggests that the study of experience of people with disabilities focuses on several variables that have negative effects on disabilities and interact with each other as well as other human characteristics. In the field of disability studies there are at least nine interpretations or versions of the disability paradigm: the social constructionist version as found in the United States; the social model version as found in the United Kingdom; the impairment version; the oppressed minority (political) version; the independent living version; the post-modern (post-structuralist, humanist, experiential, existential) version; the continuum version; the human variation version, and the discrimination version. (Pfeiffer, 2001, apud Pfeiffer, 2002).

Another explicative theory of the phenomenon of disability is symbolic interactionism, through Bordieu, who brings forth the concept of habitus and the understanding of the body as a bearer of value in society. The body and its social location are interdependent and body control is essential to obtaining status and distinction (Bourdieu, 2000).

In this theoretical and legislative context, there are several strategies for people with disabilities.

Thus, we have the European Disability Strategy 2010-2020<sup>1</sup> whose overall objective is to provide people with disabilities the opportunity to enjoy full rights and to participate in European social and economic life. To achieve this goal, eight main areas of action have been identified: accessibility, participation, equality, employment, education and training, social protection, health, and external action.

Another strategy was adopted in 2015, namely the national strategy "A barrier-free society for people with disabilities" ([http://www.mmuncii.ro/j33/images/Documente/Proiecte\\_in\\_dezbatere/2015/2015-10-08-proiecthg-strateg-diz-anexa1.pdf](http://www.mmuncii.ro/j33/images/Documente/Proiecte_in_dezbatere/2015/2015-10-08-proiecthg-strateg-diz-anexa1.pdf)) which aims at employment and accessibility of disabled people to an inclusive work environment, while ensuring access to support services to increase employability.

We must note that all the strategies lead to one common goal: the education and social integration through education of people with disabilities.

Studies point out that people with disabilities are disadvantaged and marginalized in the labor market in all European countries, a fact which is reflected by lower participation rates, higher levels of unemployment and lower levels of education than the rest of the population (Greve , 2009).

Inclusive education is defined as the type of education open for all children, starting from kindergartens, schools, training centers to universities and other educational systems.

<sup>1</sup> (<https://eur-lex.europa.eu/legal-content/RO/TXT/PDF/?uri=CELEX:52010DC0636&from=LV>)

The education of children with special educational needs should be in line with their development needs by properly assessing the learning / development potential and by ensuring rehabilitation - recovery and compensation for learning deficiencies, disorders or difficulties. Inclusive education involves individualized learning, which means selecting those strategies and learning tasks that facilitate the student's learning progress, also enhancing individual resources, depending on age, individual needs, pace of development, learning style and type of intelligence.

Inclusive education is an alternative to special education, which allows child support services to provide real opportunities for recovery and reintegration for children who would have otherwise been targeted by special schools. For school and social integration of children with SEN, holistic, multi-level action should be taken, at the biological, psychological, and social levels. Also, it should not be forgotten that inclusive education is a circular relationship between school, family and community.

### **Methodological framework**

This paper is a part of a broader project that is centered on the theme of the itinerant teacher-pupil integration of pupils with SEN in mainstream schools and it presents aspects regarding the organization of educational support services for children, students and young people with special educational needs in mainstream schools in accordance with the Romanian law.

Our project meets the needs of the local community, taking into account that managers, teachers, pupils and parents, all are increasingly confronted with the diversity of the types of integrated pupils as a result of national integration policies.

The training of teachers is one of the most important pillars in the integration of all those involved in education, being a way to optimize service organizations. Teacher training must respond to the real and complex needs of the beneficiaries, based on exploratory learning.

The overall objective is to develop a training program involving exploratory itinerant teachers, coherent policies for national and European social development in order to optimize the integration of pupils with SEN in mainstream schools.

The specific objectives are: to identify the perceptions and attitudes of school managers, teachers, students, parents and various local community representatives on the integration of children with SEN in the mainstream school.

Designing a training program for itinerant teachers; impact analysis and monitoring itinerant teacher training program.

School managers, teachers, students, as well as their parents are faced with increasingly frequent attempts to integrate a diversity of pupils as a result of integration policies at national and European level. Educational needs of disabled people require special attention. It is necessary to take steps to ensure access to education for each category of disabled person as part of the education system.

Regarding the methodology, we used data collection methods, such as social document study and focus groups, on the one hand with specialists like the itinerant teachers, but also with indirect beneficiaries, pupils aged between 10 and 14 years.

An integrated and tailored approach is needed for children with SEN (special educational needs). Focus groups organized with primary school and gymnasium children, as well as with support teachers, revealed a number of adaptation issues from both sides (pupils with SEN and normal students). On the other hand, itinerant teachers are assaulted by a series of organizational problems and it becomes impossible to provide support and assistance to children with special needs who are growing in number.

In the following, we will present the results of the SWOT analysis of the Itinerant Teacher Training Program, developed following the analysis of the qualitative data described in the methodology.

### **Findings and discussions**

Related to our project we had a workshop attended by a large number of itinerant teachers (about 30). The participants worked in teams and conducted some SWOT analyses on the socio-educational system of children with SEN in Romanian schools.

The discussions proved to be amazing and lead to some very interesting conclusions.

The SWOT analysis revealed that the teachers unanimously appreciate the existence of a well-established legal framework regarding the access of children with SENs to mainstream schools in mass school. By integrating children with SENs, they have models, they copy the behaviors from other children and thus gradually learn to behave and adapt to everyday life.

Itinerant teachers consider that the existing Romanian legislation is in accordance with the needs of children with SENs, thus benefiting from financial support.

They also consider that there is a specialized human resource, even if there are not enough itinerant teachers, but the professors unanimously stated that working with these special pupils is a very rewarding experience.

The professors appreciate the existence of a curriculum and an evaluation method adapted for pupils with SENs.

The discussions revealed that itinerant teachers working with children with SEN built a long-lasting relationship both with them, and with their parents.

The participant at the focus-groups acknowledged that there are many Romanian NGOs which support children with SENs.

The itinerant teachers consider that the existing Romanian legislation is in accordance with the needs of children with SENs.

The itinerant teachers have underlined that a strong point is also the fact that there are training programs to specialize them in the specific problems of children with SENs.

The WEAKNESSES mentioned by the itinerant professors were as follows:

The reality shows a high number of children with SENs and on the other hand an insufficient number of teachers who have limited time (just one hour) to deal/counsel one child per week.

Even though there are a lot of itinerant professors enrolled in working with children with SEN, there is however a general lack of human resources, for instance, a lack of specialists in speech therapy, physiotherapy and so on. The professors believed that the reduced number is due to the low number of candidates on the one hand, but also due to the low interest in working as a teacher (the salary being quite small in the budgetary Romanian system).

Another important aspect stressed by the itinerant teachers is the necessity of a better involvement of the team of specialists in the evaluation process of the children with SEN for a correct framing (and not by IQ tests).

Unfortunately in the Romanian mainstream school there are still teachers in mass schools that do not understand the importance of working differently with children with SENs and they ask for the same demands and common evaluations with the other pupils from the mass class; still, those professors see the SEN pupils as "a burden" for the entire educational system.

Another weak point would be the need for curricular adaptation depending on the level of children's ESCs, having regard that at present teachers have to explain what they teach in mass schools and do not have a separate curriculum; in other words, the purpose of the education should be focusing on the perception of children with SEN.

It is obvious that at the Romanian national level, there are no subjects adapted to pupils with ESCs, for example, at the Baccalaureate exams, pupils with SEN extra time to solve the problems and they have the possibility to be supported in writing if they have vision problems.

The focus-groups revealed that there is a lack of equipment and material resources especially in schools in small towns and also a lack of training for school principals as well as for teachers in mass schools for them to better understand the particularities of pupils with SEN and to better integrate them.

The SWOT analysis pointed out some opportunities such as services free of charge for children with SEN and the emphasis on the individualistic strategies which is in the benefit of children with SEN. During that past few years, many projects have been registered and NGOs came to meet and integrate children with SEN while also offering complementary services. The itinerant teachers appreciate the importance of workshops, training courses and conferences dedicated to these children with issues, although they seldom take place in Romania.

Over the last decade, Romania harmonized internal regulations and now there is a comprehensive legal framework in matters related to the European legislation, but also international legislation which protects the rights of these special children.

Finally, the main important threats resulted from those focus-groups are as follows: Many pupils with SEN drop out of the school and hence, there are little chances of adaptation and integration into society of those in the next future. On the other hand, because of these children's drop-out, future adults can become a real danger to society.

The reality shows that the special education system in Romania isn't focused on the products of the activity. Frequently, children with SENs have to repeat the classes because they cannot even read or write and eventually they abandon school.

The itinerant professors admitted that some repeated transfers between schools have been registered because these pupils with SEN are not accepted by the pupils in the mainstream schools or by the teachers. They cannot integrate themselves and they do not feel comfortable thus, dropping out of mainstream schools.

The same itinerant professors recognized that there is some confusion among teachers about the role of the itinerant teachers (for example, curricular adaptation), their job description.

Another vulnerability is related to the reduced professional integration of these children with SEN at the end of the school, usually, employers avoid to hire them because of the less level of performance in the companies, although they may have some substantial tax breaks.

## Conclusions

As we previously mentioned in the theoretical framework, the approach to inclusive education must be an integrated and holistic one that embraces the individual, one's family, one's community, and society.

We notice that the educational system for children with disabilities is still in development. If at the legislative and institutional level, things seem to evolve and work, we cannot say the same about applying inclusive education. There are still barriers, regarding the individual, families, communities, as well as organizational barriers.

Unfortunately, nowadays in Romania, pupils with SENs have a "tolerated status" they do not fully benefit from the idea of inclusion in its true meaning.

Teachers we have spoken to stressed that the change should occur primarily among teachers in their thinking and approach, so the prospects can be positive in terms of inclusion of these extraordinary children.

Family, parents have an extremely important role and they should be given the emotional support, besides the material one, that is not always so important.

Aside from the fact that these systems that need to work together in order to truly achieve inclusive education, there is a need for more training programs for itinerant teachers. The program described in the article is the first one in Brasov County. The need for training for itinerant teachers is high and it is necessary to develop continuous training programs for them so that they can truly provide an inclusive education to children with SENs.

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## Ethics in Public Administration in Kosovo

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### Abstract

It is important for the state to maintain and increase public confidence in the Public Administration. This trust grows and is kept in public only when civil servants, officials, perform duties with integrity, impartiality and fairness. Ethics is being discussed very recently and it is becoming an extremely mention topic for the business, public administration and in social private environments. Unethical and corrupt behaviour can not only be prevented by punitive measures, from inside and outside analysis, it has a negative perception on corruption in state institutions. Every day in the media, we can encounter information about the bad behaviour of public administration officials regarding corruption, Kosovo is ranked in unsatisfactory positions regarding this phenomenon. It is important to prepare the self-public manual institution guide, which should rely on international standards and policy implementation in practice. The question is whether only legal and sublegal acts are enough to keep this problem under control ? In this paper we will study the legislation, covering the field of ethical behaviour and good practices of combating these negative phenomena.

**Keywords:** Ethics, The code of conduct, Integrity, Public officials, Public administration.

### Introduction

Every day in the media, but also in our work, we can find information about the misconduct of public administration officials, as well as various corruption-related studies or rankings; Kosovo is ranked in unsatisfactory positions regarding this phenomenon. Will it be analysed in terms of legislation, ethics and corruption, are they regulated, in public institutions? Do they have internal regulations and action plans for maintaining integrity? Are the designed plans enough? Legal Infrastructure and Anti-Corruption Plans are just one step towards achieving the goal of fighting corruption and preventing unethical behaviour, while the main part of prevention of negative phenomena remains the education of employees, training of officials and taking criminal-administrative actions by competent bodies for offenders. In this paper there will be recommendations aimed at combating corruption and promoting ethical behaviours in public administration.

The paper combines the method of conceptual elaboration of the most important issues of the law and other guidelines in such a way as to become guide examples to public officials.

In these works will be studied issues related to: Ethics in public administration; ethical decision making; the concept of integrity and state integrity system; understanding the role and accountability of public officials towards increasing the perception of the public; transparency in the Public Administration; solving different situations for the conflict of interest.

### Research Methodology

The work was done based on the research in the area of ethics in Public Administration which deals with and analyses with particular emphasis issues of this field, the regulation applicable to the rules of this field. During this research I have used the notes, data and publications from the official websites of the Ministry of Public Administration, Tax Administration, Corruption Agency, and other relevant institutions.

### The meaning of Ethics in Public Administration

Life in the civil service, the public wants to walk on the road that foretell the written and unwritten principles of good manners. The term ethics in everyday life is encountered in many spheres of life such as professional ethics, ethics, business ethics, political ethics, etc., but by defining the notion of ethics, we try to elaborate ethics in public administration. The life of being a civil servant, public, differs from the life of being student, student, employee, businessman, politician, etc. and the higher the level of education and occupation, the higher the responsibility for the public, and the higher the consequences for the person who behaves in an unfair way.

Starting from what was said above, the notion of "ethics" is vast and involves not only civil servants, public servants in the public administration but touching the highest personalities of a state to the most simple individuals.

The word ethics stems from the Greek expression "ethos", "ethikos" that implies morality. It has the meaning of tradition, doctrine and habits.

Ethics is a system of moral principles or a behavioural code of social groups, religious or civil which clarified the good of evil and the choice of the individual to do what is good.

According to the definition of today's Albanian dictionary, ethics is:

1. Science that studies morality, principles, norms and rules of people's behaviour in society.
2. Morality of a society, of a class, of a social group etc. For example, Professional ethics (scientific).

Ethics can be considered as a study of what is good or right for human beings actions.

### **Seven Important Points for Ethics**

Ethics is not a new topic for discussion. Ethics has been discussed, debated over thousands of years in all cultures, religions, countries, states, communities and regions of the world. Whether the context is public or private, international or local, at the organizational or private level, the issue of ethics has been and is essential of these raised problems.

Ethics has been to the attention of great thinkers and ordinary people since mankind could distinguish right from wrong. Ethics as a theoretical construct and operational strategy has described the thoughts of Plato, Confettius, Buddha, Muhammad, Jesus, and many others. The values associated with applied ethics are at the heart of the Quran, the Bible, and the respective codes that they should follow. Ethics has been the "stuff" of great artwork for centuries. This means that we are dealing with important ideas, timely tested and highly honoured for centuries.

Ethics or its absence is determined by behaviour or by the so-called "applied ethics" – since as a concept of ethics there is a need for concrete examples. As a result, we use as reference "applied ethics" that refers to the application of values, principles and different standards.

Endless discussions about what is right and wrong, acceptable or unacceptable behaviour in organizations, communities, and society have not banned the need or commitment of mankind to "translate" behavioural norms that are agreed upon in code of ethics or codes of conduct - "right" and "wrong" are highly open terms to various interpretations that often result in confusion. However, these terms are also the main components on which we build ethical notions.

Ethics or its absence in the Organization, but today in the Institutions is a topic that is debated very much. "Transparency International", which is a coalition against corruption, evolved from a concept into a worldwide operational reality in less than 10 years. Ethics has become a growing industry. The fact that 10 years before Ethics was a non-compulsory subject in Business Schools in the world and today is one of the most studied and compulsory courses in the teaching process, it speaks of the importance of this science.

We may not have anything new to write about ethics or its absence in Organizations, Institutions - so we can refer to existing concepts. Referring to Ludwig Wittgenstein's commentary "... that problems are solved, not by providing new information but by arranging what we have known long ago".

Referring to the last comment, there may still be ways, opportunities and time to "pack" the conventional wisdom that exists around ethics to serve the specific needs of individuals and groups. Because the number of practices where ethics is embodied is among the most, and the ethical judgments that we offer are different, this means that this "ingenuity" is enriched every day.

There are many ethical dilemmas that public officials often face or may face in the life of being civil servants, and these can be grouped into four categories:

The first type of dilemma that are facing public officials is when none of the options they have are completely satisfactory and should choose the worst or better option compared to the others we have available.

The second type of dilemma is when we have more than one good option or all of the options are good and when we have to choose one. In that case, our venue will result in the rejection of other good options and the public official has to make a choice between "the best options".

The third type of dilemma occurs when a decision that is likely to lead to different effects. From the decision will be satisfy a group of people, while the other group will be dissatisfied. In this case, the option that will satisfy a larger number of people needs to be solved.

The fourth and last type of dilemma occurs when the official has to make a decision, which has a positive or negative effect on the decision maker of the institution or his relatives.

To make sure that the decision cannot be interpreted differently, we must find answers between these questions:

- Is the decision lawful based on legal proceedings?
- Is the decision ethical?
- Is the effective decision?

Rarely, in the above three questions we find many answers, but if we have two or three choices for decision-making we have to decide on the alternative that most responds to the above-mentioned questions.

### **Code of Conduct for Civil Servants in Kosovo Civil Service**

Part of the process of reforming public administration in Kosovo is the drafting and adoption of the Civil Servant's Code of Civil Procedure, which was approved by the Government of the Republic of Kosovo. The Code of Conduct for Civil Servants is the integrity of the principles and norms on the basis of which all civil servants and other staff engaged in state institutions will act. The Code of Conduct for Civil Servants aims to establish behavioural rules for civil servants and other staff engaged, protect their status as well as regulating the rights and duties of civil servants in relation to institutions and citizens in accordance with the legislation in force.

The purpose of the Code of Conduct is to promote the quality of public services for citizens, ethics in work and the public interest, characterized by integrity, honesty, objectivity and impartiality in fulfilling their duties and other staff engaged:

The Principle of Legality;

The Principle of Non-Discrimination;

The obligation to respond the requests;

Efficiency and effectiveness;

Responsibility;

Impartiality and professional independence;

Transparent ;

Avoiding conflict of interest;

Principle of Equal Opportunities for Communities and Gender;

The key goals of the Code to Conduct are:

Defining the rules of civil servants reception,

protection of the status employees and other staff, regulating their rights and obligations in relation to the citizens and the institution.

In addition, the code is based on the principles in which civil servants work on: legality, non-discrimination, political neutrality, impartiality and transparency in the fulfilment of their duties.

Non-formal economy at the global level<sup>1</sup> is estimated to be equal to 33% of GDP Global. In EU<sup>2</sup>, the average size was 18.5% in 2012. Recently the macroeconomic calculations regarding the informal economy in Kosovo are from 2007. The team of an EU project<sup>2</sup> has estimated that the rate of the informal economy in Kosovo during 2004-2006 was 26.67 - 34.75%

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<sup>1</sup> European Platform to increase European co-operation in preventing and stopping unspecified work, European Commission Roadmap, 04/2013.

<sup>2</sup> Study on the Scale and Prevention of Informal Economy and Money Laundering in Kosovo,

of Kosovo's GDP. In absolute terms is varied between EUR 605 000 000 and EUR 793 000 000 per year. However, the same level of the informal economy meant an absolute value between EUR 1,312,678,800 and EUR 1,691,241,600 in 2012<sup>1</sup>. A study involving companies was conducted in Kosovo in 2013 to assess the degree of informal economy.<sup>2</sup> The end of this study was 34.4% of GDP.

The level of informal economy in Kosovo is estimated to be at the same level as in other Western Balkan countries. The rate of informal economy in neighbouring Kosovo varies between 23-38.8% of GDP.

### **Conflict of interest and its types**

Conflict of interest has become a global issue in both the public and private sectors and requires institutional treatment as required by the law and practices of developed countries.

We are aware that the conflict of interest cannot be prevented by punitive measures only, although numerous efforts have been made in Kosovo to prevent this phenomenon, such as through legislation, workshops, trainings. We come across information on day to day basis, both in media and in our work, that officials with or without knowledge fall into situations of conflict of interest.

Therefore, a conflict of interest situation can be at present, or it can be ascertained that it existed at a given time in the past. Conversely, it can be said that there is a *visible* conflict of interest when an official's private interests might erroneously affect the performance of their duties *but in fact it is not the case*.

A potential conflict arises where a public official has a private interests that are as such that a conflict of interest may arise, if the official becomes involved in an official (conflicting) responsibility in future.

Where a private interest has in fact compromised the proper performance of public duties, that specific situation is rather considered as a case of misconduct or 'abuse of duties' or even corruption, rather than a 'conflict of interest'. In this definition, 'private interests' are not limited to financial, monetary or interest generating a direct personal benefit to the public official.

Subject to legislation governing the issue of conflict of interest, civil servant, once employed or appointed, are obliged to refrain from any activity that leads to conflict of interest. The Law on Conflict of Interest but also the Civil Servants Code of Conduct as well as certain guidelines of the institutions define the personal and private interests.

Conflict of interest occurs in various forms, where among the most important are the following:

Exercise of influence - occurs when a civil servant tries to influence a decision in favor of a third party in which the servant has a particular interest. For example, when a senior decision-maker rightly issues an order to carry out a work where his private enterprise makes a significant contribution

Misuse of Information - This is where officials use official information that is not open to the general public and they use it for their personal purposes.

Bribery - This is the unlawful acceptance of money or other valuables, benefit of various favours by civil servants who use their official positions. In general, bribery relates to money, but may also include other benefits such as sexual favours, promises of favourable publicity, or bids to become a member of exclusive social circles.

Financial Transactions - are about those cases where the civil servant has direct or indirect financial interests that directly conflict with the performance of the work performed. E.g. The Planning Director builds an airport in a place where he has private property and not elsewhere where it could be more convenient for citizens. The choice of place is made to pursue his private interests.

Gifts and entertainment – acceptance of gifts or "hospitality" create conflict if they affect the impartial performance of the duties by a servant. These include low priced purchases, theatre tickets, holidays, sexual favours, improper use of vehicles, equipment etc.

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EU Project 05KOS01 / 03/03/001, 2007

<sup>1</sup> Kosovo Gross Domestic Product, Kosovo Agency of Statistics, 2013.

<sup>2</sup> Business Perspectives of Informality in Kosovo Friedrich Ebert Stiftung and Kosovo Foundation for Kosovo Open Society and Riinvest Institute for Research and Development, 2013.

External employment – Part-time employment, consultancy, may cause a conflict of interest with official duties. We have a conflict when it comes to jobs that are related to mutual interests. For unrelated jobs, we do not have a conflict of interest, but we may have activities that conflict with the nature of the job.

Future Employment – If an employee of the Public Administration performs an action today in favour of a third party in order to start working at the entity, to which it has done the favour, after finishing the working hours, then we are dealing with Conflict of Interest.

Relationships with Relatives - Situations when a civil servant can make favours to a relative, constitutes a conflict per se. This kind of conflict may have roots in uneconomic interests.

### **Types of the conflict of interest**

For the purpose of this paper we will address the following types of conflict of interest.

Potential conflict of interest;

Perceived or apparent conflict of interest ;

Factual or actual conflict of interest;

Continuing conflict of interest;

Case by case conflict of interest.

Potential conflict of interest, occurs in a situation or situations in which the private interests of the official may present a future conflict of interest or apparent conflict of interest if the official is involved in certain duties and responsibilities. This type of conflict of interest needs to be monitored by the institution and prevented, if we manage to establish mechanisms of self-declaration or detection before they occur.

Perceived or apparent conflict of interest, is a situation in which the private interests of the official appear in appearance or form, as if they have influenced or may influence the improper conduct of his official duties or responsibilities, but in reality the influence does not occur, it cannot happen or it is unlikely to happen. A perceived conflict of interest may exist when a third party can form the view that a person's private interest may unlawfully influence the performance of their duties now or in the future.

Factual or actual conflict of interest is a situation in which the private interests of the official influence, have influenced or may influence the unfair conduct of his official duties or responsibilities;

A factual conflict of interest is the situation where there is a factual conflict between a person's public duties and his private interests (e.g. an official votes himself to be a board member in a public company). According to the meaning of the case by case factual conflict of interest, we are dealing with a conflict that is occurring, has occurred, as a result of a decision-making that has already taken effect, it may have occurred in a decision-making that has already taken effect.

Continuing conflict of interest The continuing conflict of interest is when conflict of interest occurs repeatedly when conflicts of interest arise frequently.

Case by case conflict of interest, is a situation of conflict of interest that occurs case by case and relates to a particular decision-making. It is a situation of conflict of interest in one of three types: Factual, Potential and Perceived conflict of interest e.g. the official who has to issue a decision based on the residential plan drafted by his wife should withdraw from that case and does not need to quit the job but rather does not participate directly or indirectly in the review and analysis of that case.

To come to a conclusion as to whether or not there is a case-by-case conflict of interest, it is advisable to follow the following methodological steps:

What are the specific and detailed duties and competencies of the official in question?

Does he have a fundamental and decisive competence in decision-making for issuing normative and / or individual concrete acts?

What is the sphere (field, scope) of the impact of this act?

How strong is the impact of this act on this sphere?

What are the private interests of the official in question?

What is the likelihood for this act to influence the private interests of this officer in his favor?

What is the likelihood that the private interests of the official negatively influence on his role in decision-making for this act?

Is there a strong cause-effect relationship between the interests and the act, such that public decision-making may be, for this reason and only to him, an unjust decision-making?

Based on the definitions of case by case conflict of interest and the continuous one, the difference is that the act, by the official, in case by case conflict officer is not repeated, while in the continuing conflict of interest it is repeated.

One of the cases of conflict of interest may occur influencing these factors: *the "sake, friendship, revenge, profit, etc."*.

Determining the risk level:

This determination is made by combining the assessment of the likelihood of occurrence of the risk and the consequences of the risk presented.

Figure 1. Risk presentation matrix.

	Moderate	High	High
	Low	Moderate	High
Risk occurrence likelihood	Low	Low	Moderate
	Risk consequences		

The figure of risk ranked according to the levels of integrity risk enables us to create the integrity plan for the institution.

### Conclusions and recommendations

In the framework of the public administration, the legislation that regulates the norms of conduct is: Code of Conduct for Civil Servants, Law on Civil Servants, Law on Access to Public Documents, Law on Public Procurement, other regulations and internal acts issued by organizations.

No public or private institution may allow the acceptable behaviour in the organization not to be governed through written acts. Personality, culture, behaviours are not a safeguard for the public administration that the official will not make unusual actions in particular cases. Therefore, in view of this risk, it is imperative that the institution has clear actions for ethical behaviour. These goals are often summarized and referred to as codes of conduct or ethics.

Codes of ethics increase the certainty of the organization that officials will behave in certain ways according to the guidelines or prohibitions that are contained to that code.

Officials shall respect the rules in part by focusing on the personality of their actions and partly by focusing on sanctions for violations. Additionally, referring to the Code may prevent the motive or self-denial to commit an unethical action.

Codes of ethics can function as a professional statement that expresses public service commitments for a particular set of moral standards. Codes can help ensure that you are a part of civil service. Pride is an important emotion in motivating individuals to see themselves as professionals.

Ethical standards for civil servants should be clear, the public official should know the basic principles and standards expected to apply in his work, and know where the limits of acceptable behaviour are and what behaviours are not acceptable to the organization. The rules of ethics must correspond to the vision and mission of the organization.

There should be clear guidelines for interactions between the private and public sectors. Public life is different from life in the private sector, various pressures that may violate the integrity of the institution. The institution should be prepared to overcome the non-ethical behaviour promoted by the private sector and vice versa.

The Government's budget for financial years 2019 includes national-level targets regarding the prevention of informal economy and the necessary procedures for responsible administrative and law enforcement institutions.

Responsible law enforcement institutions for the prevention of informal economy, conflict of interest and other necessary procedures prepare performance plans. These plans should include precise institutional objectives, measures for their implementation, and key performance indicators related to the prevention of informal economy related to conflicts of interest that may have as a preventative measure. Performance plans' objectives at the institutional level should derive from the Government's budget goals and therefore their drafting should start simultaneously with the government budget for the financial year.

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## Development of Value Added Tax in Kosovo – Comparative and Research Aspects 2006-2017

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### Abstract

This paper aims to present the progress and effects that Value Added Tax (VAT) may have on a country's economy. The efficient fiscal policies would enable a country to develop more rapidly, however it will all depend on the situation, economic state, and the power that the Republic of Kosovo has. VAT is a tax on consumption, and if seen from the buyer's point of view, it is a tax on the purchase price; while from the seller's point of view, it is a tax on the added value of the product or service. VAT revenues comprise the main part of Kosovo's budget financing, where comparative data from 2006 to 2017 are given in this paper, showing the extent of VAT participation in the total revenues of the state of Kosovo. Due to this, the tax system including the VAT, which was established by advancing in harmony with the EU directives and regulations, but maintaining the specific features of the state of Kosovo, has recently changed. Owing to legal changes, among others, the Government of Kosovo raised the VAT tax rate from 16% to 18% in most products, while reduced the VAT from 16% to 8% mainly on basic food products, medications. The state of affairs between the states is relatively different, being influenced by many factors, making it impossible to present consistent scale-level comparisons between them.

**Keywords:** VAT, tax rates, reimbursement, VAT exemptions, financial effects.

### Introduction

Value Added Tax is a tax on consumption and/or expenditures, which is applicable in 158 countries worldwide. This type of tax has been applied for the first time in France since 1954. In 1968, the Council of the European Union approved the first VAT Directive, according to which the countries that wish to be in the EU, must first establish a VAT system which is in compliance with the Directive.

When it comes to establishing a new tax system in Kosovo, the conditions imposed to commence with a simple tax system. It was initially based on sales tax, at a rate of 15%. In Kosovo, the value added tax for the first time was applied on 1 July 2001, which had a rate of 15% and was applied to all imports and domestic products of firms with a gross turnover above € 100,000, where the changes to VAT have been made many times. The last applicable Law on VAT dates from September 2015. The Value Added Tax (VAT) is the main source of tax revenues in Kosovo.

VAT comprises about 40% of tax revenues. The Government of Kosovo facing an expected increase of the budget deficit, as a result of the increase in public expenditures, has made a number of legal changes in VAT.

VAT is collected and deposited into the state every time there is trading in the chain of product distribution, service, supplies, and works. As a result, the VAT is a multi-stage tax. Value added is the value newly added to the goods, product, service, from each subject, at each stage of trading. Value added is the difference resulting between the value of the products for sale (sales receipt) and the value of the products for purchase (purchase receipt), where this difference is the gross margin of the enterprise. With this margin, the enterprise is required to withstand internal cost factors, as well as some external factors that are not related to its trading activity. If the enterprise has a positive gross margin, i.e. it has a higher added value, and it is obliged to carry out its obligations towards the state.

### Formulation and research of the problem

Since the public goods are offered by the Government to all its citizens, implying that the consumption of a public service or a public good can be used by all citizens without additional costs.

In terms of their volume and structure, the public revenues are not only fiscal components, but in contemporary states, they have effects on economic development, stabilization and social policy.

The fact that there is no state without a budget and that there is no budget without an adequate revenue system to meet public needs, served us as the main and reasonable argument for addressing this problem in this paper. It is important to establish a sustainable tax and fee policy in Kosovo that can serve the future development of the society with a view to advancing an adequate system of value added tax application, and all this in the function of economic and social development of the country.

The research question put forward is: How can the Government, through the most advanced Value Added Tax application, affect the increase of general revenues and simultaneously with the increase of revenues, also increase the public goods for the citizens of Kosovo.

### **Research Methodology**

The paper was done based on some tax system researches that address and analyse, with particular emphasis, the issue of value added tax, the applicable regulation for the regulation of this tax.

During this research, I have used the deduction method, as well as methods of comparative analysis. I have used the notes and publications from the official websites of the IMF, Division on Macroeconomics and Division on Fiscal and Public Policies (MoF), Department for Budget (MoF), Tax Administration, Customs, Riinvest Institute and other relevant institutions. This paper also takes into account the estimates of business representatives and tax area professionals.

With the method of analysis and comparison of VAT revenues over the years, it is intended to determine alternative methods, which at the lowest costs ensure the realization of the purpose to increase the collection of revenues for Value Added Tax

### **Value Added Tax in Kosovo**

Value Added Tax - VAT, includes the application of the total tax on goods and services consumption, which is exactly proportional to the price of goods and services. The VAT is calculated at this price according to the applicable rate, it is charged at different stages of production, distribution, and lifecycle of the trade of goods and services, and ultimately charged to the consumer.

For the purposes of Value Added Tax (VAT), a taxable person is any person who is, or is required to be registered for VAT, and who independently conducts an economic activity on a regular or irregular basis, regardless of the purpose or outcome of that economic activity.

Value Added Tax (VAT) is a tax on consumption. If seen from the buyer's point of view, it is a tax on the purchase price, but if seen from the seller's point of view, it is a tax on the added value of the product or service.

Each person meeting all the terms of the definition on the taxable person is required to be registered for VAT, if within the calendar year exceeds the turnover of thirty thousand euros (30,000 €).

VAT in Kosovo is differentiated into two rates, the standard of 18% and the reduced one of 8% of the value of imported supplies and domestic taxable supplies, except for exempt supplies and supplies treated as exports.

A transaction is subject to VAT taxation in Kosovo, if it is a supply with goods or a supply with services made against a payment, within the territory of Kosovo, by a taxable person acting as such. Similarly, the import of goods is subject to VAT taxation.

A transaction is subject to VAT taxation in Kosovo, if it is a supply with goods or a supply with services made against a payment, within the territory of Kosovo, by a taxable person acting as such. Similarly, the import of goods in terms of the Law is subject to VAT taxation.

A taxable person is any person, whether a natural or legal person or organized in any other form recognized by law in Kosovo, who independently carries out economic activities in terms of the Law, regardless of place, purpose or outcome of this activity. The outcome (loss/profit) of the economic activity is not significant to VAT.

The obligation to charge VAT arises when the supply of goods or services takes place. The VAT becomes chargeable depending on which of the three moments occurs first: Supply of goods or service; Issuance of receipt related to the supply of goods or services; or acceptance of the payment in advance/advance payment, prior to the supply of goods or services.

The taxable amount of the supply of goods or the supply of services consists of all amounts, values, payments, goods or services received or to be received by the goods/service provider as an equivalent of these supplies, against the buyer, the customer or a third party, including the subsidies directly related to the price of these supplies. Thus, the taxable amount of a taxable supply in Kosovo with regard to the supply of goods and services includes everything that constitutes the consideration received or to be received from the supplier, foreseen for that supply. Central and local level authorities and other bodies regulated by law shall not be considered as taxable persons in relation to activities or transactions in which they are engaged as public authorities even when they collect taxes, contributions or payments related to those activities or transactions.

In accordance with the EU and VAT principles, the exports are exempt from VAT with the right to deductible VAT. The VAT on imports is collected at the state borders of Kosovo. The transaction holder pays the VAT based on the customs value and any other import tax (customs duty and excise duty, if applicable) irrespective of their origin. VAT is applied to imports and to any supply of goods and services, except from those which, according to the law, are deemed as exempt supplies. Under the VAT rules, some supplies are exempt from VAT with the right of reduction of deductible VAT and some supplies are exempt from VAT without the right of reduction of deductible VAT.

### Revenues from VAT in Kosovo for the period 2006 – 2017

Incomes from VAT comprise about 40% of Kosovo's total budget revenues. From the point of view of the fiscal burden, the value added tax affects all citizens of Kosovo where the VAT is applied. The VAT revenues for the period 2006 – 2017 are presented below.

Table 1: Revenues from VAT in Kosovo from 2006 to 2017

The values are in 000 €

Years	Total revenues in the Budget	Total VAT	Domestic VAT	Cross border VAT	VAT share in %	Domestic VAT share in %	Cross border VAT share in %
1	2	3 = 4 +5	4	5	6 = 3/2	7 = 4/2	8 = 5/2
2006	712,012	258,554	47,772	210,782	36.31	6.71	29.60
2007	902,998	313,822	58,783	255,039	34.75	6.51	28.24
2008	942,525	363,167	58,407	304,760	38.53	6.20	32.33
2009	1,146,817	390,620	62,959	327,662	34.06	5.49	28.57
2010	1,178,589	454,937	93,617	361,321	38.60	7.94	30.66
2011	1,303,328	540,923	121,438	419,485	41.50	9.32	32.19
2012	1,537,955	548,887	129,960	418,927	35.69	8.45	27.24
2013	1,428,704	559,959	147,679	412,280	39.19	10.34	28.86
2014	1,448,957	559,991	136,056	423,935	38.65	9.39	29.26
2015	1,691,849	611,319	154,800	456,518	36.13	9.15	26.98
2016	1,767,114	693,754	179,293	514,461	39.26	10.15	29.11
2017	1,912,521	756,117	198,341	557,776	39.54	10.37	29.16
Total:	15,973,369	6,052,050	1,389,105	4,662,946	37.89	8.70	29.19

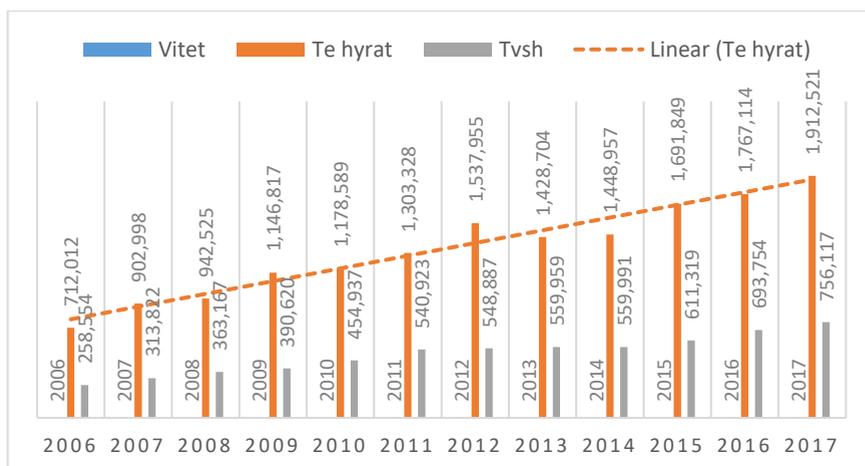
Source: Ministry of Finance, <https://mf.rks-gov.net/>

From the above data, it can be seen that the revenues from VAT in 2016 were 258,554,000 million €, which revenues have continued to increase every year and in 2017 they amounted to 756,117,000 million €, where VAT accounts for about 38% of total state budget revenues, as the main revenue in the state budget.

Following the entry into force of the new Law on VAT, the standard VAT rate on most products increased from 16% to 18%.

In order to measure the effect of the increased VAT, based on the amount of import over which the standard VAT of 18% has been set during the abovementioned period, it can be seen that the VAT revenues for 2016 have increased around 24.5 million € compared to 2015, while in 2017 they increased for about 43.5 million € compared to 2015 when the standard VAT rate was 16%. Thus, the increase in VAT has positively impacted the total revenues in the state budget.

Figure 1: Revenues from VAT in Kosovo from 2006 until 2017



Source: Ministry of Finances, <https://mf.rks-gov.net/>.

Therefore, from the figure it can be seen that there is a linear increase in revenues from VAT each year.

Regarding the effect of reduced VAT on consumer prices, given that Kosovo's economy functions on market principles, the state cannot directly affect consumer prices through VAT reductions. Regarding the effect of VAT reduction as a means of income redistribution, the findings show that the VAT reduction is not an effective instrument to achieve this goal. Given the high import level, consumer prices in Kosovo are more affected by international market prices rather than domestic, economic or social factors.

### Reimbursements and Refunds

In cases where the amount of the deductible tax exceeds the VAT liability, the taxpayer's right to reimbursement arises. As soon as this happens, a business can claim VAT reimbursement. Upon submission of a business request for reimbursement, TAK will review business documents and if they are complete TAK will reimburse the funds within 60 days.

Table 2, Reimbursement according to tax type, amount in €

Tax type	2014	2015	2016	Approved requests 2016	TAK Obligations 2016	Structure	Comparison
1	2	3	4	5	6	7=4/Σ	8=6/4
VAT Reimbursements	31,003,893	22,900,734	17,482,519	268	1,969,522	52.6%	11.3%
VAT Refunds	200,149	1,803,099	445,810	34	41,099	1.3%	9.2%
PIT Reimbursements	121,357	170,320	49,029	300	9,181	0.1%	18.7%
PIT Refunds	193,468	23,591	177,190	21	22,118	0.5%	12.5%
CIT Reimbursements	-	611,310	8,047	1	8,047	0.0%	100.0%
CIT Refunds	89,006	534,640	735,431	25	83,710	2.2%	11.4%
WR Refunds	-	250,751	-	-	-	0.0%	-
TF Refunds	-	333	-	-	-	0.0%	-
TP Refunds	-	80,117	-	-	-	0.0%	-
KP Refunds	-	-	68,239	25	65,763	0.2%	96.4%
Deposit returns	-	2,112,264	-	-	-	-	-
Refund for fiscal receipts	-	1,252,875	14,289,350	774,977	-	43.0%	0.0%
Total	31,607,873	29,740,034	33,255,614	775,651	2,199,440	100%	6.6%

Source: TAK. Annual report 2016.

775,651 claims were approved for reimbursements and refunds, whereby 674 are for businesses and natural persons, while the other part of 774,977 is for the reimbursement of fiscal receipts, whereby the approved total reimbursement amount is 33.3 million €, of which 31.1 million € were transferred in the accounts for all kinds of taxes, while 2.2 million euro were transferred for the coverage of tax obligations.

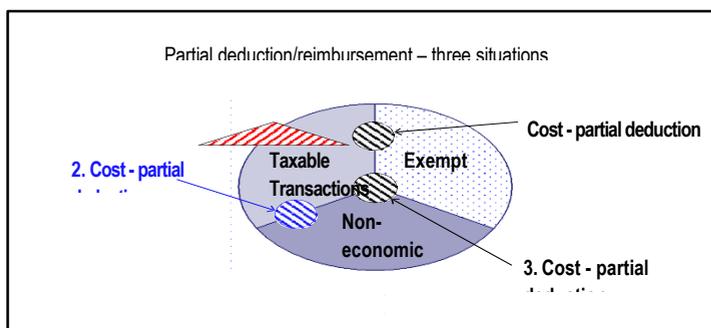
According to tax types, the highest approved amounts are 17.9 million € for VAT reimbursement and refund, 14.3 million euro for fiscal receipts, 743 thousand € for Corporate Tax, 226 thousand € for Personal Income Tax, 68 thousand euro € for Pension Contributions.

In regard to the project “Incentives and Motivation for Obtaining Fiscal Receipts”, TAK has reimbursed funds for the citizens who have submitted fiscal receipts. The Division of Fiscal Cash Register in cooperation with other Departments within the TAK, Post of Kosovo, Treasury and the CBK were able to successfully manage this project even during 2016. During 2016, 775,416 envelopes were received, 774,977 envelopes were verified, 770,906 citizens were referred to for reimbursement, 6,714 citizens were rejected for various reasons, such as: wrong bank account, incorrect personal information, etc.

The amount of reimbursements for fiscal receipts, since the beginning of this project is 15.5 million euros with 851,850 envelopes verified, while during 2016 14.3 million euro was reimbursed, with 774,977 envelopes verified.

VAT exemptions. Production lines and machinery for use in the production process, raw material used for the production process and information technology (IT) equipment are all exempt from the VAT. The right to VAT exemption, on raw materials, belongs only domestic producers, while in technology only businesses that conduct IT activity or deal with IT resale are exempt. The businesses must apply to TAK for exemption. The exemption of these products from VAT does not represent any loss to the budget because in the previous periods this amount was reimbursed to businesses. However the businesses do not need to wait for VAT reimbursement any more until they sell their products. This increases the liquidity of Kosovar businesses and may also have increased effects on the efficiency. This is because businesses are able to provide a larger amount of raw material in stock. The list of businesses that have been exempt from VAT for 2016 includes 239 businesses.

Figure 2, Partial reimbursement/deduction in three situations



### VAT rates in EU countries

Council Directive 2006/112/EC, 28 November 2006 on the common system of value added tax. The VAT standard rate applicable in different Member States, mixed with the provisional system mechanisms, provides that this system operates to an adequate extent. In order to avoid the divergences in the VAT standard rates, applicable from the Member States, that drive to structural imbalances in the Community and competition disruption in certain activity sectors, it should be set a 15% minimal standard rate, subject matter. In order to better understand the impact of reduced rates, it is necessary for the Commission to prepare an assessment report on the impact of reduced rates application on local supply services, in particular in terms of generating new jobs, economic growth and proper functioning of the internal market.

In order to address the unemployment issue, certain Member States willing to act accordingly should be permitted to experiment with the functioning and influence, in relation to generation of jobs, reduction of the VAT rate implemented to services of intensive work. Similarly, the reduction may decrease incentives for interested businesses to enroll or stay in the non-formal economy.

Member States will implement a standard VAT rate, set by every Member State as a taxable amount percentage and which will be identical for the provision with goods and services. As of 1 January 2011 to 31 December 2015, the standard rate cannot be lower than 15 %.

Member States can implement one or two reduced rates. The reduced rates will be set as a taxable amount percentage, which cannot be lower than 5%.

Table 3, VAT rates applicable with the EU Member States

Country	Code	Super-reduced rate	Reduced rate	Standard rate
Belgium	BE	-	6 / 12	21
Bulgaria	BG	-	9	20
Czech Republic	CZ	-	10 / 15	21
Denmark	DK	-	-	25
Germany	DE	-	7	19
Estonia	EE	-	9	20
Ireland	IE	4,8	9 / 13,5	23
Greece	EL	-	6 / 13	24
Spain	ES	4	10	21
Franc	FR	2,1	5,5 / 10	20
Croatia	HR	-	5 / 13	25
Italy	IT	4	5 / 10	22
Cyprus	CY	-	5 / 9	19
Latvia	LV	-	12	21
Lithuania	LT	-	5 / 9	21
Luxembourg	LU	3	8	17
Hungary	HU	-	5 / 18	27
Malta	MT	-	5 / 7	18
Netherlands	NL	-	6	21
Austria	AT	-	10 / 13	20
Poland	PL	-	5 / 8	23
Portugal	PT	-	6 / 13	23
Rumania	RO	-	5 / 9	19
Slovenia	SI	-	9,5	22
Slovakia	SK	-	10	20
Finland	FI	-	10 / 14	24
Sweden	SE	-	6 / 12	25
United Kingdom	UK	-	5	20

Source: VAT rates applied in the Member States of the European Union, January 2018

### Conclusions and recommendations

In Kosovo, the VAT plays an important role in the revenue system and it has supported Kosovo to replace international aid with sufficient domestic revenue sources. Revenues collected from the VAT in the total revenues comprise around 40% and represent one of the most important tax forms in all countries regardless of the development stage. Currently, the VAT is implemented in approximately 158 countries of the world.

Adequate tax system and favorable business environment are the most important pillars for the sustainable development of the private sector in the country. In this regard, fiscal policy reforms include VAT differentiation, lowering VAT threshold,

VAT exemption of production lines and machinery, VAT exemption and customs duty on key inputs of priority competitive sectors, and functionalization of industrial and technological parks within which the provision of various tax incentives is foreseen.

Lowering VAT thresholds for business registration is welcome for businesses due to lower informality and hence creating prerequisites for fair competition among businesses.

In the future, it would be necessary to assess the possibility to better harmonize the definition of a taxable person (taxable business), in particular to determine the country of service supply, respectively a definition as clear as possible.

It may be useful to apply more explicit rules regarding the determination of country of service supply by the country of effective use of services.

Improvements should be made to the VAT administration in case of bad debts, for the assessment of the implementation of some additional terms in the applicable VAT rules in Kosovo regarding bad debts. In order to set the time limit when bad debt has arisen, it is necessary to improve the administration of VAT. It may be useful to have a time limit for the recognition of bad debt, for example, bad debt cannot be recognized earlier than 2-3 years in advance.

In order to harmonize the Kosovo VAT rules with the Directive, it is also necessary to determine that the VAT receipt is issued even if the recipient is a non-taxable legal entity.

Certain restrictions should be added on goods purchased before the registration of the business for VAT, respectively determining that such goods, for which the VAT deductions are made, cannot be purchased earlier than a certain period of time (for example, if, according to business data, the goods that are in the warehouse at the moment of VAT registration are purchased earlier than the VAT registration date).

The registration threshold and the calculation method for VAT business registration should change and all the businesses, which within the calendar year exceed 20,000 euros turnover, should register for VAT.

By approval, the production lines and machinery for use in the production process, the raw material being used for the production process, the information technology equipment should be exempt from the VAT. The Ministry of Finance should start implementing tax breaks, as a way to boost new investments that can generate new jobs and mitigate trade deficit.

In addition to reducing the VAT on certain products and services, the Ministry of Finance should present direct tax relief to citizens as the most effective measure of revenue redistribution; it should be continued with the reimbursement of citizens at a pre-determined monetary value in the collection of fiscal receipts, obtaining information from citizens in regard to non-issuance of fiscal receipts, tax receipts, corrupt information, and other information that help combat fiscal evasion, thus, ways should be found to stimulate information-providing citizens to help combat fiscal evasion and have an effect on revenue growth in the state budget.

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## City Branding and the Tourist Gaze: City Branding for Tourism Development

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### Abstract

For many years now the topic of city branding has gained a significant interest in both the academics and policy maker's specified fields. As many cities tend to compete globally in attracting tourism, investment or talents, the concepts of brand strategy has been increasingly adopted from the commercial filed and has been applied to the urban development, regeneration and quality of life of cities. Nevertheless, city branding helps in increasing the status of the place as touristic destination, residential, or business location. As many places are mainly branded as touristic destinations, urban tourism is one of the fastest growing segments of worldwide tourism market. Thus this article intends to explore the essence of city branding related to tourism and John Urry, "Tourist Gaze"; city image, and the relationship between city branding and its residents.

**Keywords:** city, branding, tourism, development

### Introduction

#### City Branding

City Branding itself is the process of distinguishing and diversification, where local tourism organizations, cultural and arts facilities, museums, historic preservation groups join and construct a place images, helping in producing tourist sites with the common aim to attract consumers and investment to a particular local area. This process involves in two main components, 1. Place making or city building,(the process which makes a specific place more attractive) and 2. Place or city branding (the process of promoting a place), (Anholt, 2008), ( Avraham and Ketter, 2008), (Kavaratzis, 2004). The main goals of city branding is to re-image a city perception, depending on its place identities and of course understanding the local culture of the place. Still, city branding is more than the promotion of a place and its marketing, its about constructing and reshaping the cities image from its historical architecture and street plans, the images of the city heard or read, the art produced by its residents etc, thus attracting the desirable consumers and maximizing consumers spending. Therefore, City Branding aims to:

1. Develop new ways of communicating the city's image
2. Achieve competitive advantages
3. Strengthen the reputation of a city, improving also its economical importance.

Building a good city image is an important mixture of activity and structure. Because successful brands give benefit beyond the physical aspects of cities, there is a big necessity to process the visual image into a unique brand image through clear strategies.

As Unsworth states, "City branding should be associated to the main things that people should know about a place". Thus, the process of creating a brand requires media-generated imagery; branding of the urban projects; city life, historical buildings, important signature architecture, and the overall form of the city, should follow in accordance with main target focus on how to develop the brand ( tourism, investments, attracting new residents).

#### City Branding comparable to corporate branding

While researching if branding is whether beneficial for cities or not, first branding should be defined. The American Marketing Association defines 'brand' as 'a name, term, sign, symbol or design, or a combination of these, intended to identify the goods or services of one seller or group of sellers and to differentiate them from those of competitors'.

On the other hand, Hankinson (2004) also emphasizes the distinctive character of the branded product which is the result of the positioning efforts in relation to competition and unique combination of attributes and values. Paul Biedermann defines brand as the essence of one's own unique story. Moreover, De Chernatony and Dall'Omo Riley (1998) define brand as the multidimensional construct of values facilitated by the producers and recognized by the consumers of the product. This is a two – way process of communication between the owners of the brand and the consumers who perceive it. It is more than a name or a slogan promoting a certain product, as it integrates a number of different qualities associated with that specific product. A brand differentiates a product from its competitors by these attributes and values, forming a unique combination. Thus, a brand carries values, bonding's and loyalness in relation to the customer (Stigel and Frimann, 2006).

Nevertheless, a distinction is necessary to be made between product or service brands and corporate brands. Corporate brands different from product brand have a slightly different aim. The targets are not only the customers, like in the case of product brands, but different stakeholder groups. Therefore their complexity ought to involve the company's mission, values, beliefs, communication and culture. (Simoes and Dibb, 2001). As defined by Simoes and Dibb, a corporate brand is a continuous expression of the distinctive business model of an organization through the verbal, visual and behavioural means.

### **The concept of “brand” and “branding”**

In addition of the comparison of city branding and corporate branding, distinction should be made also between the concepts of brand and branding, which are not equal. As described by the Business Dictionary term “Branding” involves the entire process of creating a unique name and image for a product or company in the minds of consumers and other stakeholders. (businessdictionary.com). On the other hand, the term “Brand” is an overall image or set of perceptions and associations in people's perception of the brand. Hence, “Branding”, emphasis on establishing and maintaining this brand. (Stigel and Frimann, 2006). However, branding does involve promotion, most importantly, it goes beyond it. The aim of branding is to establish a significant and distinguished presence in the market that attracts and retains loyal customers. Indeed, the aim of branding is not only to distinguish a product or a service from others, it consists also in the representations of values and beliefs that will influence the behaviour of customers (Tasci and Kozak, 2006). After all branding is about altering or refining an image. Thus, it should be treated as a complete and continuous process, which all other marketing activities are subject. (Kavaratzis, 2004). In fact when it comes to places, they are very complex and can be still treated as a single product, however the functions of this product should be treated as a combination of various services, associations, etc. In his book “How to Brand Nations, Cities and Destinations” Rainisto (2003) states that place brands are more similar to corporate umbrella brands than they are to product brands, and therefore a place's image is a value a place can benefit from. While referring corporate branding the company itself is the main focus and not the products or services it offers, is the company's mission, vision and culture that are the main elements of branding. It can be believed that the same applies to places, as place branding is not about the single products the city offers, it is about the larger picture of branding the city as a whole entity. Thus, the main goal of place branding is in using the place's values that are associated with its local products, which can promote the place itself. Similar to corporate branding, place branding is about attributing certain qualities to the entire combination of place products, as every single one of these products can then benefit from the place brand as a whole.

In addition, Merrilees, Miller and Herington (2009) define place branding “as the ways in which communities, cities, regions and countries market their entity”. Thus, defining City branding as a part of place branding which applies to single cities rather than whole regions or countries. On the other hand, if a city's efforts focus on attracting tourists, then city branding can be expected to be a part of destination branding.

Since destination branding applies to the tourism market, its primary aim is to attract visitors to a given destination. Therefore, city branding can be considered as both place branding and destination branding for an urban region. “Cities have always been brands in the truest sense of the word”. (Anholt, 2008). Anholt reinforces the idea that governmental attempts have been made to create place identity and to promote it to its either external or internal consumers, have long taken place before the name ‘city brand’ started to be used. (Kavaratzis & Ashworth, 2005). Thus, city branding in its essence is similar to corporate branding, both of them aim to attract attention of multiple stakeholders and not single customer groups. Furthermore, both city branding and corporate branding have multidisciplinary roots, they both have a high level of intangibility and complexity, which need to take into account also social responsibility, both dealing with multiple identities and need a long – term development. (Anholt, 2008) In fact, Hankinson (2007) claims that city brands are comparable to corporate brands and consequently concludes that place branding needs leadership, a brand-oriented organizational culture, coordination of different departments influencing the “brand”, constant and consistent

communication and strong partnerships. Hence, methods and techniques applied previously to corporate branding can now be used for building strong city brands. (Kavaratzis and Ashworth 2005). After all, the idea behind branding is to persuade the customer, in which the city is able to fulfil his needs better than the competition. Michalis Kavaratzis states in his article "From city marketing to city branding: Towards a theoretical framework for developing city brands", that city branding and city brand management aim at influencing spatial behavior of people and companies by putting the city on their mental maps and enforcing the positive perception of it, whether it relates to living, visiting or investing. (Kavaratzis and Ashworth, 2005). On the past years the aim of city branding has changed, from attracting outsiders, nowadays it focuses more on the current and potential residents rather than just visitors. It has become more important to keep its residents, and thus keeping business in the city, thus resulting in sustainability. In conclusion, we can define place branding as the planning and execution of the entire process of creating, managing and/or improving the perceptions of a existing city, its potential customers and other stakeholders, which aim to influence the spatial behaviour of customers, being beneficial for the city's sustainability and development, and focuses on the values of a city as a whole.

### **Branding strategies for cities**

City image can be projected into the international market place very fast, where the chances of attracting tourist, companies, will certainly improve the urban vitality of the city. Importance of city branding focuses in the empowerment of local knowledge and creativity which can be used in a more efficient approach to public planning and urban development of the city, thus using city branding as an essential tool in urban regeneration. On the other hand, city branding can also be treated as segment of destination branding when concerning tourism. Tourism is the main backbone for political and economic progress and social restructuring, helping in exposing domestic enterprises to the international market, but also encourages interaction between host populations with outsiders. Nevertheless, the value of place branding and destination branding is in the importance of attracting visitors, with a highly potential of helping the economical aspect of the city. Branding can bring positive and profitable associations. However, in creating a positive city image a set of clear values should be defined with the brand. Branding is not just about logos and slogans, but the "ACTUAL IDENTITY" of the brand itself that takes in consideration different groups of stakeholders. Nonetheless, branding should be based on a clear set of values and beliefs with a clear purpose for the strategy to be effective and in return beneficial for the city. In order to be successful and have a long-term impact, branding should be accompanied with actual visual changes within the city.

Undoubtedly, marketing campaigns have a slightly impact in helping to 'sell' the city as a tourist destination, investment location by improving the perceptions of people about the city. Moreover, the role of branding should also focus in policy change. In his article "Place branding: Is it marketing or isn't it?". Anholt, claims that strategy consists about the knowledge of the authorities of the current situation of the city, what is the actual desired position of the city and how to get and manage it. In addition, "Substance" is stated as the implementation of the strategy in different forms, such as economic, political, and cultural activities which take place in the city. In conclusion, 'Symbolic' is seen as the action that will be communicating the actual changes in the city. (Anholt, 2008). Most of the time, people believe that the image of a city improves with excessive marketing or advertising tools, however it is the actual change that is being communicated and used as a marketing tool. Definitely branding is important, still alone it cannot achieve much. It has to be strengthened by positive visible evidence in the city.

### **The 4d place branding model**

Branding itself is a major trait of contemporary postindustrial society. As mentioned before, Kavaratzis (2009) claims that the concept and techniques of product and corporate branding are now also employed in a variety of different ways, including place branding (Kavaratzis, 2009). Thomas Gad's 4D Place Branding Model consists in conducting in more in-depth research as a framework for destination marketing projects. This also encompasses further communication process that helps establish the brand and its message with regards to the target audiences. Thus the 4D Place Branding Model, also focuses on communicating a created image. This reflects the essential role assigned to image formulation and image communication in theoretical discussions (Kavaratzis, 2004). Thomas Gad's 4D Place Branding Model consists of four phases: 1. Discover, 2. Define, 3. Design (re-Design) and 4. Deliver.

The model was designed for general application of place branding. Moreover, place branding can be treated as a new image created by distinctive characteristics of a place as well as preexistent images.

Discover: The first phase where primary research takes place, consisting of five constitutive parts, including questionnaires, workshops conducted by NGO, interviews, research on materials and analysis. Gupta, A. (2010), in her publication "Branding a nation: Framework for building favorable country-image", claims that "discovering" and identifying the image of a place is thought to be the preliminary aspect in the theory of branding (Gupta, 2010). Moreover, Gertner and Kotler state

that the image of a place influences the brand response to its residents, visitors and investors (Gertner and Kotler, 2004). Still, Kotler emphasizes that the image of a place is a sum of beliefs, ideas and impressions that people have of a place (Gertner and Kotler, 2004). In addition, cultural heritage often incorporates traditional and cultural values of certain regions or places, hereby including beliefs, ideas, traditions, architecture and foods, which can be used in creating or identifying the image of a place. The focus of Discover as the first component of the 4D Place Branding Model is to gather all the significant and available resources for creating the underlying themes of the brand image. These underlying themes can focus on distinct cultural and heritage values, historical stories, local values or natural resources of the place. Morgan (2006) argues in her publication "How has place branding developed during the year that place branding has been in publication, Place Branding." That the process of branding focuses in two main phases: 1. Internally, all the gathered information of cultural and historic artefacts help in identifying the preferred and suitable image of the city; 2. Externally, focusing in discovering the citizens' perception of the cities. Nevertheless, both these two phases have a reciprocal process, thus underlying that the direction and themes of the place branding strategy are determined through the Discover process.

**Define:** The second phase of the 4D Place Branding Model is Define, aiming to identify a simple definition and clear solution for the brand positioning, reflecting the uniqueness of the concept of brand identity in theories of branding, which indicates the way in which the branding theme wants the brand to be preserved (Kavaratzis and Ashworth, 2006). The process of Define starts by extracting a word or creating a slogan, a memorable phrase, that defines a place. Description occurs in a concise form, which can be in a length of a paragraph or in a statement in comprehensive scale.

**Design / re-Design:** Design (re-Design), the third phase in which the process of created or present images are transformed into tangential branding resources. This is described by Kavaratzis (2004) as the core part in branding places, where re-image or re-inventing of a place is done. This phase falls right after developing a brand through its branding positions from the previous stage of Define. As Kotler (1999) describes in his book "Marketing Places Europe", there are four distinct areas used as the core for creating competitiveness in place branding: 1. Design (character), 2. Infrastructure (fixed environment), 3. Basic services (service provider) and 4. Attractions (entertainment and recreation), proposing on how to enhance the attractiveness of a destination through practical design. The Design (re-Design) phase from the 4D Place Branding Model also includes a range of different strategies for brand positioning, such as cultural heritage and physical design. There are general qualities that make up the physical design related to the landscape, urban space, architecture and infrastructure, which reveal's the place brand and uniqueness of the destination. Cultural exhibition features the distinctive cultural heritage in the form of paintings, relics, traditional songs and performances, food making, local customs and ceremonies. Since the presentation of the cultural heritage elements contributes to communicating the brand and its messages to the people on a more direct level, it is reflected both in the process of image formulation and communication. Nowadays, succeeding in attracting wider recognition is part of the development agenda of contemporary cities, faced with the need to differentiate and compete against one another. However, city branding plays an important role in this struggle of recognition. On the other hand Cultural Heritage, tangible or intangible can potentially become a striving force in creating an identity and a city brand for cities or places rich in cultural and natural heritage.

**Deliver:** The fourth phase of Tomas Gads branding model is Deliver. This step of the process aims to communicate the brand and designated messages to the intended target audiences. This phase is set to work constantly to strengthen the image of the situated brand by communicating through multiple channels (marketing means of communication).

### **Cities and the tourist gaze**

Nowadays, urban tourism is one of the most fastest growing segments of worldwide tourism market. Thanks to a number of low cost transport carriers, city trips have become increasingly popular. Planning a city trip has become more than easy more than half of European consumers arrange their holidays on their personal computer. Clearly, competition between cities for tourists has increased (Selby, 2004). Due to this phenomenon, more cities try to invest in city branding. In their Research Report of the Nordic Innovation Centre in Oslo, "*Image of the City: Urban Branding as Constructed Capabilities in Nordic City Regions*" Jason and Power, state that the usual branding strategies employed are usually twofold (Jansson and Power, 2006):

1. Cities either emphasize the material characteristics of the place such as buildings and events, or its
2. Immaterial aspects, for example, stories, slogans and logos. In this way, cities hope to differentiate themselves from the competition and attract tourists. Certainly, city branding can be a useful tool in building a touristic image. But in fact how does this image building work? What can cities really do to attract attention? Why is, for instance, Rome, Paris, or Venice are tourist magnet? To better understand the phenomenon of why tourist prefer some cities instead of other ones, which might be of the same historical value, the theory of the "tourist gaze" by Urry (1990), will be explored.

### John Urry, cities and the tourist gaze

The British sociologist, John Urry, in his book *The Tourist Gaze* (1990), developed a theory on why people travel for leisure and why they visit certain places (Urry, 1990). The author, emphasises that tourism is a process that involves the act of going away to search for visual experiences that people normally do not see at home or at work. The main activities/objective of tourists are 'gazing at signs'. Signs regarding the particular features of a place, such as a famous cathedral, beautiful landscape or many other attraction that a city might have. For instance, tourist visiting New York will definitely visit the Statue of Liberty, or gaze through Wall Street or Little Italy. Different from a place inhabitants, tourists usually look for different things in a place, thus adopt a 'tourist gaze'. However, places which are gazed upon are not randomly chosen. Urry argues that the tourist gaze varies by society and is always socially constructed (Urry, 1990). According to Forbes, Chinese tourists prefer to gaze upon the city of Frankfurt, New York, gazing upon the skyscrapers. In addition, American tourists would not prefer to visit the small historic towns in Italy of their own adherence. Urry, explain that this happens due to the manipulation that happens by a variety of media channels constructing that gaze about a certain place. Advertising, television documentaries, websites and blogs, social media channels, travel guides, and newspaper articles, enable people to form an image of what to expect when visiting a place. Thus, in Urry's view, both tourists and attractions are manipulated: the gaze falls upon those features of a place that are already anticipated. Or, as Urry (2002: 3) puts it: *'When tourists see two people kissing in Paris what they are gazing upon is "timeless, romantic Paris"'*.

Urry's theory is highly affirmed by the rise of mass tourism<sup>1</sup> since the second half of the 19th century. Nevertheless, since from its invention, photography started to accompany tourism, right at the same time that organized tours arose. In fact, the growth of tourism had a high impact in the future development of photography. Mac- Cannell, D. (1999), states in his publication *"The Tourist: A New Theory of the Leisure Class"*, *"the act of taking pictures of a place that is no longer used, 'sites' are turned into 'sights': thus tourists visit churches, not to pray, but to photograph them"* (MacCannell, 1999). Peter D. Osborne views this phenomenon as a 'site sacralisation'<sup>2</sup> which has become the engine behind tourism, in an attempt of become what places are expected to be, the tourist industry thus has produced a lot of '*pseudoauthentic attractions*' (Osborne, 2000). Similarly, most Dutch cities reinforce the stereotypes of 'Dutchness' by inventing spots, events and souvenirs encouraging to tourists that they have found "the real Dutch culture". Urry (1990), notes that not all tourists are the same type, tourists with a 'collective' gaze tend to feel safe, thus aiming in following organized trips to visit tourist magnets<sup>3</sup>. On the contrary, more tourists are developing an individual, 'adventure', 'romantic' gaze, searching for authenticity in the cities or places they decide to visit.

Although a sociologist, Urry theory of "tourist gaze" did not develop in the context of city branding. However, the notion of the tourist gaze, is much of relevance towards cities that want to build an image and attract tourists. Hence, if people visit places mainly because of photographic images, then city branding itself can help in providing and distributing these pictures. That sad, city branding can be a powerful tool in constructing a positive a trustful tourist gaze based in providing an experience that resembles the images used in their branding. Although a pragmatically view, regarding historical and social-cultural reasons (Morgan, 2004), city branding can offers hope and possibility for every place, small cities, towns, villages, localities that suffer from offering nothing special. **Examples:** Wallander detective television series Fig.01 "Wallander" detective television series takes place in the city of Ystad in the south of Sweden: The example highlights how the "Wallander" detective television series is taken as an advantage from the city to organize Wallander tours.

<sup>1</sup> Mass Tourism is a form of tourism that involves tens of thousands of people going to the same resort often at the same time of year. It is the most popular form of tourism as it is often the cheapest way to holiday, and is often sold as a package deal. Source: [www.geocoops.com/mass-tourism.html](http://www.geocoops.com/mass-tourism.html)

<sup>2</sup> Essays on photography regarding the relation to art; space, identity and landscape; travel and mobility. Book: Travelling Light – photography, travel and visual culture

<sup>3</sup> Attractions

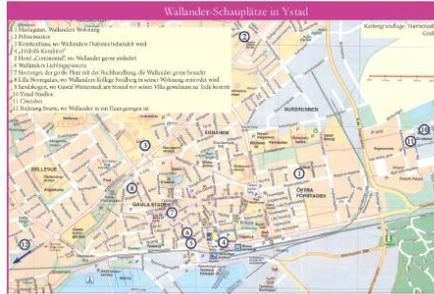


Fig.01 “Wallander detective television series City Tours”. Source: Ystad Commune, <http://www.ystad.se/filmlocations>

“Tomatino festival” Buñol, Spain Fig.02. Buñol village located in Spain has developed a reputation as a photogenic attraction consisting of the annual Tomatino festival where villagers throw tomatoes at each other, coloring the streets of Buñol entirely red purely for entertainment purposes.



Fig.02 “La Tomatina” festival, Buñol Spain”.Source: La Tomatina Tours <http://www.latomatintours.com>

**City’s image**

Upon John Urry theory of “touristic gaze”, Kevin Lynch theory is based on his empirical research of the built environment noting that individuals perceive a city predominantly based on a set of built objects. Nevertheless, OECD(2005), and Ashworth (2009), base their theory of “touristic gaze” in regards of hallmark events, and famous personalities Fig.03.

Kevin Lynch	Built Environment	Coliseum (Rome)
OECD	Famous Personalities	Spot where President Kennedy was murdered (Dallas)
Ashworth	Hallmark Events	Oktober Fest (Mynich)

Fig. 03 Examples of “Touristic Gaze ” models. Source: Sonia Jojic

Regarding Lynch observations, he argues that tourists visit a city to gaze upon objects in the built environment. Lynch (1960) notes that in many American and European cities, most individuals perceive a city predominantly as a set of built objects (Lynch, 1960), particularly, five physical elements, developing people’s image of a city:

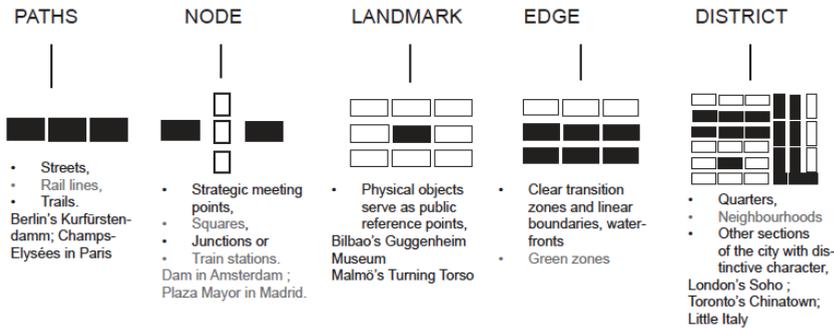


Fig. 04 Kevin Lynch diagram of the "Five Physical Elements". Source: Sonia Jojic

Lynch, with the concept of 'imageability', noted that some part of a city create a strong mental impression on people minds. Edges and Landmarks, particularly for tourist, function as image carriers, because they are easily identified, recognized and remembered. Nevertheless, tourists also direct their gaze towards hallmark events taking place in a certain city, in a certain time of the year. A city can not only be identified with certain activities organized during events (music, art or sports), but also its organizing capacity by hosting it. The Organisation for Economic Co-operation and Development (OECD), argue that although the benefits of hallmark events for the local economy are mostly overestimated, the impact on the local image of a city can be considerable (OECD, 2005). Referring as a good examples of mega events that contributed to image building is the example of the Summer Olympics of Barcelona (1992), Fig.05.



Fig. 05 Summer Olympics of Barcelona (1992). Source: Visit Barcelona <http://www.welcome-to-barcelona.com/>

In addition, tourists tend to visit a city due to the association with a personality, such as a famous painters, musicians or writers, where very often, the affiliation of a place with a named individual might tend to be the result of city branding. This branding technique is called the 'Gaudi gambit' after the the architect and designer Gaudí (Ashworth, 2009). Nevertheless, painters, musicians, writers, scientist are suitable icons for a city, even if they might not be linked to the place( examples: Vermeer (Delft), Mackintosh (Glasgow), The Beatles (Liverpool). Clearly, some cities might hold on to more image carriers than the three types mentioned above. Certain cities or places, tend to be in the public imagination due to important position in history (Athens (antiquity)). Hence certain places hold on to reputation related to the aspect of the local economy, 'city of- origin effect' Wolfsburg (Volkswagen). Hospers (2009) notes that for city branders, tourists are an attractive target group, especially in regards with urban and cultural tourism, seen as a growing market, where tourist are quite responsive to their branding technique (Hospers, 2009). Urry's theory of the tourist gaze indicates that people visit a city to 'gaze at signs', looking for certain features in the urban landscape that are already presented to them by pictures (Urry, 1990). This theory explain the self-reinforcing 'Matthew effect' in tourism magnet cities, such as Venice, Paris, New York, etc, imageable cities already in the public eye which attract even more attention for the fact that are famous for being famous. However many other cases in city branding such as the case of Barcelona, Budapest, Slovenia Fig.06 , etc, are examples that highlight that cities can easily identify their image carriers, trace and possibly construct new ones through the improvement of the

imageability of the place. Nevertheless, cities that do not hold the “Matthew effect”, should prevent the emergence of a visual overload for the tourist gaze, building a stronger touristic image through new means of tourism (Hosper, 2009).



Fig. 06 Slovenia Branding Model, “I Feel Slovenia”, Logo. Source: Government Communication Office, Republic of Slovenia

### City branding and residents

In the urge of creating a city brand, many city authorities tend to underpin the importance of its residents, where this group most of the time is neglected in the process of building the city brand. Underestimating the essential value that residents have in shaping and enhancing a city’s brand, can weaken the aims and intentions of a city’s brand strategy. Although it might be unrealistic to satisfy the demands and desires of all residents, they are crucial point in building the city brand, as they ‘live and breathe’ the city’s brand identity. The perception of tourists is directly influenced by the residents’ attitudes and attachment to the city where they live, work and play. Residents’ talents and skills, also contributes to the city’s and region’s growth. This way, residents can possibly add value to the brand equity<sup>1</sup> of the city in which they live. Aside from the economic advantages, cities also offer their residents many social and emotional benefits, opportunities to share information, social bonds, and engagement in a range of activities which match their interests.

Similar to the objectives of a product or service brand, the ultimate objective focuses in creating preferences and loyalty to the city among various segments which cities serve. Nevertheless, the number of stakeholder groups with an interest in the city are potentially unlimited. However, in the race to build a brand which has to be admired by tourists and other short-term visitors, in most cases residents are overlooked, despite their important role as loyal supporters and the true ambassadors of the city brand. Residents personify a city’s local culture, defined as the “Genius Loci”, they represent the personality of the place. Residents and other stakeholders should aim in preserving the aspects of their city they value, making their cities appealing and viable places to live. Moreover, a city’s diversity and richness used as source of inspiration for its branding strategy, may also present challenges, where the approach of “one-size-fits all” might be misguided and impractical. Referring to the cities diversity and richness, scale, personality, history, values, residential composition and urban assets are defined as a multiplex system, where its components overlap with each other reflecting the image of that place (Lynch, 1960). Thus, residents should be considered as the key factor in building an identity for city branding, an identity that is credible, compelling and sustainable in the minds of the stakeholders.

### Concluding Remarks

City’s branding helps in increasing the status of the a place as touristic destination, residential, or business location. As mentioned above, branding itself is associated primary with economic value. On the other hand, branding also holds symbolic values, since it constitutes a strategy to provide places, cities, towns, an image and its cultural meaning. Branding indicates the need for individuality and emotional connection with the environment in the contexts of globalization, thus giving cities depth and originality, its distinctive character. However, a strong city brand should not only be seen as a potential tool in attracting visitors, business, investment, but most importantly should be used as a strategy to retain its

<sup>1</sup> The commercial value that derives from consumer perception of the brand name of a particular product or service, rather than from the product or service itself.

residents and attract new resident. The image of a city has a powerful factor in persuading all of the above in different ways. However, authorities should be more than responsible in giving proper consideration to a strong brand, seen more as a tool of improvement regarding the urban development of the city, thus allowing branding in contributing with the construction of local identity of a place.

Nevertheless, city branding itself is seen as the process of distinguishing and diversification, where local tourism organizations, cultural and arts facilities, museums, historic preservation groups join to construct a place images, helping in producing tourist sites with the common aim to attract consumers and investment to a particular local area. This process involves in two main components, 1. Place making or city building,(the process which makes a specific place more attractive) and 2. Place or city branding (the process of promoting a place), (Anholt, 2007), ( Avraham and Ketter, 2008), (Kavaratzis, 2004). As stated before one of the main goals of city branding is to re-image a city perception, depending on its place identities by understanding the local culture of the place. Seen more than promotion of the place and its marketing, city branding stands in constructing and reshaping the cities image from its historical architecture and street plans, the images of the city heard or read, the art produced by its residents etc, thus attracting the desirable consumers and maximizing consumers spending.

Therefore, City Branding aims to:

1. Develop new ways of communicating the city's image
2. Achieve competitive advantages
3. Strengthen the reputation of a city, improving also its economical importance.

For many years now the topic of city branding has gained a significant interest in both the academics and policy makers specified fields. As many cities tend to compete globally in attracting tourism, investment or talents, the concepts of brand strategy has been increasingly adopted from the commercial filed and has been applied to the urban development, regeneration and quality of life of cities. Previous published research regarding city branding originate from the disciplines of marketing and urban studies, tending to follow parallel directions rather than interdisciplinary paths. The close parallelism drawn between city branding and corporate branding has gained the attention of many scholars in terms of their complexity and range of stakeholders. Here the complexity of city brands is determined from their accountability to address the needs of a wide spectrum of different target groups, which may vary, from tourists, sports fans, fashion consumers and residents. Nevertheless, research has also shown that techniques of marketing and branding may also be used in order to tackle existing negative perceptions of a city. Thus one of the key challenges for branding cities stand and revolves around the issue of how to develop a strong 'umbrella' brand which could be coherent across a range of different areas of activity with different target audiences. Moreover, target audiences are as diverse as a city's residents, potential investors, tourists and stakeholders.

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## How Oil Contracts Affect Human Rights

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### Abstract

Since the beginning of the 19<sup>th</sup> century, we have assisted major proliferation of the oil and gas industry. This phenomenon of exponential growth is due to the fact that oil companies hold the world's oil monopoly on the extraction, processing and commercialization. Therefore, as being one of the most influential sectors in the world, is crucial to strictly regulate how oil and gas contracts concerns the potential environmental and social impacts arising from the conduct of petroleum operations and how such behavior affects the human rights. As a matter of fact, the social issues field is an emerging area, and despite such importance, oil contracts do not often deal with them in great detail, corresponding to an actual emptiness of the human rights provisions. In terms of responsibly, oil companies, have an inalienable obligation to ensure that their actions do not violate human rights or contribute for their violation. This study aims to trace a detailed analysis of the impact of the oil and gas agreements in human rights. In order to fully comprehend the deep effects of this industry, we will examine, in detail, numerous of published oil and gas agreements, as well as, decode which are the real standards and practices accepted by this industry. We will use a deductive and speculative reasoning. We will try to demonstrate how incipient and short protection is given to human rights and what responsible conducts must urgently be developed.

**Keywords:** Oil Agreement, Human Rights, Oil and Gas Sector;

### Introduction

Human rights are basic standards aimed at securing dignity or equality for all and every human being is entitled to enjoy them without any discrimination.

Once, oil and gas contracts often do not deal with potential environmental and social impacts arising from the conduct of petroleum operations, resulting in a true absence of such clauses, what we pretend, with this paper is to analyse the impact of the oil and gas agreements in human rights.

Nevertheless, international human rights law developed in order to protect individuals from oppressive and abusive actions of the state.

However, several states do not live up to his obligations. Third World countries see constantly their human rights violated through the operations of foreign corporations within their domain. They do not have the economic and political will, to bring companies under control, because the systemic corruption is often associated with them.

The companies operating in the oil sector and the gas must comply with the law and seek to minimize the impacts of their activities on local communities of the rich natural resources and territories wishing to explore.

As a result, there is still a long way to fully protect human rights and to hold this censurable conducts, measures do not depend on the States itself but on ordinary society too.

There is an urgent need to appeal and to raise awareness of the importance of human rights and how they are being violated, although the major part sees the oil companies as a development of economy and not as a destructive and limiting of this rights.

### **Chapter 1: The Dimension of Human Rights**

*"Human rights – civil, political, economic, social and cultural rights – must never be seen as a luxury or "saved for later", after peace and development have been achieved. Human rights are an intrinsic part of all that we do – and all that we are. And so we must speak up for human rights in an impartial way without double standards.*

*We must invest in human rights and recognize human rights as values and goals unto themselves – not allowing them to be instrumentalized as a political tool."* António Guterres, Secretary-General of the United Nations, speech at Human Rights Council (fev. 2017).

Human rights, as we know them today, have not always existed. Since the end of the Second World War, and the creation of the United Nations, the international community vowed never again to abide the unspeakable atrocities the world had just witnessed. So the leaders of the world decided to amplify and encouraging the guarantees for the rights of human beings everywhere (Gordon, 2016).

The Universal Declaration of Human Rights (UDHR), proclaimed by UN General Assembly in 1948, stated a new era of law by recognising the equal and the inalienable rights of humankind, in which, hope, freedom, justice and peace set foundations for a better world. The UDHR established an international standard and codification of human rights norms and was signed for 148 countries (Bekefi, 2004).

The Inter-Parliamentary Union & United Nations (2016), define human rights as relationships between individuals and power structures, especially the State. Human rights delimit State power and, at the same time, require States to take positive measures ensuring an environment that enables all people to enjoy their human rights.

The UDHR is matched in many cases by the rights provisions of national constitutions, charters, and bills of rights (Gordon, 2016). In this way, the UDHR clearly inspired national legislators to safeguard human rights in the new constitutions of the world's youngest countries, which were in this context an example to follow.

The UN has also developed other protocols, based on the UDHR, to address specific human rights principles. The International Covenant on Economic, Cultural and Social Rights, and the International Covenant on Civil and Political Rights, combined with the Core Labour Standards of the International Labour Organisation serve as the basis for human rights in the legal, political, and social spheres (Bekefi, 2004).

The UDHR was originally formulated as "soft law", not legally binding (Gordon, 2016). Soft law is a type of social rather than legal norm. We can define "soft law" as referring to any written international instrument, other than a treaty, containing principles, norms, standards, or other statements of expected behavior (Shelton, 2008).

In Articles 22 to 26 of the UDHR, we have defined social and economic rights, which include provisions relating to social security, conditions of work, rest and leisure, standard of living, and education. At this point, we need to distinguish two dimensions of fundamental rights. The first dimension imposes an abstention of the action of the State against the individual rights of the human being because they are civil and political rights. It is a space of self-determination of the individual in relation to the performance of the state. The right to liberty, life, physical integrity and property are examples of this first category of rights. On the other hand, second-level rights require direct action by the state to take effect. We are facing social, cultural and economic rights (Ferraresi, 2012).

For obvious reasons, the international community is more aware of social, cultural and economic issues today than it was in 1948. Despite of the international community has not recognized a human right to a decent and liveable environment, we believe that we should embrace the right to a safe, clean, healthy, and sustainable environment, with a right of access for everyone to such elementary resources as clean air, clean water, and clean, safe, and sustainable energy. Social and economic rights are vital. They reflect genuine human needs that every state has an obligation to attend to, within existing resources, in the interest of all those committed to their care. This rights are conceptually linked to civil and political rights because respect for human dignity requires that both be upheld. Indeed, the failure of social and economic rights makes individuals more vulnerable to other human rights abuses, such as forced labor (Gordon, 2016).

In terms of responsibility, it is right for the world to indicate to governments that attention to matters of social security, conditions of work, rest and leisure, standard of living, health, and education are now regarded as elementary and fundamental tasks of government, laid down as compelling priorities in relation to whatever resources are available. The rights here are not optional and they are not just wistful longings. A lack of resources does not turn such rights into a mere wish list. Countries have a categorical obligation to do all that they reasonably can to fulfil these rights (Gordon, 2016).

It is important not to forget what the preamble of the UDHR says that “every individual and every organ of society, keeping this Declaration constantly in mind, shall strive by teaching and education to promote respect for these rights and freedoms and by progressive measures, national and international, to secure their universal and effective recognition and observance”.

The rights must be absorbed into the legal, administrative and political culture of nations, first by a recognition that they are achievable ideals and then by implementation in national law and administration through relevant political and social reforms (Eide, 2000).

States must, at the primary level, respect the resources owned by the individual, his or her freedom to find a job and the freedom to take the necessary actions and use the necessary resource to satisfy his or her own needs. It is in regard to the latter that collective or group rights become important: the resources belonging to a collectivity of persons, such as indigenous populations, must be respected in order for them to be able to satisfy their needs. Consequently, as part of the obligation to respect these resources, the state should take steps to recognize and register the land rights of indigenous peoples and land tenure of smallholders whose title is uncertain. Similarly, the rights of peoples to exercise permanent sovereignty over their natural resources may be essential for them to be able, through their own collective efforts, to satisfy the needs of the members of that group (Eide, 2000).

At a secondary level, state obligations mean to protect the freedom of action and the use of resources against other, more assertive or aggressive subjects -more powerful economic interests, such as protection against fraud, against unethical behaviour in trade and contractual relations, against the marketing and dumping of hazardous or dangerous products (Eide, 2000).

So far, all existing legislation has been based on protecting human rights from abuses and oppression by the state. Nowadays, with the help of globalization, new entities have emerged that challenge human rights, such as transnational oil and gas companies.

The oil and gas sector is one of the most influential markets in the world. Legislation has been needed to ensure that these transnational corporations do not put pressure on human rights.

## **Chapter 2: The Applicable Law of the oil contracts (*Lex Petrolea*)**

Commercial relationships have been, for a long time, regulated by international trade practices which have been developed and settled over the years. Therefore, these have achieved a status of international normative body, commonly designated, since the Middle Ages, by *Lex Mercatoria*.

Although some considerable controversy has arisen over the years, regarding the nature and delimitation of this anational normative set of rules, it seems to us that it includes general principles of law, uses of international trade, as well as contractual practices by sector of market (Baptista, 2010).

Each sector of international trade has contributed effectively to its elaboration, and as it evolves, *Lex Mercatoria* has been including several different realities.

The concepts of legal security and legal certainty will not be foreign or remote to the development of International Trade.

Since its early days, it became apparent that one of the obstacles lay in the plurality of national legal systems which could govern the same legal relationship because of the contact points with it.

Several entities in the world have contributed to the construction and acceptance of the so-called New *Lex Mercatoria*. We speak above all of the Chamber of International Trade in Paris, the United Nations Commission for International Trade Law, the UNIDROIT Institute and the contribution of certain sectoral associations dedicated to the standardization of contractual behavior, thereby implementing legal certainty in the relations of the sector in which they operate.

It should be noted that the creation of contractual models based on the customs and practices within international trade is currently unquestionable. Certain contractual species claim models because of their peculiarity and complexity, and the

parties can, in accordance to the circumstances of each particular case, adaptable to them. They are seen as expeditious elements of the legal relationships that are established, capable of implementing legal security and greater certainty in international commercial relations.

The internationalization of the oil industry occurred at a time when certain companies began exporting oil from producing countries to non-producing countries, although these were considered as real economic powers. All conditions were therefore created for the existence of a genuine international oil market.

In this sector, commercial relations imply the existence of several national and international protagonists, namely multinational companies (International Oil Companies - IOC), Host Oil Countries (HOC) and National Oil Companies (NOC).

We can not forget that in oil and gas contracts we have opposite interests. On the one hand, the interests of the State over its natural resources and the need to manage these contracts while safeguarding the contractual public interest; on the other, the individual interests, who claim protection in continuity and contractual stability.

These relations therefore carry high risks. The State may at any time introduce changes, whether contractual or legislative, impairing contractual stability, e.g. expropriations and nationalizations and changes in fiscal policies. Consequently, normative specialization has become inevitable for this type of relationship.

Thereby, a need arises to create, in the context of the international oil trades and because of the high importance of the oil and gas industry, material rules to govern such relations. We talk about a *Lex Mercatoria* specialization, commonly known as *Lex Petrolea*.

This expression arose for the first time in the ARAMCO v. Saudi Arabia (1958), submitted to an arbitral tribunal and concluded that there is a valid and effective "customary" law for the oil industry (Martin, 2012).

This regulation early went beyond arbitration, and become a true discipline of international trade relations in the oil sector, encompassing contractual models that facilitate relations between the parties.

These contracts intended to standardize terms commonly used in the petroleum industry that are internationally recognized. We refer to the concession agreement, the sharing agreements, the participation agreement, among others.

*Lex Petrolea* is used by the courts, and it is in the context of arbitration that the contractual models are analysed and tested, evidencing their characteristics and the need to adapt them to reality.

*Lex Petrolea* will apply to the international contracts of the sector whenever they refer to it or whenever they allude to the general principles of law and the good practices of the petroleum industry.

Although international arbitration is not tied to the precedent rule, we noted that arbitral justice actors, arbitrators and lawyers, commonly use precedent decisions to justify, substantiate decisions and to outline his points of views respectively.

The construction of *Lex Petrolea's* main scope is to discipline international trade relations in the oil industry (Van den Berg, 1994).

Although certain arbitration conventions also provide for the application of a given national law to resolve disputes arising out of an oil contract, the principles of *Lex Petrolea* must always be considered.

In ARAMCO v. Saudi Arabia, the arbitral court held that the applicable national law should be interpreted and supplemented in accordance with the general principles of law, customs and good practices of the oil industry.

In 1963, the Sapphire International Petroleum v. NIOC case, the arbitrators substantiated the application of *Lex Petrolea* on the basis of the principle of good faith and cooperation between the parties, diverting the national law from the receiving State.

In the case of British Petroleum (BP) v. Libya in 1973, the arbitrators applied subsidiary *Lex Petrolea* to fill gaps in Libyan Law (Favacho, 2011).

In 1982, in another case, *Kwait v. AMINOIL*, the government concerned based its claim on a set of arbitration decisions handed down in disputes arising out of oil contracts.

Since *Lex Petrolea* is disconnected from any state legal system, and therefore not suffering the influences and prerogatives of the states, early on contributed to overcoming problems in the regulation of oil contracts.

Lex Petrolea, not bound by any legal system in particular, was able to sediment the internationally accepted practices. This has contributed to its success, since its acceptance is undeniable both by the host States and by transnational corporations.

We can therefore consider Lex Petrolea as a spontaneous disciplinary order created by the protagonists of the international oil industry in order to provide for the antagonistic and often conflicting interests of the protagonists. It is undoubtedly in the equidistance of national rights that it establishes its autonomy, independence and legitimation (Jesus, 2012).

### **Chapter 3: When things go wrong**

#### **Corporate Social Responsibility in Oil and Gas Industry**

As stated earlier, oil and gas are the largest source of energy for our modern world, and this industry is largely shaped by the supply and demand conditions.

In the beginning, developing countries did not have the infrastructure for refining crude, neither the markets for absorbing the refined products, and therefore, this resulted in a supply that far exceeded the demand. Developing countries exported crude to the larger developed countries markets, where processing took place and the final products were sold.

The contractual terms mainly focused on fiscal terms and financial gains, which reflected this preference for obtaining revenues from royalties and taxes rather than production sharing (Boykett, Peirano, Boria, Kelley, Schimana, Dekrout, O'Reilly, 2012).

By analysing oil agreements and their history, we see that there is a recent concern of many developing oil producing states about the social and economical issues, since they started to realise that the petroleum sector can contribute much more to their welfare and overall development than solely through revenues.

Illustrating with an example, we quote the preamble of the 2012 Kurdistan Regional Government Production Sharing Contract, which says: "*The Government wishes to develop the petroleum wealth of the Kurdistan Region (as defined in this Contract) in a way that achieves the highest benefit to the people of the Kurdistan Region and all of Iraq, using the most advanced techniques of market principles and encouraging investment, consistent with the Constitution of Iraq including, without limitation;*"

Also, this contractor must be "*willing to cooperate with the Government by entering into this Contract, thereby assisting the Government to develop the Kurdistan Region petroleum industry, thereby promoting the economic development of the Kurdistan Region and Iraq and the social welfare of its people*".

Regarding this specific agreement, by the introduction of such clauses, we can conclude that whatever path lies ahead for the Kurdish energy sector, the sustainability of Iraqi Kurdistan development seems to be necessarily linked to a twofold diversification: diversification of the productive structure of the regional economy, essential to avoiding the social, political and economic risks related to over-dependency on oil revenues, on the one hand, and diversification of energy export channels, unavoidable in order to limit the degree of political vulnerability to transit countries (Frappi, 2016).

Although, the preoccupation with corporate ethics and the social dimensions to business activity is not new, the focus on international development, or rather the private sector contribution to international development goals, is a relatively recent phenomenon (Frynas, 2008).

This new idea that a company should be interested in and willing to help society and the environment as well as be concerned about the products and profits it makes, is the base and definition of Corporate Social Responsibility or CSR.

#### **CSR and Development**

In fifty years, CSR has evolved from social movements regarding civil rights, women's rights, consumers, environmentalism, to corporate responsibility and responsiveness, and more recently to a corporate social performance which includes business ethics, corporate citizenship, sustainability and stakeholder management (Carrol, 2015).

Nowadays, oil and gas companies can use their influence in the world to develop regions in the surrounding areas points of extraction. This industry now helps to build schools and hospitals, launch micro-credit schemes for local people and assist youth employment programs, particularly in developing countries.

Some authors, have proposed to think of CSR as an umbrella term for a variety of theories and practices that each recognize that companies have a responsibility for their impact on society and the natural environment, sometimes beyond that of

legal compliance and the liability of individuals; that companies have a responsibility for the behaviour of others with whom they do business (within supply chains); and that business needs to manage its relationship with wider society, be that for reasons of commercial viability or to add value to society (Frynas, 2009).

In a broader context, the calls for greater involvement of private firms in human development reflect the growing importance of foreign direct investment relative to official development assistance to developing countries, despite the unlikely to play the significant role in poverty reduction in development countries that its proponents claim for (Jenkins, 2005).

As a consequence of liberalization and deregulation, oil companies are now being called upon to go beyond their traditional role of generating economic growth toward playing a more direct role in alleviating poverty and other development goals (Frynas, 2008).

CRS concerns are determined by the nature of an industry and the State or culture where that industry operates. For instance, in the oil and gas industry, even though operations occur in many countries, the key concerns such as the macroeconomic difficulties related to oil revenues, the environment and the social impact on local communities, are shared between most countries.

Dealing with dangerous operations with highly negative effects, oil corporations are permanently under great pressure to manage their relationship with society.

Events, widely reported by the media, such as oil spills, the protests anti-oil, campaigns to save the environment and indigenous people from oil operations, the involvement of oil industry in human rights abuse in Colombia or Nigeria's corruption and economic problems caused by oil companies, pressure companies to rethink about future strategies and the circumstances of corporate social responsibility.

For instance, in the oil and gas sector, companies such as Total, Shell and Exxon each spend well over US\$ 100 million on community investments every year (Frynas, 2009). Hence the major importance of such matters.

However, there are many reports of social investment that went heavily wrong, either by bad administration and poor project management, or by lacking of basic equipment, or by being unsuitable dysfunctional for the community.

As an extreme example, a company built a fish processing plant in a local community, which was a long way from the trade markets, as a result of insufficient local consultation.

Or the case of a company that built three town halls in one African local community in order to maintain a stable working environment in the process of building a pipeline, because the company followed the short-term interests of three community chiefs who wanted to benefit personally from construction contracts (Frynas, 2009).

Oil companies are also accused of the lack of transparency and of interfering in governance, influencing States elections by corrupting candidates in order to gain advantages.

We can conclude that, despite the CSR importance, due to the great influence of this industry, today it can be argued that it can be more detrimental to oil-producing countries than the environmental impact of oil operations themselves and that the alleged corporate social responsibility efforts do not outweigh and can not offset the atrocious human rights violations along the way.

#### **Chapter 4: Responsibility of Human Rights Violations**

Capitalism, globalisation and neo-liberalism have paved the way for the emergence on the international scene of economic colossuses with quasi-legal personality (Malanczuk, 1997)).

These modern leviathans wield considerable social and political influence over countries, in addition to their overwhelming economic leverage (Miller, 1995).

See that Shell Oil's 1990 gross national income was more than the combined GNPs of Tanzania, Ethiopia, Nepal, Bangladesh, Zaire, Uganda, Nigeria, Kenya and Pakistan – countries that represent almost one-tenth of the World's population

Transnation Corporations (TNCs), through foreign direct investment in developed and developing countries, create jobs, improve technology and inject capital. But they equally have a negative impact on the areas where they operate, particularly in poor Third World or developing countries. Frequently, their activities result in human rights violations. The abused human

rights are more often than not those that fall within the international definition of economic, social and cultural rights (Kamminga, 1999).

Since the last two decades, however, the emphasis has been on the adoption of corporate social responsibility initiatives, international and national in origin, to effectively address concerns regarding human rights violations by TNCs.

The bottom line is that there is no single international regime of human rights law directly applicable to, and governing, transnational operations of corporations.

Customary international human rights law developed in order to protect individuals from oppressive and abusive actions of the state. Perhaps a failure to recognise or contemplate *ab initio* that powerful non-state actors such as TNCs could violate human rights may be attributed to the fact that only states were players in the international arena (Cutler, 2001).

However, international law leaves states with the obligation to control and restrain within their territories the activities of non-state actors that violate human right (McCorquodale, Simons, 2007).

It is not in doubt that several states do not have what it takes to live up to this obligation. Weak Third World countries that see these human rights violations through the extra-territorial activities of foreign corporations within their domain, do not have the economic and political will to bring TNCs under control. The situation is further exacerbated by the systemic corruption often associated with Third World countries (Khan, 2009).

At one time it was thought that where a host state is unwilling or incapable of reacting appropriately to human rights abuses, the home state of the corporation may have a crucial role to play ensuring that corporate abuses do not go unpunished, and some home states have attempted to use extra-territorial legislation to achieve this end (Ruggie, 2008).

Several states tried to implement measures, for example the UK suggested creating a specific figure for violation of these human rights. However, this did not translate into legislation.

Criminal prosecution is the highest level of state reprimand against an offending entity. Consequently, the joint venture alliance (and sometimes production-sharing contracts) between the state (represented by NNPC) and the oil TNCs raises the question as well as suggesting why the state has not mustered the courage to apply the strictest level of sanctions against entities in which it has vested an economic interest.

It may be recalled that it is in part the failure of states to rise above political and economic considerations and visit justice on atrocities committed within their territories that necessitated the creation of the International Criminal Court (ICC), not that the states do not have appropriate criminal regimes for the designated offences. *A fortiori*, the necessity of subjecting TNCs to the jurisdiction of the ICC is canvassed not because host states do not have appropriate corporate criminal regimes, but because the use of such domestic criminal regimes to secure justice for victims of these crimes is seemingly undermined by factors that relate to political and economic considerations, as well as corruption.

The ICC is a permanent tribunal established to prosecute individuals for genocide, crimes against humanity and war crimes.

Essentially, the ICC complements existing national judicial systems and only exercises its jurisdiction where a national jurisdiction is unwilling or unable to investigate or prosecute designated crimes. This is the idea encapsulated in the ICC's complementarity principle (Zeidy, 2008).

The negative impact of their activities manifests itself in wide-scale and grave abuses of human rights. The hapless citizens bear the worst of these human rights abuses. Despite their enormous economic activity and the amount of literature that has been produced on them, there is still no single legal instrument that regulates their activities meaningfully.

The fundamental reason for considering that the ICC is appropriately positioned to act also as a criminal court for TNCs is that the ICC is an uninterested third party (unassociated with neither the host nor home state) to whom grievances of human rights violations can be lodged by victims. It would thus be in a position to act without being influenced by any form of economic considerations that often dominate the decisions of the current state officials to check the atrocious activities of the TNCs (Haigh, 2008).

A challenge to extending the ICC's jurisdiction to TNCs, however, is the issue of the non-recognition of corporate criminal liability by some state parties to the treaty, also the reason behind the failure at the Rome Conference to extend the ICC's jurisdiction over corporations.

the complementarity principle in the Rome Statute would not be threatened by a proposal to extend the ICC's jurisdiction to corporations. The arguments canvassed as the basis for opposing the extension of the jurisdiction of ICC to TNCs, are untenable. Indeed, complementarity concerns were merely used as a cover for states' anxiety about how competing tension between state sovereignty and the international criminal justice would be resolved if the ICC's jurisdiction stretched to TNCs (Kyriakakis, 2008).

To see that a number of UN conventions have already recognised corporate criminality at the international level.

In conclusion, a critical mind may want to ask why Third World countries, have not of their own accord employed a corporate criminal regime to effectively punish or stop TNCs from human rights violations without seeking the assistance of the ICC. The truth is that, like some Western common law jurisdictions that have corporate criminal regimes, this countries, for instance, recognises this concept but has not effectively put it to use as machinery for seeking justice against corporations.

### Conclusions

1. States shall respect, protect and guarantee human rights and fundamental freedoms, as well as punish corporate conduct;
2. The companies operating in the oil sector and the gas must comply with the law and seek to minimize the impacts of their activities on local communities of the rich natural resources and territories wishing to explore;
3. The beneficiaries of this sector, host States and companies, must increasingly implement protective measures of the most basic fundamental rights, assuming social and corporate responsibility;
- 4 Thus, there must be an awareness of the appropriateness of the behavior of companies in the face of local populations;
5. International organizations are becoming more aware of this reality, acting incisively, seeking thereby influence behavior and changing mentalities;
- 6 The assumption of social responsibility is currently a form of ethical and integrated management, contributing not only to business success but also to the promotion of human rights;
7. Transparent and assertive behaviors by all the protagonists of this sector will eventually contribute to the sustainable development of our planet.

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## Dido and Aeneas: An Archetypal Myth at the Roots of the Cultural Dialogue between the Two Shores of the Mediterranean

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### Abstract

The aim of this paper is to examine the famous Virgilian myth of Dido, queen of Carthage, and Aeneas, the legendary ancestor of Rome, as an archetype of the cultural dialogue between different Mediterranean cultures. Not only will this allow us to underline the preeminent role of the classical heritage in the construction of the European identity, but also to demonstrate how this ancient legend, dealing with very current topic such as interculturality, immigration and hospitality – which appear, on a lexical level, in the insistence on such terms as *sociare*, *miscere*, *iungere* in the first (as well as in the fourth) book of the *Aeneid* – should be still deserving attention by scholars and European citizens in general.

**Keywords:** Interculturality, Classics, Myth, Aeneid, Identity, Mediterranean cultures

### Introduction

The story of Dido, queen of Carthage, and Aeneas, the legendary ancestor of Rome, is not only a myth of love, abandonment and death. The famous story told in Virgil's *Aeneid* is actually one of the foundative myths of our Western identity, whose archetypal values deserve to be rediscovered and duly valued. This ancient legend, in particular, could be read as an archetype of the cultural dialogue between different Mediterranean cultures, as it deals with present-day issues such as interculturality, immigration and hospitality. In this regard, Virgil develops an interesting dialogue between the main characters in the first book of the *Aeneid*, which can be read with a particular focus on the topic of *alteritas* and acceptance of diversity. In the following pages, therefore, I will provide an 'actualized' reinterpretation of the poem, by analyzing Virgil's insistence on the specific lexicon of cooperation and solidarity<sup>1</sup>.

As is known, in Virgil's account the Trojan leader Aeneas was shipwrecked on the shore near Carthage after the destruction of Troy, at the time when Dido, the Phoenician princess who had been forced to leave her original country and flee to the coast of Africa, was building the city that would later become one of the powerful centers of the western Mediterranean. In this part of the story, Aeneas is presented as the emblem of the lonely and distressed man, standing for all those migrants and refugees of war, who hoped – and still hope – to be able to start again elsewhere. This is indeed the meaningful sentence that Virgil makes him pronounce, which is even more so as Aeneas is one of the greatest epic heroes: *ipse ignotus egens Libyae deserta peragro, / Europa atque Asia pulsus...* "Myself unknown and destitute, I wander over the Libyan wastes, driven from Europe and from Asia" (1, 384-385)<sup>2</sup>. After the fall of Troy, the whole world refuses Aeneas – even Asia, his own land. It didn't matter who he was or had been. Even the son of a goddess could find himself in such a miserable condition.

Dido, on the other hand, was then the queen of a flourishing kingdom, the only one who could offer help to the Trojan refugees escaping the terrible shipwreck that had caused the deaths of many of them. Moreover, she was, *per se*, an example of a successful integration, being a Tyrian princess who had fled from her native country, from the tyranny of her brother Pygmalion who had killed her husband for greed, and having succeeded in securing herself a position in a foreign land before founding a new city on the coast of Africa. Carthage is described as a city still under construction, but destined to a grand future; a place where justice and civilization reigned (1, 421-436) and whose queen was going to give a lesson in civility to the Trojans (and all the readers, ancient and modern, of Virgil).

<sup>1</sup> On the Virgilian myth of Dido and Aeneas the bibliography is extensive. For a general overview on the 'stories' of Dido and their related bibliography, see Iulietto 2014; Iulietto 2015 *et alii*.

<sup>2</sup> As for the Latin original text, I refer to Conte 2009. The English translations are from Rushton Fairclough 1999.

At l. 507 the queen is intent in dictating her laws to her subjects and directing the works of construction. Hesitant and fearful, the Trojans decide to remain hidden at first, until one of them, Ilioneus, takes courage and becomes the spokesman of his fellows, asking to be welcomed and helped. In a long speech (1, 522-558), Ilioneus presents the Trojans as exiles arrived in that land not to destroy but as themselves defeated (*victi*) by a cruel fate that made them shipwreck (*non nos aut ferro Libyos populare penatis / venimus aut raptas ad litora vertere praedas; / non ea vis animo nec tanta superbia victis*, “we have not come to spoil with the sword your Lybian homes or to drive stolen booty to the shore. No such violence is in our hearts, nor have the vanquished such assurance”, 1, 527-529). Then, Ilioneus accuses the Carthaginians of having previously denied the refuge on the beach to other men in need (although there is no reference to such episode in Virgil), thus blaming their barbarism: *quod genus hoc hominum? quaeve hunc tam barbara morem / permittit patria? hospitio prohibemur harenae; / bella cient primaque vetant consistere terra*, “what race of men is this? What land is so barbarous as to allow this custom? We are debarred the welcome of the beach; they stir up wars and forbid us to set foot on the border of their land” (1, 539-541). Those who behave like this, Ilioneus remarks, have contempt for the whole human race (1, 542). In this regard, according to the ancient legal practice, as both Servius and Servius Danielinus – two famous ancient commentators of Virgil – point out in reference to this passage, seashores were actually considered “goods” common to all men<sup>1</sup>. For this reason, Ilioneus concludes his oration with an appeal to *humanitas* and divine justice and with a request of *hospitium* – a term probably indicating the earliest example of an international relationship<sup>2</sup> –, so that the Trojans could rebuild their fleet and resume their journey, to Italy if Aeneas lives, to Sicily if he is dead (1, 551-558).

Dido’s magnanimous response astonishes us for political foresight and straightforwardness. After apologizing for the precautionary measures she had had to take (the *res dura* and the *regni novitas* imposed to control the borders on a sensible queen)<sup>3</sup>, Dido proudly states that her city is founded on justice and that they will offer help and means to the refugees. The demonstration of the high civilisation of her people is reinforced with a further proposal: she proves willing to help Aeneas and his men, not only out of mere hospitality but also because she evidently hopes for a possible cultural integration. As a matter of fact, she allows them to settle down in Carthage and enjoy the same rights as the Tyrians, thus overcoming any ethnic difference or partiality:

auxilio tutos dimittam opibusque iuvabo.  
vultis et his mecum pariter considerare regnis:  
urbem quam statuo, vestra est; subducite navis;  
Tros Tyriusque mihi nullo discrimine agetur<sup>4</sup>.

(1, 571-574)

It is only at this point that Aeneas, reassured, reveals himself to Dido (he had remained invisible while the Trojans pleaded for the mercy of the queen and implored her help). With a heartfelt prayer, the hero thanks the queen for having associated them, exhausted and needy as they were, to the city and her kingdom (*urbe, domo socias*):

o sola infandos Troiae miserata labores,  
quae nos, reliquias Danaum, terraeque marisque  
omnibus exhaustos iam casibus, omnium egenos,  
urbe, domo socias, grates persolvere dignas

<sup>1</sup> See Serv. *ad Aen.* 540: “HOSPITIO PROHIBEMUR HARENAE ut alibi litusque rogamus; occupantis est enim possessio litoris. unde ostenduntur crudeles qui etiam a communibus prohibeant”. Servius Danielinus, *ad loc.*, quotes Cicero’s oratio *Pro Roscio Amerino* 26, 72: “litus enim iure gentium commune omnibus fuit et occupantis solebat eius esse possessio. Cicero in Rosciana nam quid est tam commune quam spiritus vivis, terra mortuis, mare fluctuantibus, litus eiectis?”. Among the goods common to all men, Cicero mentions the air for the living, the land for the dead, the sea for the shipwrecked and the seashore for those who were repulsed by the waves. On the legal issue of the *litus maris* as *res communis* see, for instance, Fiorentini 2003 and Sini 2008.

<sup>2</sup> *Hospitium* and *hospes* are key-words in a “poema come l’Eneide incentrato sul motivo delle peregrinazioni e del viaggio e poi sul sistema di alleanze che prelude alla guerra nel Lazio” (Degl’Innocenti Pierini 1985, p. 860). According to Virgilian exegesis the term *hospitium* (attested 14 times in the *Aeneid*) originally designated the act by which the foreigner was welcome and protected, and then came to indicate the reciprocal bond resulting from the act itself (see, for instance, Serv. Dan. *ad Aen.* 11, 114).

<sup>3</sup> Dido refers to the miserable situation from which she escaped (the murder of her husband by Pygmalion and the escape from Tyre) and to the dangerous hostility of the neighbouring peoples of *Lybia* (Stégen 1975, p. 257).

<sup>4</sup> “I will send you hence guarded by an escort, and aid you with my wealth. Or is it your wish to settle with me on even terms within these realms? The city I build is yours; draw up your ships; Trojan and Tyrian I shall treat alike”. It should be noted that Dido offers donatives to her *hospites* (1, 633 ff.), following the practice of *hospitium publicum*, thus concretely showing the high degree of civilization of her people (Degl’Innocenti Pierini 1985, p. 860).

non opis est nostrae, Dido...<sup>1</sup>

(1, 597-601)

Dido concludes their conversation by reaffirming<sup>2</sup> and further developing his proposal for integration. This evidently stems from her profound sense of solidarity, which is the result of her past experience<sup>3</sup>. In other words, Dido proves that she has not forgotten her past as an exile and fugitive herself; on the contrary, she has learned to be empathetic and well-disposed to accepting others. As mentioned above, she had to flee from her homeland in search for a new land, where she could start anew (1, 628-630). This is indeed the common fate that binds her to Aeneas, and that she does not overlook: *Non ignara mali miseris succurrere disco*, "Not ignorant of ill I learn to aid distress" (1, 630). Anyone who knows and understands pain, the queen thus teaches, should learn to help those in need.

The hypothesis envisaged by Dido – responding to the criteria of justice (*iustitia*) and conscience of the good (*mens sibi conscia recti*, 1, 604) – is defined in terms of a political cooperation based on the intercultural dialogue and on the integration between the two peoples. Her proposal is significantly defined through the repeated use of the lexicon of solidarity (*iuvare, succurrere, auxilium, hospitium*) and of terms proper to the semantic sphere of the union (*sociare, miscere, iungere*).

In this regard, Virgil begins to draw on this semantic area even before Dido's mentioned proposal, in order to anticipate narratologically the yearning for this ethnic fusion, with his recourse to the allusive prolepsis arisen from the amphibological use of these terms<sup>4</sup>. When Aeneas enters the city, silent and frightened, veiled in a foggy cloud that protects him, for instance, the poet says that the hero manages to mingle with the crowd (*miscetque viris*, 1, 440), without anyone noticing. Virgil uses the verb *misceo*, technically indicating the effect of the blending of various substances, especially liquids, to indicate the fusion of peoples from which a *foedus* could originate. In this regard, l. 440 seems to anticipate the idea of the blending of the Carthaginians and the Trojans evoked by Venus in 4, 112 (*miscerive probet populos aut foedera iungi*)<sup>5</sup>.

Similarly, the expression *iungere dextram*, which properly concerns the settling of a *foedus* and defines, in Virgil, the agreement between the parties in a pact of *hospitium*<sup>6</sup>, is used for the first time when Aeneas, just landed in Carthage, met his mother Venus in disguise. When he finally acknowledges her as his mother, he regrets not being able to clasp hands with her, nor being able to establish a real and authentic contact (*dextrae iungere dextram*, 1, 408). In this case the formulation is refunctionalized in a sentimental way, to indicate Aeneas's yearning to be welcome, in a moment of extreme solitude, when he feels rejected by everyone.

This same expression, with a slight variation, is also used a little below. At the sight of Dido, sitting royally while imparting her laws, the Trojans eagerly wish to clasp their hands (*avidi coniungere dextras / ardebant*, 1, 514) with the Carthaginians. In this context, the expression is used in a properly political sense, which however does not elide the broader idea of the union as foundation of an authentic relationship, be it private or political.

Moreover, this formula could also allusively anticipate the theme of *coniugium* (a noun that shares the same root as *iungo*), which is in Book IV of the *Aeneid*. In fact, the amphibological use of such lexicon becomes a tool to show the inevitable sliding of Dido's political project on a private and sentimental level: as we are perfectly aware, the fusion of the two peoples – by will of divine intervention – cannot be separated from the union of the two respective leaders.

In Book IV, indeed, the verb *iungo* (in the simple form as well as in its compounds *adiungo* and *coniungo*)<sup>7</sup> appears variously declined in its multiple semantic values. It expresses the idea of the political fusion of the Carthaginians and the Trojans

<sup>1</sup> "O you who alone have pitied Troy's unutterable woes, you who grant us – the remnant left by the Greeks, now outworn by every mischance of land and sea, and destitute of all – a share in your city and home, to pay you fitting thanks, Dido, is not in our power...".

<sup>2</sup> See Serv. *ad Aen.* 1, 627: "TECTIS SUCCEDITE NOSTRIS ad convivium vocat; nam iam supra dixit *urbe, domo socias*".

<sup>3</sup> Note that both Aeneas and Dido are qualified as wanderers: *profectus* is Aeneas with his fellows (4, 111); *profecta, / Germanum fugiens* is Dido (1, 340-341), also defined *errans* by Iarbas (4, 211).

<sup>4</sup> Servius too remarks, moreover, that Virgil makes use of terms that act as proleptic elements of the narration; see *ad Aen.* 1, 613: "OBSTIPUIT animo percussa est, quo iam futuri amoris est signum".

<sup>5</sup> Senis 1987, p. 541. The same verb will be also used later in reference to the fusion of Teucri and Latini (*Teucri mixtique... Latini*, 11, 134).

<sup>6</sup> Virgil shares the opinion that the sanction of the agreement between the parties in a pact of hospitality had to be defined by a hand shake, so as to underline the *fides* on which the relationship was being built. This is how the renewed pact of friendship between Anius, king of Delos, and Anchises is sanctioned (*iungimus hospitio dextras*, 3, 83). Evandrus too recalls the pact he had made with Aeneas with the same formula (*nec quas / iunximus hospitio dextras*, 11, 164-165). See Degl'Innocenti Pierini 1985, p. 861.

<sup>7</sup> On the different meanings of *iungo* see Tibiletti Bruno 1987.

emerging from the conversation between Venus and Juno (... *populos aut foedera iungi*, 4, 112), which is ideally foreseen in the union of their respective fellows led by Dido and Aeneas in the famous hunting scene (*infert se socium Aeneas atque agmina iungit*, "Aeneas himself, advances to join her and unites his band with hers", 4, 142). In its turn, this first 'merging' of the two groups seems to allude to the *coniugium/conubium* between Dido and Aeneas that will take place in the course of the hunting scene: *conubio iungam stabili*, "I will link them in sure wedlock", says Juno (4, 126).

Through lexical spies, the space of narration itself also contributes to foresee this new private union. The evocation of the mountain ridges (*iugum* too is etimologically linked to *iungo*; 4, 153) and the image of the blending of the natural elements (*Interea magno misceri murmure caelum / incipit, insequitur commixta grandine nimbus*, "Meanwhile in the sky begins the turmoil of a wild uproar; rain follows, mingled with hail", 4, 160-161) are an ideal forshadowing of the sexual fusion and the sexual intercourse of the two characters<sup>1</sup>.

Therefore, not only does Virgil use the verb *iungo* in reference to political alliances, but also with the meaning of joining people in marriage and, specifically, a wife to her husband: ...*se pulchra viro dignetur iungere Dido*, "in marriage fair Dido deigns to join herself", says the personified Fama (4, 192)<sup>2</sup>.

This sliding from Dido's first political project to the private motif of *coniugium* is also already implied in the amphibological use of the verb *sociare*, as emphasized by Servius in his comment on the expression *urbe, domo socias* (1, 600): "Hoc est et publico et privato dignaris hospitio". In this case too, as with the verbs *iungo* and *misceo*, the term ranges from the bonds between peoples pertaining the public law to interpersonal relationships. To the political meaning<sup>3</sup>, therefore, Virgil steadily combines the marriage implications<sup>4</sup>, in the sense that marriage bond also represents the basis of *societas*<sup>5</sup>.

As is known, the cultural and political integration hoped by Dido will not occur. The Fate commands that Aeneas and the Trojans have to settle down in a new land. *Et nos fas ex terra quaerere regna*, "we, too, have the right to seek a foreign realm" (4, 350), states Aeneas, by implicitly underscoring the analogy between his personal story of exile to that of *errans* Dido, and thus anticipating the success of that union between other peoples from which Rome will originate. In the following books, Virgil will tell the migrations of the Trojans, their journey in search of a new homeland, and their impact on the geopolitical reality of Ancient Italy, in the perspective of the future merging under the aegis of *Gens Iulia*<sup>6</sup>. The whole *Aeneid*, after all, is the story of a man in search of a land and of the possibility, first ideal and then concrete, of a positive fusion between different Mediterranean cultures.

In conclusion, even if the integration proposed by Dido in Book I of *Aeneid* remains a mere possibility, its formulation is representative of an ancient cogitation about the importance of overcoming ethnic differences in order to build a fruitful dialogue between cultures and peoples. Like Arianna and Medea, Dido is one of the 'barbaric' princesses, eternalized by classical literature, who facilitated the creation of a European-Mediterranean identity<sup>7</sup>.

In this light, the myth of Dido and Aeneas, in its archetypal aspects, still contributes to the current political reflection on the importance of a profound and fruitful intercultural dialogue, based on values such as equality, tolerance, the acceptance of diversity, and the centrality of the human being. It proves that we can still learn from our ancestors, and that it is always

<sup>1</sup> The verb *misceo*, after all, apart from indicating the fusion of the elements and metaphorically the merging of people in a group, alliance or association, also indicates the union by marriage as well as the sexual union in Virgil; see, for example, Verg. *Aen.* 7, 661 (*mixta deo mulier*). See *Oxford Latin Dictionary*, s.v. *misceo*, 4-5, p. 1116.

<sup>2</sup> See *Oxford Latin Dictionary*, s.v. *iungo*, 7 "to unite or attach (persons) as friends, allies, or sim."; "to unite in marriage or sim.,"; see *Aen.* 7, 546 (*in amicitiam coeant et foedera iungant*); *Aen.* 11, 128-129 (*et te... Latino I iungemus regi*); 4, 28-29 (*ille meos, primus qui me sibi iunxit, amores I abstulit*).

<sup>3</sup> The term *socius*, in its meaning of 'ally', recalls the juridical and political spheres and allows for the identification of a relationship legally limited by reciprocal obligations. These are relationships concerning international law, as they are meant to link the economical, political, and militaristic interests of single communities (Évrard - Pollera 1988, p. 913); in this regard see, for instance, *Aen.* 8, 120.

<sup>4</sup> The verb implies a reference to the marriage bond as it emerges from *Aen.* 4, 16 (*vincolo... sociare iugali*), in relation to which Servius comments as follows: "*iugali* autem propter iugum, quod imponebatur matrimonio coniungendis" (and Servius Danielinus: "quidam *iugali* accipiunt pro *coniugali*").

<sup>5</sup> The representation of the marriage bond in terms of *societas* is found in literature (*illas tamen in matrimonio, in societate fortunarum omnium*, Liv. 1, 9, 14; *uxor est que foemina viro nuptiis collocata in societatem vitae venit*, Quint. *Declam.* 247) but also in juridical texts (*Dig.* 25, 1, 2; *Cod.* 9, 32, 4). See Évrard - Pollera 1988.

<sup>6</sup> See Fo 2012, p. LV.

<sup>7</sup> Lala 2006, 43.

fruitful to go back to reinterpreting Virgil: as a matter of fact, every age and almost every generation has its new and peculiar questions to ask him.

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## The Landscape, Its Narrative Identity and Man's Well-Being

Dr. Vereno Brugiattelli

### Abstract

In this study I intend to put forward a reflection on the landscape and, in particular, on the relationships that man establishes with it. From the *European Landscape Convention* (Florence, 20.X.2000), which considers the landscape a socio-cultural product, I aim to analyze this concept in order to determine: 1. what the identity of a certain landscape consists of and what constitutes it; 2. the relationship between the identity of the landscape and the identity of its inhabitants; 3. the importance of the identity of the landscape when planning and implementing interventions to safeguard and enhance it; 4. the ethical and cultural bases influencing urban planners and architects when intervening in the landscape; 5. the importance of the landscape to man's well-being.

**Keywords:** Landscape; Identity of the landscape; Narrative; Innovation; Well-being.

### 1. Introduction

The *European Landscape Convention* (Florence, 20.X.2000) interprets, protects and enhances the landscape as a dynamic process of man's cultural relations with the environment and the territory; it states that the landscape is a social and cultural product. The *Convention* calls upon the citizens and institutions to identify suitable criteria, actions and objectives to promote the quality of the landscape. In order to achieve this, the citizens need to develop awareness, knowledge and responsibility with regard to the territory, environment and landscape. From these assumptions, in this study I aim to focus on: 1. what the identity of a certain landscape consists of and what constitutes it; 2. the relationship between the identity of the landscape and the identity of its inhabitants; 3. the importance of the identity of the landscape when planning and implementing interventions to safeguard and enhance it; 4. the ethical and cultural bases influencing urban planners and architects when intervening in the landscape; 5. the importance of the landscape to man's well-being.

### 2. Territory, environment and landscape

Territory, environment and landscape are distinct dimensions but, at the same time, they are closely linked. By "territory" we refer to the extension of the earth's surface with its morphological characteristics, which are often subject to man's intervention, and come to our knowledge through Geography. The term "environment" refers to all the biological conditions permitting the life of organisms including the presence of water, seasonal temperatures, altitude above sea-level, precipitation, latitude, longitude and the geological soil conformation etc. Furthermore, the term "environment" also has a historical-cultural meaning referring to the human dimension including agriculture, live-stock farming, industry, urban areas, cultural events, traces of past and present populations and artistic remains etc. The environment shapes and is inclusive of the territory, but the territory can do without the environment considered in both the biological and historical-cultural sense.

The landscape, in turn, includes the territory and the environment to which man's involvement can be added, in other words, the interventions of value and cultural works. Therefore, the cultural landscape can be considered a visible expression of the culture of the different populations that have shaped it. The cultural landscape presents itself to the observer in the form of sentimental, intellectual and spiritual interventions, which are dynamically linked together in the narrative memory (past), which, in turn, form the basis for (future) projects and present actions. The cultural landscape exhibits the distinctive characteristics of the culture of its inhabitants. These distinctive traits confer upon the landscape its features and identity thus distinguishing it from other landscapes. Each intervention in the landscape should, therefore, take into consideration the different elements competing to endow it with its specific identity. At this point, it is necessary to clarify how the identity of a landscape is formed and of what it consists.

### 3. The identity of a landscape

The identity of a landscape and its formation can be likened to that of a person and that of a community of persons. In general, identity is intended as something that remains over time. Identity implies both the idea of equality and the idea of difference. It is not an immutable entity, to the contrary, it is a continuously evolving reality becoming recognizable despite the passage of time. The collective and individual identity building process is not achieved in isolation since it is of a social and cultural nature. It is defined through man's practical and interpretative relationships with others and with the territory and environment. As claimed by the philosopher Paul Ricoeur, identity is constructed in the dialectics between equality and difference (Ricoeur, 1994). It reflects the need to be identified, "to feel similar to..." and, to the contrary, the need to affirm uniqueness, "to be distinguished from..." (Remotti, 2001, p. 63). Man's identity emerges through difference by assimilation and distinction in social and cultural contexts and is formed by dynamic processes of circular interactions between man and the landscape. As far as the identity of a landscape is concerned, it is the result of cultural processes, interpretations and the narrative elaborated by populations over various generations. The *European Landscape Convention* highlights the landscape as the foundation of a population's identity and emphasizes the fact that, in turn, the population contributes to bestowing the landscape its identity. The cultural identity of a landscape emerges from a constant process of interpretations, narratives and actions. Two fundamental dimensions can be distinguished: 1. a specific dimension of a certain territory-environment; 2. a socio-cultural dimension. The former dimension is made up of the measurable and quantifiable elements of a particular territory-environment such as temperature, altitude, longitude, presence of mountains, plains, valleys, lakes, rivers and the geological conformation of the territory etc.

All these aspects, examined by geologists and geographers, give the landscape specific characteristics, recognizable over long periods of time, and it is in this way that they contribute to the identity of the landscape. The latter socio-cultural dimension relates to the totality of man's actions and works on a particular territory-environment including pastoralism, agriculture, construction of roads, canals, urban areas, forts, dams, ports, monuments and places of worship. In short, it includes testimonies constituting the memories of man's relationships with the territory-environment and with other people. The socio-cultural dimension can profoundly affect the former by altering the identity of the landscape over a short period of time. The two dimensions are, therefore, closely linked through the theoretical and practical interactions between man and the territory-environment. However, these dimensions do not yet fully constitute the identity of the landscape, only becoming so in the cultural narrative context. By building a narrative the quantitative aspects are linked to the sphere of man's socio-cultural actions. The identity of a landscape takes shape and is fully recognizable in the narrative, which is founded on man's interpretations at a territorial-environmental level and factors regarding man's actions with and on the territory-environment. Interpreting and narrating are fundamental procedures in forming the identity of a landscape thereby rendering a certain landscape recognizable for its distinctive and unique aspects, and differentiating it from other landscapes. From this viewpoint, the identity of a landscape is a narrative identity made up of a complex of interpretations and narratives elaborated over time.

The formation of a narrative identity implies the same process of *settling* and *innovation* underway in every *tradition*. For this reason, the narrative identity, if influenced by cultural and traditional elements, can be continuously reinterpreted. The narrative identity of the landscape, similarly to that of a person, is to be understood in a dynamic sense, as a continual historical-interpretative process evolving from new events and new interpretations.

### 4. Identity, tradition and innovation

But what is it that makes the landscape maintain its specific identity and continue to be recognizable as *that* landscape, despite the dynamic dimension of its narrative identity? Most interpretations are passed on through memory, which constitutes the basis of a tradition. Tradition is that which remains over time, representing a central theme for the narrative identity. However, traditions that are handed down from one generation to another in turn require interpretation, which involves innovation. There is a time for tradition and a time for interpretation. These two temporal dimensions are inter-related: a tradition stays alive thanks to its interpretation and, to a certain extent, the time for interpretation belongs to the timing of a tradition. There is a further third temporal dimension: the timing of sense. This temporality explains the significance of sense of the landscape making the intertwining of the two other temporalities possible. The sense temporality makes the continuous exchange between the transmission temporality (tradition) and the renewal temporality (interpretation) possible. The sense temporality is constituted by these two temporalities and, at the same time, adds to them: a sense potential adding to knowledge and to man's emotional, aesthetic, practical and interpretative participation in the landscape. The sense temporality confers value to the landscape providing man with a sentimental, intellectual and practical sense of affinity with the landscape. The timing of sense is the timing of cultural identity which includes the two former temporal dimensions exceeding them as far as its manifestation is concerned. A live tradition is one which, by

embracing innovations, manages to warm the hearts of people, motivating them to interact with the landscape, thus enabling them to live and perceive the landscape as if it were part of them. Live tradition comprises innovation which introduces a new interpretation of the landscape aiming to reactivate some of its specific features in order to contribute to the extension of its potential of sense.

### 5. Conserve or innovate?

Continuous reciprocal exchanges and transformations take place between man, the environment and territory implying that any intervention in one of these dimensions affects the others. Thus, intervening on a territorial scale by building an artificial water reserve with a dam, for example, involves modifications to the environment and, consequently, to the entire landscape and the population. Therefore, any intervention should not only be based upon the knowledge and interpretations of the physical-territorial dimension, but also upon the biological-environmental and cultural dimensions. Territorial policies should encompass the environmental dimension and the complex of cultural aspects.

In Article 5 of the General measures the *Convention* calls for the recognition of the landscape as cultural identity and the following actions: "Each Party undertakes: a) to recognize landscapes in law as an essential component of people's surroundings, an expression of the diversity of their shared cultural and natural heritage, and a foundation of their identity; b) to establish and implement landscape policies aimed at landscape protection, management and planning through the adoption of the specific measures set out in Article 6; c) to establish procedures for the participation of the general public, local and regional authorities, and other parties with an interest in the definition and implementation of the landscape policies mentioned in paragraph b) above; d) to integrate landscape into its regional and town planning policies and in its cultural, environmental, agricultural, social and economic policies, as well as in any other policies with possible direct or indirect impact on landscape". According to this perspective, landscape needs to be integrated into policies regarding environmental, territorial, urban, cultural, social and economic planning paying utmost attention to its distinctive and specific features while respecting the identity of places which add value. Conservation, recuperation and protection of a landscape's distinctive features are all factors which should be taken into account in landscape policies. Such actions need to be based on a well-informed and responsible interpretation of the territory, environment and landscape from the viewpoint of their general and specific aspects. As far as the landscape is concerned, care needs to be taken of both the general features it has in common with other landscapes together with its individual and unique characteristics, which distinguish it from other landscapes, making it recognizable as *that* landscape. Neglect, degradation and distortion of the nature of the landscape are often accompanied by the negligence and obscurity of such features. Their retrieval involves the rediscovery of narratives passed down and elaborated over time by the local inhabitants, who have transformed and constructed that landscape with its specific traits through their narratives. An unrecognizable landscape is a landscape that has lost such features and, with them, its narratives.

Landscape identity is therefore a "cultural identity" which is not only recognizable by its appearance but, above all, by its narratives. Appreciation of a landscape can not overlook the story forming its basis and constituting its narratives. In other words, viewing and admiring are subjective behaviours which come to life from the narratives elaborated by the various inhabitants. In order to recognize a landscape, the visual element cannot fail to consider the narratives. Without such references little would be understood about the landscape: much would be seen, but little would be fully appreciated. Recognizing a landscape is always a cultural process which can contribute to its renewal by reactivating the unique aspects that have either been obscured or simply never fully enhanced. From this point of view, it is not a matter of passing on the same narratives and, therefore, leaving an unaltered landscape over time. Obstructing any intervention in the landscape implies betraying the sense of tradition thus turning it into an abstract element of an a-historical and artificial nature. Recognizing the historical relationships between culture and landscape should not only involve conservation of the landscape and natural heritage with static duplication of the traditional forms of typical cultural and artistic expressions, but, on the other hand, it should stimulate new forms of interpretation of the landscape's specific, identifying characteristics in close connection with global-scale interpretations (Claval, 2001). In this case, complete enhancement of a particular landscape can be realized in relation to the global cultural panorama. Indeed, since ancient times man has acquired ideas for building from non-indigenous cultures thus contributing to the reinterpretation of the landscape and the redefinition of its identity by innovating its spirit, its memory and its traditions. This perspective is confirmed by the fact that, throughout the world, many landscapes are the result of transformations over time made by inhabitants of differing cultures, who have contributed to broadening the richness of sense and the natural heritage.

## 6. Enhancing the landscape and man's well-being

The enhancement of the landscape cannot be detached from actions aimed at promoting the safeguarding of the territory and environment. Enhancing the landscape does not only regard the aesthetic dimension as, together with safeguarding the territory and environment, it affects well-being. Once we have overcome the dominant cultural perspective that man is isolated from his territory-environment, he needs to be considered in terms of co-belonging to the territory-environment-landscape. In this sense, territory, environment and landscape are also the result of man's transforming actions over time. In turn, man is what he is also by virtue of the transformations produced upon him by the territory-environment-landscape. From this viewpoint, close inter-relationships are formed between a population's collective and individual identity and the landscape involving reciprocal influences and transformations. While animals have an environment, only man possesses a landscape. Abundant neuro-scientific, psychological and philosophical research into the mind has shown that the dynamics of the psyche and cultural practices are closely correlated with the territory-environment-landscape. For this reason, I believe that a person's and a population's psychological well-being cannot disregard the territorial, environmental and landscape context in which they live. Neglect of the landscape and environment impoverishes man's life. Thus, it is for this reason that the enhancement of the landscape relates to aesthetics and, at the same time, the successful formation of an individual and collective identity.

Landscape has an impact on general well-being in so far as it plays a role in a person's daily life. In this regard, Prieur observes that "The landscape is a familiar part of everyone's daily scene and plays a part in people's sense of belonging to a particular place and a particular community. So on a conscious or even unconscious level it contributes to mental well-being." (Prieur, 2006, p.14). The landscape, with its territorial and environmental components, communicates with man both on a conscious and unconscious level; it is the result of a population's socio-cultural actions, but man's actions on the landscape, in return, have an emotional, psychological and sentimental-aesthetic effect. Devastating the landscape therefore means harming the population emotionally, sentimentally and psychologically leading to alienation and detachment both as far as the man-landscape relationship is concerned as well as man's relationships with others. This is due to the fact that the devastation of the landscape involves various forms of human fragmentation, relating to memory, sentimental and emotional connections, which have an effect on people's lives generally up to the point that they live a landscape as a "non-place".

In this sense, not only does environmental pollution have harmful consequences for people's health, but also landscape devastation does too, since it has a direct impact on the sense of being in the world and, therefore, on general well-being. Thus, caring for the landscape means caring for oneself.

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## Writing and Metacognition: How Italian Students Represent the School Organization and the Assessment Processes

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### Abstract

The importance of involving students in writing activities that encourage them to work on metacognitive processes is shared by educational experts (Albanese et al., 2003; Harris et al., 2010; De Simone et al., 2015). During the formative process, activities that require students to use judgment and critical thinking skills, as well as challenging them to reflect on themes close to their daily-life, are those reported to be more effective (Bruning & Horn, 2000; Boscolo & Gelati, 2007; Smith et al., 2007). The paper presents the results of a writing laboratory developed with Italian undergraduate students. The students were freshmen at the Department of Education of the Roma Tre University. The main objective was to work on the metacognitive skills of students, asking them to clarify their idea of "school organization and assessment processes in Italy", through a written paper. In addition to argumentative texts, students were asked to identify one or more illustrations to support their own judgment. The research hypothesis was that ideas that students have about scholastic organization and about assessment processes could considerably influence the way in which they approach their academic path. The products of the laboratory were systematically shared and discussed with the students. The result of the research confirms the importance of working with students on writing skills and on metacognition. These are shown to be relevant to the students' educational and professional future.

**Keywords:** Assessment, Critical thinking, Metacognition, Students, Writing laboratory

### 1. Introduction

The importance of involving students in writing activities that encourage them to work on metacognitive processes is widely believed by experts in the educational field (Albanese et al., 2003; Harris et al., 2010; Boscolo & Zuin, 2014; De Simone et al., 2015). Writing is one of the basic language skills together with listening, speaking and reading, but not always in teaching practices is specific attention given to strategies that can be effective in promoting its development and/or enhancement (Piemontese and Sposetti, 2014, 2015). It is also made clear in the *Recommendation of the European Council on key competences for lifelong learning* (2018) that «Individuals should have the skills to communicate both orally and in writing in a variety of communicative situations and to monitor and adapt their own communication to the requirements of the situation. This competence also includes the abilities to distinguish and use different types of texts, to search for, collect and process information, to use aids, and to formulate and express one's oral and written arguments in a convincing way appropriate to the context» (p.5).

In an educational context the act of writing is connected to the ability of a student to elaborate thoughts in an orderly manner and to express their reasoning in a coherent way to fulfill the task that the teacher expects. Requiring students to put their writing skills into play in response to tasks in which they are invited to express critical judgments and in which, in a

challenging way, they are expected to declare opinions on topics close to everyday life - in particular - is shown by research to be particularly effective (Bruning & Horn, 2000; Boscolo & Gelati, 2007; Smith et al., 2007; De Beni et al., 2015).

In a university context, there is sometimes the risk of underestimating the importance of reflecting and working with students on writing, as it is assumed that students have already acquired this ability and are able to use it effectively, flexibly and autonomously. The results of various research projects show that university students demonstrate considerable gaps in competence when producing written texts, including, for example, logical incoherence in expounding the flow of thoughts and the presence of grammatical errors (Stefinlongo, 2002; Sposetti, 2008; Cisotto & Novello, 2012; Lucisano et al, 2013).

One of the educational devices identified to counter the tendency of underestimating the importance of encouraging the development and enhancement of student writing skills is the laboratory. In particular, those laboratories that encourage students to produce written texts of a certain complexity and which provide forms of feedback referral that allow the student to reflect on and reorganize the written output (Sibilio, 2002; Pietragalla, 2005; Bonaiuti et al., 2016; Hattie, 2016; Giuliani, 2018) are indicated as strategically relevant. In designing laboratory activities of this type, the educational context of the 21st century can also use digital infrastructure in which to offer meaningful activities to students (Galliani, 2004, Calvani, 2005, Banzato & Midoro, 2006). In the last decade, for example, many universities have set up training platforms on which to create learning paths in blended or distance-learning modes.

Digital learning environments can be effective in involving students in educational courses that enhance writing skills inasmuch as they offer the possibility, with their own utilities, to provide synchronous and asynchronous communication spaces (chat and forum) where students can engage in informal writing activities. Furthermore, the possibility of preparing areas in which to produce and deliver written work offers the opportunity for students to test their writing skills in a formal educational setting and for teachers to collect useful data to become acquainted with the students and to respond with an assessment judgement also from a distance. To be effective, the teacher's feedback should highlight not only the adequacy or inadequacy of the work as a whole, but should also specifically indicate the reason why the different passages of the written output are correct or wrong. Any errors should be explained to the student in detail so that he/she can refine his/her metacognitive skills and improve his/her performance in subsequent deliveries (Irons, 2007, Shute, 2008, Harks et al., 2014).

A further strategy that can promote the development and enhancement of students' writing skills is peer assessment (Falchikov & Goldfinch, 2000; Schunk & Zimmerman, 2012; Lea & Nicoll, 2013). In fact, involving students in laboratory activities aimed at discussing with their classmates the texts produced and preparing evaluative assessments written to be shared with them can be effective for working on both the assessment and self-assessment capacity of the students and the ability to express judgements in written form. In this context, the teacher should assume the role of observer-mediator, not intervening in the methods implemented by the students except in providing thoughts on revision aimed at increasing student awareness of what they have produced and shared. In this perspective, peer review can be useful not only to develop written communication skills but also to enhance metacognitive skills and to promote student leadership development (Spillane, 2005; Dugan & Komives, 2007; Moretti & Giuliani, 2016).

With the intention of working on a cognitive and metacognitive level, in the writing laboratories students should be given tasks asking them to express critical judgment and delivering questions in a semi-structured form (Wiggins, 1998; Domenici, 2005; Tessaro, 2014; Moretti et al, 2015). This type of task seems to be particularly effective because on the one hand it allows students to exercise their writing skills (ability to produce written output, to formulate hypotheses, to solve problems, to re-elaborate texts and to analyze complex situations), and on the other – by inserting limitations in the output, such as limiting the number of lines, the language register, the amount of material to be taken into consideration – it allows the teacher to assess the works in a more objective way. In addition, the teacher, providing feedback to the students on specific elements of the text they have written, provides key indications to reflect on in order to improve their performance in future deliveries.

The importance of writing for students should be highlighted both in their personal and education paths and in the future professional path in which they will be protagonists. Knowledge of how to communicate in writing and being able to express

critical judgement are among the essential elements for a conscious involvement in active citizenship, and it is therefore important to do research on what may be the most effective strategies to promote their development.

## 2. Methodology

The paper presents the results of a writing laboratory developed with Italian undergraduate students. The students were freshmen at the Department of Education of the Roma Tre University.

The group of students has been identified as attending the course of "Didactic organization and evaluation processes", and therefore involved in the individual and group activities foreseen by the course. The laboratory has foreseen the commitment of the students in individual works that asked to produce written and argumentative texts, followed by a phase of restitution of the results by peers and by the teacher or tutors of the course. The paper deepens the results of one of the laboratory deliveries.

The main objective of the laboratory was to work on the metacognitive skills of students, asking them to clarify their idea of "school organization and assessment processes in Italy", through a written paper. In addition to argumentative texts, students were asked to identify one or more illustrations to support their own judgment and to critically express their own reflection on what they had selected.

The research hypothesis was that ideas that students have about scholastic organization and about assessment processes could considerably influence the way in which they approach their academic path and project into the professional future. As future educators and teachers, in fact, it was considered important to call students' to reflect on their convictions and require them to explain these in a written form. About the text production process, we wanted to investigate how, by asking to develop written answers, individual points of view assumes a linear and structured structure. About the process of sharing the texts, we wanted to investigate how the discussion, the peer evaluation and the self-evaluation can increase students' awareness in supporting and problematizing their opinions. The products of the laboratory were systematically shared and discussed with the students.

The research has been developed through several phases.

During the first phase was implemented an online learning environment in which involve students in laboratory activities. The online environment of the course, accessible on the Department Moodle platform (*foronline.uniroma3.it*), has been divided into different sections, each one aimed at enhance students as active protagonists of the learning path in different ways. The initial section contains information about teaching, materials for conceptual and methodological study, notices about the course and links to the teacher's personal page. A second section is dedicated to individual and self-assessment activities, and it is here that the activities related to the writing laboratory presented in the paper took place. The last section is dedicated to the development of group work (producing tools and developing projects, but also producing written works). Also this section was aimed at involving students in laboratory activities.

The second phase of the research actively involved students in the writing laboratory. In the forums of the individual activities, several deliveries were introduced; they asked to produce texts in which to express critical judgments on a given topic. The deliveries were articulated with simple language and asked to produce texts of increasing complexity, taking into account the fact that - being freshmen - it was not obvious that everyone mastered adequate skills of writing and expressing critical judgments. The deliveries to be challenging and engaging were formulated in order to investigate issues close to the daily reality or related to the professional future of the students.

During the third phase of the research, ongoing monitoring activities were carried out on the answers given by the students to the deliveries of the laboratory. The written works were initially evaluated by the teacher and the tutors, and then were encouraged peer evaluation activities in order to give feedbacks. In both cases, a formative evaluative function was promoted, so the approach was constructive and not connected to the allocation of narrowing votes or judgments. The students' writings were systematically presented and discussed and it was interesting to analyse how were activated negotiations and discussions starting from the personal points of view expressed.

In the fourth phase of the research was conducted a final follow-up with the students, in order to reflect collectively about the effectiveness of the laboratory on their cognitive and metacognitive processes. This phase was useful to increase students' awareness about the relevance of the activities in which they were involved a to give to teacher and tutors the opportunity to receive feedback on the quality of the planned formative action.

### 3. Main results

The Department of Education Science platform is a moodle platform in which it is possible to set up a learning environment designed to carry out the activities foreseen in the university courses. The platform has resources to perform both synchronous activities, including chat, and asynchronous activities, including forums and Wiki building. In the course of Didactic Organization and Evaluation Processes the stakeholders active on the platform in addition to the students are the lecturer, author of the course, and the tutors who, in this case, are also experts in the subject. The teacher arranges all the tasks and materials for further study, while the tutors have the role of mediating and accompanying the students in their online learning path. Students can contact the tutors either for technical/IT problems or for explanations on the activities to be performed. In addition, the tutors have the task of stimulating the platform - in particular the forums - to encourage the active participation of all.

The platform has a very friendly user interface that allows students to log on and browse without necessarily possessing advanced technological skills. On the home page of the course, the news Forum where students can find all the up-dated information related to the course and the information given by the lecturer and tutors was highlighted, as well as the link to the teacher's personal bulletin board and the documentation of the course, which collects all the study material and further information on the topics dealt with.

The activities that students are required to perform are divided into individual and group activities. Students are also provided with self-assessment tests that provide personalized feedback based on the answers given. The tests were designed to allow students to monitor their ongoing learning path and check the level achieved in order to make use of additional resources and strategies to bridge any gaps. Figure 1 shows a screenshot of the platform which illustrates the activities related to the course and the individual activities.





Fig. 1: Online platform homepage

This paper presents the results of one of the activities of the individual laboratory. The laboratory was held using a forum in which the following task was proposed: *“Choose an image (photo, graphic, etc.) that in your opinion represents an aspect of the scholastic organization or scholastic assessment very widespread in the public imagination. Reply by attaching the file containing the chosen image. Motivate your choice by briefly describing the image and indicating if the represented aspect is to be considered positively or negatively in the prospect of working to raise the quality of the school and learning.”*

The activity was presented during the progress of the course in question. The course foresees the participation of the students in “blended” mode: partly in the classroom, partly online. The answers of the students were collected by responding to the forum, and during the lessons some of the results were shared in order to open a group discussion, turning the lesson into a dialogue and requiring the active participation of the students.

114 students participated in the workshop. The answers of each one were analyzed in order to verify the structure of the script in terms of the effectiveness of the reasoning, the relevance to the selected image and syntactic and grammatical correctness.

The analysis of the data showed that the students were very motivated to respond to the task. In particular, it was discovered that, following the discussion in the classroom on shared online texts, there was an increase in response on the platform. It is therefore possible to hypothesize that the dissemination of the papers in the classroom prompted the drafting of material by those who had not yet participated. There was therefore no need for a reminder from the lecturer or tutors as the class group seems to have been self-motivated through sharing with other students and experts.

As far as the ability to reason is concerned, it turned out that not only were the majority of students able to effectively discuss the chosen image, but also that they knew how to correctly integrate the issues addressed in the course to support their point of view. The identification of the image has therefore recalled the contents of the course allowing students to put into practice what they learned in theory.

The images identified by the students were found to be representative of the thoughts they wanted to share and were able to effectively illustrate their idea of scholastic organization and assessment. It was interesting to note that, in some cases, the same image was chosen by several students who, however, expressed different observations and points of view. The sharing of their work on the platform did not therefore limit the autonomy of the students who, in the written paper, were able to distinguish themselves by presenting their own opinion in an original way.

From a syntactic and grammatical point of view, the student papers, although in some cases assuming an informal tone, were judged positively. Writing, when proposed in a forum, despite being contextualized in a formal academic environment such as a university course, runs the risk of becoming uncontrolled. A good level of writing was found from the analysis of the texts. No scientific or academic writing was required in the task, rather a logical and reasoning approach. In this sense,

the construction of sentences was for the most part consistent with the structure. Even grammatical errors were reduced to only a few cases. The forum of the platform does not provide a spell- or grammar checker, so it is clear that the students were concentrating during the drafting of their work.

Below are some texts written by students that can be considered representative of the results obtained in the laboratory.

The first extract brings out the student's ability to reflect through the image he/she has chosen (Figure 2) not only on the main activity that is represented, but also on the environment in which it is performed. During the course, the analysis of the context is afforded significant importance. In this case, the student emphasizes how an ordered environment in which activities are introduced one at a time can be considered strategic to develop in children, starting from early childhood, a sense of order, responsibility and self-sufficiency.

*"In this image, it is possible to notice that the children are concentrated in their activities. In my opinion, this kind of activity improves the quality of the kindergarten. The children are able to discover new sensations being in contact with different types of materials, discovering their name, their colours and their shapes. In addition, the surrounding environment is ordered and there aren't other activities going on: this is also very important in order to increase the sense of order, responsibility and autonomy."* (C. T. 20 years old)



Fig. 2: Manual activities in a kindergarten

With Figure 3, the student wanted to highlight one of the aspects which make it possible to qualify the learning process in the school context, thereby helping to develop some of the key competences. The arrangement of the desks and the sharing of material observed in the image refer to group collaboration activities, indispensable for building learning communities. In this case, the student goes on to report one of the aspects that brings out a positive representation of the school system in which it is possible, through quality initiatives, to achieve the learning goals and develop basic skills to become active citizens. These include responsibility, the ability to collaborate and to develop positive interpersonal relationships.

*"I chose this image because, in my opinion, it represents an important aspect of the school organization. In the picture, some children from primary school are cooperating in a group. Working with peers makes the learning activity more engaging and interesting, improving curiosity, interests and responsibility. Within a working group, each child can share his skills and competences, in order to achieve the common purpose. Moreover, this type of activity, in a school environment, avoid competitiveness leaving space for the growing community. Working in a group develop various competences: individual responsibility, interpersonal relationships and cooperative skills. So, it can be considered a positive aspect to raise the quality of school and learning."* (F. S. 19 years old)



Fig. 4: Group work in a primary school

From the next excerpt emerges the student's ability to contextualize some of the main topics covered in the course: the organization of spaces, the preparation of resources, systematic observation and the importance of making strategic decisions based on the data collected. These themes are effectively discussed by the student, who is able to describe different aspects of the scholastic organization, starting from the photograph represented in Figure 4.

*"I chose this photograph representing children involved in drawing and painting activity in an infant school, as I have identified some aspects that I believe are fundamental both for the scholastic organization and for the assessment. In the first place, one can notice a natural aptitude of the environment to carry out this activity, organizing spaces and materials (and therefore resources) to be used. Everything happens thanks to the teacher's observation, which evaluates the strengths and weaknesses of the organization and the success of that single activity, thereby being able to modify during the following activities those aspects that according to her have not been totally functional for the achievement of the objectives (for example it can drive, in one way rather than another, the activity towards sharing). In my opinion this can happen both in structured and routine activities. Nothing is left to chance. The fact of observation and constant assessment is to be considered in my opinion as positively raising the quality of the school "(R.F. 20 years old).*



Fig. 4: Drawing and painting activity in an infant school

The following two extracts refer to the topic of assessment. In both cases it becomes evident that in the students' imagination it is one of the critical aspects of the Italian school system. In the first case (Figure 5), the student draws attention to the importance of the emotional aspect linked to the assessment, which is often underestimated by teachers. It has been found in previous research that students at the university are still affected by past assessment experiences, which often threaten a negative influence on educational success (Moretti, Giuliani & Morini, 2015). The effects of warped judgement, which prejudice objective assessment, are widespread in the scholastic context and those students who are affected find things difficult even at university level.

*"This for me is the first image that comes to mind when the subject of assessment is discussed. This aspect of the educational path is often perceived as negative as it implies a judgement and a significant emotional burden for the child.*

*Overturning this perception, through the involvement of the child in an interactive dynamic exchange with the teacher, would reposition the focus, not so much on the assessment itself, but on the stimulus towards knowledge and further learning in an overall vision of continuous improvement". (L.P. 20 years old)*



Figure 5: Emotional aspects linked to assessment

In Figure 6, the infamous Sally Brown says in the cartoon "I was judged for what I learnt related to this exercise? If so, weren't you, my teacher, also judged on your ability to share your knowledge with me? Are you willing to share my 5? ". The student chose this comic strip to reflect on the assessment function of a judgement expressed by the teacher. The importance of qualifying the teaching element in relation to the learning results of the schoolchildren is emphasized by the student.

*"The image I chose refers to the field of scholastic assessment. The significance of the scholastic assessment should be extended to include, in addition to the learning outcomes of the students, the assessment of schooling as one, both at the level of the individual school and of the system as a whole. Not surprisingly, the student of the image I reproduced, asks her teacher to share the "5" she received as an assessment of the set exercise. This is because a fundamental role in student learning is played by the ability and skill of teachers to do their job. The idea of scholastic assessment as a means of promoting the student, but also as a means to improve the overall quality of the school, should therefore become a prevailing concept."(A.R. 19 years old)*



Figure 6: The assessment function in a scholastic context

The texts shown as examples are representative of what emerged from the writing workshop. Students who described aspects of teaching organization have a more positive view on average than students who decided to share their views on assessment. In the students' experience, therefore, a representation of the school emerges that, on the one hand, tries to professionalize the didactic approach by introducing innovative methods, on the other it remains anchored to a traditional assessment structure that sees its limits reflected in the negative experience reported by the schoolchildren.

In the final phase of the course the students were involved in follow-up activity to reflect on the effectiveness of the laboratory. The data collected in this phase allows for the verification of the planned training programme quality and to further verify the research hypothesis. From what the students have said, the possibility of illustrating their point of view on assessment and scholastic organization in writing, including making use of an image, has resulted in a contribution to

develop their cognitive and metacognitive skills. In fact, during the follow-up, students said that the writing laboratory was effective in improving their metacognitive skills.

Some student testimonials collected during this phase are shown below.

"I feel more aware about my formative process. I had the possibility to reflect about Italian schools' practices and about my idea of education. In my paper, I wrote even based my thoughts on my experience in the high school" (G.R., 19 years old).

"I had never attended a writing workshop. I think it was useful both to understand how to write texts effectively and to test our critical spirit on topics that concern us first hand as students" (A.L., 21 years old).

The sharing of reflections by the students was an integral part of the path. The collective discussion has in fact allowed, in addition to gathering feedback, an increase in the students' awareness of the course and of the critical reflections on their opinions and convictions.

#### 4. Conclusion

The analysis of the written texts, has allowed us to reflect further on the importance of contributing to develop the metacognitive skills of the students. Through the production of online material the students have been able to deepen their understanding of the didactic organization and the evaluation processes in the Italian context. The possibility of arguing their own point of view using an image or an illustration has made students more aware of their opinions and beliefs. Reflecting individually and sharing in the online learning environment and in presence of their experience is strategic to improve the students' approach in relation to their own training path and their own professional future of educators and teachers.

The results of the research confirm the importance of systematically working both on cognitive and metacognitive skills and on students' writing skills; both these skills are crucial to help ensure training success.

During the follow-up phase, the students expressed their interest in the workshop activities, which allowed them to reflect critically on their experience and on their personal opinions about school organization and evaluation in the Italian context.

Finally, the choice of introducing the "laboratory" as a device into the university course turned out to be effective as it actively involved the students in an activity that requires engagement and critical thinking skills. It is therefore considered important to propose it in a systematic way in the university context activities as well in order to improve writing skills and cognitive and metacognitive skills.

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## The Antic City of Borsh

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### Abstract

The antic center of Borsh is situated in a 310 meters high hill, to the north of nowadays Borsh village, in the Southwestern part of Albania, on the shores of the Ionian Sea. In antiquity this region was part of antic Chaonia. On this site there have been research and excavations up to 1990 - after that year it remained out of the focus of the archeologists. Renewed fieldwork efforts, coupled with the evaluation of the conservation of this site, shows us that this center has been presented only with the fortification and the results of the archeological excavations in the necropolis, without considering urbanistic and the organization of the settlement. The documentation of all the antic structures identified through archaeological survey helped to create a better idea of the organization of this center, by presenting in these paper the houses and other fortification elements that were not presented on previous publications on this center. Fieldwork combined with the unpublished documentation of archeological excavations conducted in the 1980s offer a new perspective that arises out of the study of the urbanistic, architectural, stratigraphic and role of this site in the regional context. Borsh is a hilly city that serves as a very good representation of this category of antic cities in Chaonia's region.

**Keywords:** Borsh, Chaonia, Epirus, Fortification, Ionian sea, Hellenistic period, Stratigraphy.

### Introduction

The ruins of the ancient city of Borshi are located in the south west of Albania, on a hill high about 310 m above sea level, north of the modern residential area of Borshi, by the Ionian Sea. The hill has natural protection from the north and north west, while the hilltop and other sites have a somewhat milder slope. Borshi's geographic position, between the Ionian Sea coast and the Shushica valley, enabled trade, cultural and political relations with the ancient centres of the territory of Kaonia and Amantia, as it was in a road link connecting these two areas. The coastal road provided communication with the ancient centre of Himara in the north and through Llogara with Orik in the bay of Vlora. The road to the south helped to communicate with Phoinike, the Harbour of Onhezmus and Butthrotum, while access to the sea offered an advantage in using sea routes, to keep contacts with other Mediterranean centres and the island of Korkyra, which is opposite.

### The history and problems of archaeological research

This site has attracted the attention of foreign archaeologists since the beginning of the 20th century and after the Second World War until 1990, it has been subject of archaeological research for different Albanian archaeologists. The first information in the form of short descriptions of topography and fortification is found in the Greek archaeologist Evangjelidhu (1919) and the English Hammond (1967). Evangjelidhu (1919), among other things, mentions some marble elements in the castle mosque, which can still be distinguished. More detailed descriptions and complete typological analysis of the fortification walls, along with the respective layouts, began to be published around the 1970s by several Albanian archaeologists, such as Budina (1971), Komata (1974), Ceka (1975) and Koçi (1977-1978). Between 1980-1990, Jano Koçi undertook several campaigns and conducted surveys, as well as archaeological excavations on the fortification walls, antique dwellings and the city's necropolis (Koçi, 1986, 1989, 1990). Only the results of the excavations in the necropolis (Koçi, 1987) and the material of the prehistoric period (Koçi, 1991) resulting from these campaigns, have had been published. After the 1990s, this site has been out of the attention of the archaeological projects and has only been mentioned in the general archaeological maps of the Albanian territory (Cabanés et al., 2008) and of the territory of Kaonia (Giorgi & Bogdani, 2012). Only the fortification of the settlement has been introduced, lacking a treatment of its internal organization. Although archaeological research has been partial, its data are the only ones that help to recognize the development stages of the settlement in ancient times, as there are no historical sources and epigraphic materials that might show its history, and the ancient name of which still remains unknown.



**Fig. 1 General map with the localization of Borsh and the nearest centers in the Hellenistic period (K. Çipa).**

### Fortification

The ruins of the medieval fortress and Hellenistic city are preserved on the hill, but the earliest stages of this settlement relate to the period of late Bronze Age and Archaic and Classical period. The fortification of the late Bronze Age should have been surrounding the hill ridge. This period is evidenced by test pits in the south west and south of the settlement, in the surrounding wall, in the southern tower and in a part of the acropolis at the medieval entrance (Koçi, 1986, 1989, 1990). Outside the walls of Acropolis is also found a dwelling of similar material (Koçi, 1991). Near the medieval entrance there is a wall of 4.30 m long and 1.40 m height, with quite primitive and not very elaborated blocks compared to the fortification walls of the Hellenistic period. The wall must belong to the archaic and classical period (Çipa & Meshini, 2017). The pre-urban fortification surrounded the highest part of the hill, an area of about 1.02 ha. In the Hellenistic period, this part is converted into a fortified acropolis, while the settlement extends to the terraced slopes that are surrounded by a second fortification wall. The Hellenistic Acropolis wall, which is not very well preserved, serves as the foundation for the medieval fortress. Regarding the fortification, the south western wall is better preserved. It is about 60 m long and a height of 4 m has been preserved. The fortification line can also be tracked on the north west side, where a part of about 15.40 m long has been well preserved. This line ends at the north eastern edge at a ruined quadrilateral tower. Another tower is located on the south eastern edge of the fortification, on a rocky ground. A fragment of a Hellenistic wall which extends to the north of this tower was carved in a more primitive way than the rest of the fortification and probably belongs to a later reconstruction (Cabanès et al, 2008).



**Fig. 2 The hill where Borshi is located (photo K. Çipa). Fig. 3 View of the south western wall (photo K. Çipa).**

In the fortification there can be evidenced two construction techniques. One of the techniques is the one with trapezoidal blocks of the pseudo isodomic type, where, in some cases, the brackets used often break the rows. This technique was used to built south western, north western and acropolis' walls. Another technique used is that of the isodomic type, with rectangular blocks of regular rows and equal height. This technique is found to have been applied at the south eastern tower and at a part of the wall extending to the west of the tower. The technique of pseudo isodomic trapezoidal blocks in the territory of South Illyria and Epirus dates back to the IV-III century B. C. The tower and wall of isodomic technique should be a later construction of the III Century B. C.

### Settlement stratigraphy

The excavations so far are insufficient to speak concretely about the stratigraphy of this settlement. Test pits conducted in the south western wall of the settlement in 1986 give a good idea of the stratigraphy. The first layer of stratigraphy is represented by late bronze ceramics (Koçi, 1986). During other test pits, this layer was also found at the part of Acropolis, where there was a fortification of this period (Koçi, 1991). A second layer is represented by archaic and classical material, Corinthian amphora of type A, as well as pots characteristic for the 5th-4th century BC (Koçi, 1986). A third layer is represented by the material of the III-II Century BC, also found during the excavation of dwellings on the south-west and eastern terrace (Koçi, 1986, 1989). Life has continued even during the Roman period, as evidenced by the cups and plates of the I-III century AD (Koçi, 1986). Borshi continues to be an important centre during the Middle Ages, a period which is represented by a rich layer of pottery of the XIV-XV century. The occupation periods in this centre, documented by the material found in the stratigraphy, matches very well with the ceramics reported from the superficial findings (Komata, 1974).

### Architecture of houses

The ruins of the antique dwellings are mainly located on the south western and eastern side of the hill. In order to place the dwellings, the steep hillside is organized by building walled terraces. Much of it is placed inside the fortification, but there are also some outside of it. They are partially oriented towards the sun and partly leaning on the natural rock site. Some of them are single-room dwellings, with a simple utilitarian function adapted to the steep terrain. Some of the dwellings, which have been excavated and documented in 1986-89, are two-story buildings, where the second-floor rooms are leaning on a rock carved to create floors and bases for setting up the side walls. The side walls are build up of large trapezoidal blocks, and separation walls with normal stones attached with mud. The first floor communicated with the second floor through a few stairs carved on stone. In some cases, as floor has served natural rock or compressed soil in clay form. The large presence of tiles discovered during their excavation (Koci, 1986) is an indication that the roof of the dwellings has been covered with tiles. The rocky settlements are well spread in the hilly settlements of South Illyria and Epirus, we find them very often in the ancient city of Orik as well as in the Acropolis of Amantia, but in terms of their plan and construction technique, Borshi dwelling are very similar to those of Çuka e Ajtait (Baçe & Bushati, 1989), (Bogdani, 2007-2008), (Islami, 2008). For the use and storage of water, common public water tanks have been used, as there are no tanks or wells in Borshi dwellings, as found in the dwellings of Orik and Çuka e Ajtait. Fragments of daily use vessels, tiles, and some Epirus coins found in the archaeological layer covering their floor (Koçi, 1986, 1989) date the dwellings back to the III century B. C.



**Fig. 4 View of an ancient dwelling in Borsh (J. Koçi 1986). Fig.5 View of the Monumental Tomb ( J. Koçi 1986)**

### **Necropolis**

The necropolis is located on the southern side off the fortification and, just like the inhabited part, due to the steep terrain, is arranged on terraces. Archaeological excavations carried out in the cemetery in 1980-84, revealed 13 cysti graves with simple architecture and a monumental tomb (Koçi, 1987). The necropolis started to be used in the Hellenistic period and was reused in the Middle Ages. Some of the Hellenistic tombs had a rich inventory, dating back to the III century B. C. In most of the graves the burial ritual consists of body placement, and in some cases cremation. The monumental tomb has a quadrilateral layout, fitted with a 7 stair *dromos*, leading to the burial room equipped with sofas (*Kline*), with a polychrome mosaic and side walls plastered with waterproof mortar (Koçi, 1987). The barrel-vault roof, covering the room, has not been preserved. The southern side of the tomb was made with isodomic technique. It was exposed in front of Jonian sea, while the other sides were under ground. The tomb was dated based on the typological analogy with the monumental tombs of Amantia, Selca and Matohasanaj, in the III century B. C. It has been stolen in antiquity and no material was found to decide on a more accurate date. The context where it is placed, in the centre of the Hellenistic tombs, justifies this date. As it can be seen from the distribution of the tombs, around the monumental tomb there are grouped some cyst tombs, just as it happened in the Amantian necropolis (Buzo & Hobdari, 2014). The architecture of the monumental tomb of Borshi is very rare and the only similar case is evidenced in the Drinos valley, in Jorgucatë (Giorgi, 2003). The excavations carried out in the early 1980 s give only a partial idea of the organization of this necropolis and of the architecture of the graves.

### **Conclusions**

The stratigraphy of the ancient town of Borshi shows that this settlement has experienced the same developmental stages as similar cities of the Kaonia coast, as Butrinti and Himara and Triport and Olympe in Amantias territory. The hill of Borshi began to be frequented and fortified in the late Bronze period. During the archaic and classical periods, it is re-fortified and it expanded on the hillsides during the Hellenistic period when it experienced a flourishing period. From the position chosen for setting up a residence, the way of interior organization with terraces, and the architecture of the dwellings, make it a typical example of the hilly towns of South Illyria and Epirus. Borshi is similar to Çuka e Ajtait in the territory of Butrint, but considering the layout composition with acropolis and extension on two sides of the hill, it is quite different. The existence of graves of monumental architecture shows that, in this ancient city, there were individuals who had a special status. From

the topographic point of view and the territory organisation, Borshi should be considered as a Kaonia fortification that controlled the border with the territory of Amantia. Archaeological findings show that the city continues to be frequented in the Roman period, but it had already lost the importance it enjoyed in earlier periods, as in this period, due to the *pax romana*, hilly towns like Borshi were abandoned.

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## How Principles of Business Ethics Relates to Corporate Governance and Directors?

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### Abstract

How can we define business ethics? Which principles are inherent in it? Business ethics propose several principles to be considered by companies, commercial entities, as well as other entities such as NGO's, cooperatives, public organizations etc. First, this study will clarify the meaning and scope of business ethics and the principles included, such as integrity, fairness, trust, openness, truthfulness etc. Secondly, I will try to examine different facets of business ethics. I will approach this concept especially from a legal perspective and try to determine which aspects of this concept have been integrated into law. Business ethics has reflections especially in business law and corporate governance and is being "legalized" by the corporate codes of conduct. This study aims to clarify that business ethics are mentioned explicitly in Turkish law, in the Code of Corporate Governance concerning public companies and discuss legal impact of this regulation. As a result of this quotation in the Turkish Legislation, there could be revealed several questions. One of the questions is whether ethical standards might be a source of liability of the board and directors. In my presentation I would like to examine to what extent ethical standards interrelates with corporate governance codes and the liability of directors. Business ethics can be described as a source concept and a set of principles, that gives rise to fields such as "corporate governance", "corporate responsibility", "liability of directors" and "human rights in business" concerning especially working conditions of the employees. Business ethics has an intersection with all the mentioned fields. In the second part of this study, I will try to clarify the connection of business ethics with corporate governance principles in business and then conclude how business ethics has been adopted into legal system and how it shapes and affect business practices especially in Turkish law.

**Keywords:** Business ethics, fairness, integrity, corporate governance, principles in business, ethical principles for companies, liability of directors.

### Introduction

#### How can we Describe Business Ethics, Which Principles are Inherent to it?

Although is not easy to give a common uniform description of business ethics it can be described as "*ethically right way to run business*" and similarly as "*to apply ethical principles and values to business practices*". Business ethics emphasizes moral values and stand on principles such as fairness or equality, trust, honesty, integrity, openness and truthfulness<sup>1</sup>. Trust requiring by nature two parties, is considered to be a both moral and legal concept. It can be described as legal concept especially in the context law of confidentiality for example. However honesty is considered to be a purely moral value. The remuneration of directors is given as an example that should comply with fairness and honesty<sup>2</sup>. Integrity can be described as committing to accept and follow moral values of a company. For example whistle blowing in a company, that an employee communicates its concerns about unlawful or unethical acts or transactions within the company serves to integrity<sup>3</sup>.

Business ethics covers a wide range area and is related to all kind of business relationships of the company. Business ethics is not related only to customers, but all the stakeholders which comprise suppliers, creditors, employees, competitors, the society, the environment, the state and as insider interests, the shareholders.

<sup>1</sup> Rosamund Thomas, Business Ethics, Chapter 2, in Corporate Social Responsibility: The Corporate Governance of the 21<sup>st</sup> Century, 2011, p.35-36-37.; Julia Casson, A Review of the Ethical Aspects of Corporate Governance Regulation and Guidance in the EU, London, 2013, p.8.

<sup>2</sup> Rosamund, p.36-37.

<sup>3</sup> Rosamund, p.38.

## How Business Ethics Relates To Law?

Some authors mention that BE begin where law ends. Is this true? How business ethics relates to law? What is the interrelation of these two domains? What is the role of business ethics in shaping law<sup>1</sup>? There are mainly two different opinions and approaches concerning this question. **The 1<sup>st</sup> approach** followers explain that business ethics includes the law but extends beyond it<sup>2</sup>. These authors mention that there is an intersection area between business and law. According to this approach, *“the law is essentially an institutionalization or codification of ethics into specific regulations and proscriptions”*<sup>3</sup>. With this respect, some authors also mention that law is an instrument for translating morality into guidelines and practices<sup>4</sup>.

**The 2<sup>nd</sup> approach** followers considers business ethics as a grey area and mention that business ethics begin where law ends<sup>5</sup>, meaning that business ethics is primarily concerned with issues that are not covered by the law. They believe that business ethics is concerned with an area that is not covered by the law and that does not cover a common area with law. The followers of this approach don't consider principles or rules as part of business ethics which have been translated into law. They consider as typical ethical dilemmas mostly issues such as, high pressure sales techniques, whistle blowing, advertising to children, employee privacy, gift giving, which are not regulated in the law<sup>6</sup>.

It can be concluded that, in recent years, there is more tendency to integrate ethical principles into legislative systems at national level or in the international guidelines. Depending on the legal system and legal culture of each state, ethical principles for business, might be integrated into the legal system and adopted either as soft law or hard law with a mandatory effect.

## The Concept and Principles of Corporate Governance

On the other side, the aim of corporate governance is to maximize shareholders holdings and establish an efficient management and control mechanism for the company, for the best interest of stakeholders. The ultimate purpose is to assure business efficiency and assure an equal use of resources<sup>7</sup>.

Corporate governance provides various legal mechanisms such as separation of management and board of directors. This allows two-tier board system rather than a unitary board. The requirement of independent board members and committees are other legal tools of corporate governance.

This system is based on the separation of powers and aim to assure a management system which will make self-control as well, in addition to other control mechanisms such as the internal control or auditing. Corporate governance includes rules and legal tools which will ensure that the company is well directed and controlled<sup>8</sup>. The center of the attention is mostly the board of directors and the management.

Corporate governance is based on several basic principles which can be categorized under four main pillars. Although these pillars might vary upon national legislative system of each country, can be categorized **“accountability”**, **“transparency”**, **“fairness”**, and **“Independence”**. Corporate governance ensures the application of best practices and legal mechanisms under the umbrella of these main principles.

**Accountability** ensures that management is accountable to the board, and that the board is accountable to shareholders and the company.

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<sup>1</sup> **Andrew Crane/Dirk Matten**, Questioning the Domain of the Business Ethics Curriculum, *Journal of Business Ethics*, p.357-369; p.357

<sup>2</sup> (Trevino/Nelson fikri, **Crane/Matten**, p.358 aynen); This approach seems to be adopted in the G20/OECD Principles of Corporate Governance, 2015, p.47. There is mentioned that *“an overall framework for ethical conduct goes beyond compliance with the law, which should always be a fundamental requirement.”*

<sup>3</sup> **Andrew Crane/Dirk Matten**, *Business Ethics*, fourth edition, Glasgow 2010, p.5-6.

<sup>4</sup> **T.L. Beauchamp**, / **N.E. Bowie**, 2004, *Ethical Theory and Business.*, 7<sup>th</sup> edition, 2004, p.4; **Crane/Matten**, p.359 para. 2.

<sup>5</sup> **Crane/Matten**, p.359 para. 2.

<sup>6</sup> **Crane/Matten**, p.359 para.3.

<sup>7</sup> **Casson**, p.20; **Ann K.Buchholtz/Jill A. Brown/ Kareem M. Shabana**, Corporate Governance And Corporate Social Responsibility, Chapter 14, in *The Oxford Handbook of Corporate Social Responsibility*, p.327.

<sup>8</sup> **Casson**, p.6.

**Equal treatment or fairness**, indicates that all shareholders, including minorities should be treated equitably. Thus, this principle protects shareholders' rights and addresses to board of directors. Principle of equal treatment or fairness is closely related to concepts such as good faith, diligence, integrity and trust which are standards to define liability of directors as well. Especially board members carry out their duties in a way that reflects values such as integrity, fairness and honesty<sup>1</sup>.

**Transparency and disclosure** ensure timely, accurate disclosure on all business-related matters including the financial situation, performance, ownership and corporate governance.

**Independence** indicates that independent directors and advisers, free from the influence of any group within the company or outer company, should be assigned.

In this respect, corporate governance follows some of the ethical standards such as integrity, transparency, independence, accountability in the dealings with stakeholders. Some of the corporate governance principles are closely related and overlap with principles of business ethics.

### **How Business Ethics relates to Principles of Corporate Governance?**

#### **Most of the Codification Concerning Corporate Governance is of Soft-law Nature**

There are several codifications concerning corporate governance in the EU member states, which have basis on ethical principles as well, such as insider trading<sup>2</sup> or regulations against bribery. A part of the ethical issues concerning business and companies, such as bribery, corruption, money-laundering, fiscal policy, are all related to public economic interests<sup>3</sup>. These issues concern public interests such as the society and the state, which make part of external stakeholders. Concerning the application of ethical values in business practices, there should be made a distinction between internal and external stakeholders. Unethical issues against insider interests, such as employees, shareholders, are not always codified as part of the mandatory legal system.

Disclosure and transparency, one of the four main pillars of corporate governance, by setting up mostly preventive rules, support criminal law regulations as well. In the EU Corporate Governance Plan, transparency and disclosure of financial or non-financial data is mentioned as a way to respond the need to prevent both unethical and criminal issues such as fraud, bribery, money-laundering, corruption and similar unlawful acts<sup>4</sup>. The before mentioned unethical issues are mostly part of criminal law regulations, since they are unlawful acts against the state.

EU regulations and the national legislations of the EU member states are mostly principle-based. These rules are relevant to certain basic issues such as board structure, shareholders' right, audit and disclosure of financial data. Most governance measures are principle-based soft law, and allow discretion in their application to member states, which may in turn ensure that provisions **are not mandatory** for companies<sup>5</sup>.

#### **Direct link or reference to Business Ethics in the Codes of Corporate Governance?**

There have been carried researches concerning the question to what extent ethical values are adopted into the codes of corporate governance. Depending on national legislative systems, business ethics might have an impact on corporate governance and the implementation of business ethics could help good governance. Although corporate governance in the continental corporate European law is mostly principle-based, does not usually include nor address ethical principles to be applied to business. In the EU there is primary focus on processes and procedures for improving governance, rather than on ethical standards for governance<sup>6</sup>.

The Corporate Governance Action Plan, published in 2012, did not mention any ethical values or principles. This regulation displays a set of rules and principles in order to enhance transparency and shareholders' rights mostly<sup>7</sup>.

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<sup>1</sup> Casson, p.8.

<sup>2</sup> This act can be described as to share confidential data with third persons which allow them to make a profit by selling or buying company shares.

<sup>3</sup> Casson, p.28.

<sup>4</sup> EU Corporate Governance Plan, "Action Plan: European company law and corporate governance - a modern legal framework for more engaged shareholders and sustainable companies", 12.12.2012, p.5.

<sup>5</sup> Casson, p.13.

<sup>6</sup> Casson, p.8, 13, 18.

<sup>7</sup> See EU Corporate Governance Plan; Casson, p.16.

As a result of researches conducted in the EU and the UK by an institute of business ethics, has been revealed that there is no explicit reference to ethical principles in the codes concerning corporate governance, both at the EU level and within member states, except Belgium and the UK<sup>1</sup>.

We can conclude that although some of the four pillars of corporate governance find its roots somehow partially in business ethical principles, in most of the EU states' legislations, there have not been established any direct link between business ethics principles and corporate governance principles.

On the contrary, G20/OECD Principles of Corporate Governance (OECD Principles 2015)<sup>2</sup> concerning responsibilities of the board make a reference to ethical standards stating that *"the board should apply high ethical standards and it should take into account the interests of shareholders fairly."*

In a similar manner in Turkish law, the Code of Corporate Governance (the TCCG) concerning public companies, which ground on OECD principles, make reference and displays explicitly business ethics under the paragraph number 3.5 of the third pillar concerning stakeholders<sup>3</sup>.

### **Turkish Code of Corporate Governance and Principles of Business Ethics**

In Turkish corporate law, the Turkish Code of Corporate Governance (the TCCG) in public companies<sup>4</sup> displays four main pillars. First pillar pertain to **"shareholders"**, second pillar is related to **"disclosure and transparency"**, third pillar pertain to **"stakeholders"**, and fourth pillar concerns **"board of directors"**. This codification has mostly a soft-law nature, although it displays mandatory rules concerning mostly board of directors, transparency and the general assembly.

The third pillar involve **stakeholders**, which include all the persons or group of interests related to company such as workers, creditors, customers, suppliers, syndicates, NGOs, other than shareholders. Third pillar aims that the company carry out its business in a way to protect and balance the interests of all the parties and groups related to the company.

At the paragraph number 3.5 of the third pillar, business ethics is codified explicitly under the title of *"Ethical Rules and Social Responsibility"*. According to **first paragraph** number 3.5.1, *"companies carry out their activities within the scope of ethical rules which are announced to the public via company's website"*.

**The second paragraph** number 3.5.2, pertains essentially to social responsibility. However it refers again to "ethical rules" as well as at the first paragraph. The second paragraph mentions that *"a company is sensible to its social responsibilities and follows the legal regulations concerning the environment, consumers, public health and ethical rules"*<sup>5</sup>. This paragraph draw the framework of the social responsibility for public companies and displays different areas to be protected under the concept of social responsibility, which can be defined as a new type of responsibility for companies. Thus in the second paragraph ethical rules are mentioned in a way that they constitute one of the sub-fields and make part of corporate social responsibility<sup>6</sup>.

Another reference to ethical rules is made again at the paragraph 3.1.4 of the same 3<sup>rd</sup> pillar. According to paragraph number 3.1.4 of the 3<sup>rd</sup> pillar companies establish necessary mechanisms for stakeholders to allow them communicate to the committees their concerns about unlawful and unethical transactions of the company.

Another last quotation is regarding independent directors. In the paragraph number 4.3.6 of the 4<sup>th</sup> pillar, is mentioned explicitly that independent directors, have to possess strong ethical standards. However this quotation is not under the form of a duty of the directors, rather it is formulated as a qualification that director have to possess.

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<sup>1</sup> Casson, p.4.

<sup>2</sup> G20/ OECD Principles of Corporate Governance, 2015 version, p.46  
([https://www.oecd-ilibrary.org/governance/g20-oecd-principles-of-corporate-governance-2015\\_9789264236882-en](https://www.oecd-ilibrary.org/governance/g20-oecd-principles-of-corporate-governance-2015_9789264236882-en)).

<sup>3</sup> See below under "Turkish Code of Corporate Governance and Principles of Business Ethics".

<sup>4</sup> Code concerning Corporate Governance dated 3.01.2014, with number II-17.1 (The TCCG).

<sup>5</sup> At the following part of the second paragraph is mentioned that "A company support and respects human rights recognized internationally and combat all kind of fraud including corruption and bribery".

<sup>6</sup> However is mentioned that in reverse to business ethics, corporate social responsibility focuses more on the social, environmental and sustainability issues than on morality. See Rosamund, p.36.

In contrary to most of EU states, in Turkish corporate law, ethical principles are codified explicitly with regard to public companies activities and independent directors. Consequently this would reveal certain questions concerning legal impact of such an explicit codification.

**First question** would be regarding the extent and the content of ethical principles displayed in the TCCG. What are the content and the boundaries of the ethical rules and how can we specify them? Which are the ethical principles according to paragraph 3.5 of the third pillar? Concerning this first question can be said that ethical principles are not listed nor specified in the TCCG. However, ethical standards are treated on a larger scale in the G20/OECD Principles of Corporate Governance which constitutes the basis of the TCCG<sup>1</sup>. The standards suggested in the G20/OECD Principles could be referred as a guideline to clarify the ethical rules under the TCCG. Companies have a discretionary power on defining their ethical rules and are suggested to adopt their own ethical codes<sup>2</sup>.

**Secondly**, we could ask whether this paragraph is mandatory and whether ethical principles could have any impact concerning liability of directors. Ethical principles might have role especially in the discretionary decisions of the board of directors. The board is expected to follow ethical principles while taking decisions. Board decisions have consequences for all internal and external stakeholders<sup>3</sup>. Consequently there could be legal question whether ethical principles might constitute a source of liability of directors in public companies.

With regard to this second question article 5 of the TCCG which regulate and demonstrate mandatory principles, can be helpful. Among the mandatory rules the biggest part belongs to fourth pillar concerning board of directors. On the contrary third pillar concerning ethical rules is not among the mandatory principles. In this respect according to paragraph number 3.5.1 of TCCG, companies are not obliged but encouraged to prepare their own ethical rules and announce them on their website. But a public company is not obliged to adopt ethical rules and if the company does not adopt such ethical rules, has to explain in the company's annual report the reasons of the abstinence. According to article 8 of the TCCG, public companies have to announce whether principles of corporate governance in the TCCG are applied or not, if not companies have to give an explanation with a justification in their annual report.

But in case a public company adopt ethical rules, there follows the question whether this kind of self-made principles or rules have binding effects on the stakeholders and whether board members can be held liable. This question is very much controversial within the context of corporate social responsibility<sup>4</sup>.

Another point is that, whether the company adopts its own ethical rules or not, taking in consideration the explicit indication of ethical standards in the TCCG, concerning the qualities of the independent directors, it can be raised the question if solely unethical decisions or transactions of the company can be a source of liability for independent directors of public companies. In this respect, it should be point out that, although in the TCCG ethical rules are explicitly mentioned, it is still not regulated within the context of the liability of the board of directors or independent directors.

Whereas in the OECD Principles 2015, "*to apply high ethical standards*", is explicitly displayed as a duty of the board and in a way that board members might be held liable on the ground that they are not respecting ethical standards<sup>5</sup>. Under this approach of the OECD Principles, "*to apply ethical standards*", addresses to directors as part of their responsibility<sup>6</sup>. At the international level it is mentioned similarly that, the morality of the board and the directors should underlie ethical standards<sup>7</sup>.

## Conclusion

To conclude about how business ethics connects to corporate governance, we can summarize concerning Turkish law that; although ethical rules are explicitly mentioned and codified in the Turkish Code of Corporate Governance concerning

<sup>1</sup> See G20/ OECD Principles of Corporate Governance, 2015 version, p.47, 50.

<sup>2</sup> In the OECD Principles 2015, is suggested that a company might also voluntarily commit to comply with the OECD Guidelines for Multinational Enterprises. See p.47.

<sup>3</sup> Casson, p.6.

<sup>4</sup> For these discussions see **Anna Beckers**, Enforcing Corporate Social Responsibility Codes:On Global Self-Regulation and National Private Law, 2015; **Liesbeth F.H. Enneking**, Foreign Direct Liability and Beyond, 2012; **Tineke Lambooy**, Legal Aspects of Corporate Social Responsibility, 2014, Utrecht Journal of International and European Law 1.

<sup>5</sup> See G20/ OECD Principles of Corporate Governance, 2015, p.46.

<sup>6</sup> Casson, p.24.

<sup>7</sup> Rosamund, p.36. The author mentions that corporate governance is a key part of business ethics.

public companies, since the so-called regulation is of soft-law nature, has no binding effects for companies, and would not constitute a source of liability of the board and the directors.

However companies might choose to adopt their own ethical codes and constitute their ethical rules. The standards suggested in the G20/OECD Principles could serve as a reference and a guideline to specify the ethical rules under the TCCG. The TCCG has its basis on an older version of OECD Principles which have been renewed and adopted to the recent need in business. Consequently the most recent G20/OECD Principles on Corporate Governance can be taken as reference to develop the TCCG.

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## Approval and Disapproval Expressions in English and Arabic: A Contrastive Study

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### Abstract

Any language in the world wide has different expressions and terms that convey approval or disapproval that language speakers may use in their daily life. English language for instance, is full of such expressions and can be found in any situation needs to. The present research studies approval and disapproval in English with their counterparts in Arabic as a contrastive study. It tries to search for those terms or sentences that are used to express approval and disapproval in English with their counterparts in Arabic. It aims to highlight the points of similarities and differences between those expressions that are used to state approval and disapproval in the two languages. Also the study includes a contrastive analysis to the expressions of approval and disapproval in English with their equivalents in Arabic in order to come up with the conclusions. It concluded that the approval and disapproval expressions in English language are similar to their counterparts in Arabic language but differ in two points. Firstly in Arabic language main verbs are used to convey approval and disapproval whereas in English are not. Secondly, in English language the exclamatory style is used to express approval in contrast, Arabic language is not. Researchers, teachers, translators and any who cares about English language and linguistics can get benefit from this study, precisely because it includes a comparison between two languages, English language and Arabic, with several types of expressions and terms that are being actually used to express approval and disapproval.

**Keywords:** approval and disapproval expressions in English and Arabic

### Introduction

#### Problem Statement

Within everyday speeches and writings diverse types of words or expressions can be noticed that refer to what is meant by approval or disapproval of the speaker or the hearer. These words or expressions may come in the forms of verbs, nouns, adjectives, adverbs, exclamations, prepositions, or even phrases and sentences. They eventually carry either the approval or disapproval of either the sender or the recipient of the message . Approval means a message expressing a favourable opinion and, a feeling of liking something or someone good, whereas, disapproval means a feeling of disliking something or what someone is doing, and the belief that someone or something is bad or wrong. On the other hand, approval in Arabic language means acceptance and permission for doing a specific action and showing full agreement with the speaker. Whereas disapproval, refers to the refusal and not acceptance of doing an action and showing disagreement with the speaker. These expressions may cause problems or confusion in much of the situations in which they are mentioned to either the addresser or the addressee. Sometimes, the way of stating approval or disapproval cause ambiguity of what is meant precisely to the hearer. In addition, ambiguity rises from multiple meaning words that are being used to express approval and disapproval within the addresses or speeches.

**1.2 Hypotheses:** This study is based on the following hypotheses:

There is a great similarity between the approval and disapproval expressions in English .

Points of differences between the approval and disapproval expressions in English with their equivalent in Arabic are few.

**1.3 Aims of the Study:** The present study aims at Investigating the approval and disapproval expressions in English determining a possible correspondence between them and their Arabic equivalents .

Shedding light on the points of similarities and differences of approval and disapproval expressions in the two languages English and Arabic .

**1.4 The Procedures of the Study:** The procedures to be adopted in this study are as follows:

Giving a general concept about approval and disapproval expressions in English and their counterparts in Arabic .

Investigating the approval and disapproval in English with their equivalent in Arabic.

Carrying out a contrastive analysis between approval and disapproval expressions in the two languages and get the results.

Highlighting points of differences and similarities of approval and disapproval expressions in the two languages.

Drawing conclusions from the findings of the study.

**1.5 Limits of the Study:** The study is limited to:

1 .Standard English and standard Arabic. 2.Syntactic, and pragmatic analysis to the approval and disapproval expressions in both languages English and Arabic .

**1.6 Value of the Study:**

The present study is valuable to students, researchers and teachers of both English and Arabic. It is also valuable as a contrastive study because it sheds light on the similarities and differences between the two languages and this contributes to researchers investigating the existence of language universals.

**2.1 Approval and Disapproval:**

The speech act of disapproval occurs when a speaker directly or indirectly says no to a request or invitation. Refusal or disapproval is a face-threatening act to the listener/requestor/inviter, because it contradicts his or her expectations, and is often realized through indirect strategies. Thus, it requires a high level of pragmatic competence (Chen, 1996). Three major types of indirect refusals are identified, including: excuses/reason, request for information or clarification, and suggesting alternatives. (Beebe et al, 1990) Direct disapprovals refer to phrases such as “No, won’t” or “I refuse”. Indirect disapprovals are indirect strategies speakers use to minimize the offense to the hearer and they can include, for example, statements of excuses, regrets, some other alternatives, or postponement. (ibid) On the other hand, approval, in which the refuser expresses his/her consent before actually making the refusal itself (e.g. “Yes, but ...”); and (solidarity or empathy, in which the refuser demands the solidarity of the requester by asking for his/her sympathy (e.g. I realise you are in a difficult situation, but ...”). By uttering, “I accept” or using equivalent words, an offeree becomes committed to the terms of the offer. Approval as a show of support from one speaker for a belief or proposition expressed by another. Disapproval suggests that there are frequent, normative patterns associated with each action (Sacks, 1987). Whereas approvals are usually produced quickly and unambiguously, disapproval is frequently delayed, and often prefaced with an element of agreement, such as in the case of the ubiquitous ‘yes, but’. Moreover, adjuncts refer to those expressions that accompany disapprovals but do not constitute disapprovals by themselves. They include five subtypes: i) positive opinion, in which the refuser expresses that the request is a good idea but he/she cannot comply it (e.g. This is a great idea, but ...); ii) willingness, in which the refuser expresses that he/she would be willing to perform the request but he/she cannot e.g. I’d love to help, but ...); iii) gratitude, in which the refuser softens his/her refusal by thanking his/her interlocutor (e.g. “Thanks a lot, but). (ibid)

**2.2. Asking for Approval**

Sometimes we are not sure if it’s a good idea to do something. So we need useful expressions for asking if other people agree with an idea or intended action. Here are ten phrases. (Boander, 2013:23-25)

**Ten Expressions to Use in Speaking and Writing**

**Do you think it’s all right to do it?**

**What do you think about (me doing that?)**

**Do you think / reckon I ought to (do it)?**

**What would you say if I (did it)?**

**Would you approve of (doing something?)**

**What is your attitude to the idea of...**

**Are you in favour of (me doing something?)**

**You are in favour of ... aren't you?)**

**Do you think anyone would mind if I...**

**Do you think it would be really awful if I....**

### **2.3. Expressing Approval:**

These are some of the expressions that are used to express approval in spoken and written English:

**Good! Excellent! Right**

**That's fine.**

**That's nice.**

**Well done**

**Perfect**

**It looks / sounds pretty good**

**I approve of (them / you)**

**What a success**

**Go ahead.**

**Let's do it.**

**I'm all for it**

**You couldn't have done better.**

**I hope so.**

**I would like that.** (ibid: 30-35)

### **2.4 Disapproving of an action**

Sometimes we hear about an action that somebody else has done and we feel very negative about it. Here are ten phrases that English people use to show their disapproval. (Leech, 2014: 50-55)

Ten Expressions to use in Speaking and Writing

**1. I don't think much of that.**

**2. How appalling / dreadful!**

**3. I'm utterly appalled / disgusted.**

**4. I'm dead against people doing...**

**5. It shouldn't be allowed!**

**6. What a rotten / mean thing to do**

**7. I take a very dim view of people doing.**

**8. Who do they think they are?**

**9. How can people do things like that?**

## 10. Whatever next? (Malcolm, 1990: 44-49)

When expressing disapproval, you should try to avoid strong terms. For this reason a negative expression is often preferable.

**It/ That isn't/ wasn't a very good idea.**

**It/ That isn't/ wasn't a very nice thing to say/ do**

**It/ That isn't/ wasn't so interesting as we had expected.**

**Disapproval may also be expressed by using too.**

**To make such statements less abrupt and final, we may begin them with Well, personally I think..., or Don't you think...? (ibid)**

### 3.1 Approval and Disapproval in Arabic:

Arabic language awards the speakers with diverse means to express one's position and the language is more accurate in selecting the most appropriate methods to express his opinion or his position. Between acceptance and rejection a great distance, and both have different degrees, each mode of Arabic language reveals the degree of acceptance or rejection at the speaker. There are several styles in Arabic to express approval and disapproval, depending on the terms the speakers use the way they use them. Styles of approval involve the style of command, style of wishing and hope, style of praising, style of awakening of a desire, whereas styles of disapproval involve prohibition, dispraising and interrogation. (الأسوي، 1980، 60-55 )

### 3.2 Approval Styles in Arabic:

#### 3.2.1 Command Style:

Expressing approval in Arabic the speaker may use the command style to get the approval of the listener using the form "لتفعل" for example: "تذهب يا زيد" and "فيلفروا" (ابن جني ) . This form is used as a way of expressing approval to do something from the addressee but in a polite way. (الزبيدي، 1965: 43-47)

#### 3.2.2 Praising style:

Speakers may use praising as a way of expressing their psychological approval, using the verb "يَعْمُ" like "ليت العبدُ إنه اواب" and "تعم الرجل عبدالله" and the verb "حبذا" as in "حبذا لو تتصت للقرآن". They tend to use this style to urge the listener to do things willingly. (هادي نهر، 1978: 77-80)

The Arab tend to use this style as a way of asking others' approval to do things politely. They use "ليت" as in "ليت الأستاذ" and "عسى زيد ان" like "عسى", and "لعل احمد يأتي مبكرا اليوم" as in "لعل" and "لوتحضر الحفل غداً" as in "لعل" and "يعيد شرح الدرس" (طاهر سلمان، 1983: 66-69). "ينطلق"

### 3.3 Disapproval Styles in Arabic

Arab speakers have several styles to express disapproval. They may use prohibition and dispraise or even interrogative terms to state their refusal. The following are the common styles that are used to express disapproval.

#### 3.3.1 Prohibition Style

This style is used by the speaker to express his or her refusal of a thing or action. To express disapproval "لا الناهية" in the form "لا تفعل" is being used, for example: "لا يسخر قوم من قوم" and "لا تَنفُوقْ". Also the verbs "كف" and "اجتنب" "ذُر" are used to indicate refusal as in "اجتنبوا كثيراً من الظن" and "ذروا البيع" and "كفوا ايديكم". (المرادي، 1973: 89-92)

#### 3.3.2 Dispraising Style:

Arab sometimes tend to use dispraise terms and verbs to express their psychological disapproval of things and deeds. The most common verbs are being used to indicate refusal is "بنس" , e.g. "البئس ما كانوا يصنعون" and "ساء ما كانوا" , e.g. "ساء ما كانوا يعملون" (المبالي، 2006: 80).

#### 3.3.3 Interrogative Style:

This style is the most absolutely important way in communication. It is an inclusive way of expressing not only disapproval but also other meanings, like persuasion, denial and exclamation. Interrogatory expressions and clauses are used to indicate the refusal by the speaker as in "هل يستويان مثلاً" and "ما هذا الرسول يأكل الطعام ويمشي في الأسواق" and "يا ابنت لم تعيذ ما لا يسمع ولا يبصر ولا يُغني عنك شيئاً" and "أفبعذابنا يستعجلون" and "بعث الله رسولا (الزمخشري، 538: 704)". So, the context in which the interrogatory clauses and expressions occur helps the speaker in indicating what does he or she means specifically.

#### 4. Contrastive Analysis:

After a comprehensive study to approval and disapproval in English with their counterparts in Arabic, a contrastive analysis to both terms and expressions can be carried out. Firstly the approval in English is expressed using praising, interrogative and exclamatory styles. Within **praising** the speaker uses expressions like **excellent, great, that's fine** and so on. In Arabic the same style is being used to express approval as in "جيد، رائع"، "نغّم الاقتراح"، and so on. The other style is **command** by which the speaker ask the approval of the listener using expressions may be understood as commands, as in **let's leave and go ahead**.

In Arabic the same happens like "لترحل يا زيد" using the form "لتفعل" to get the approval of the addressee. Then comes **wishing style** to express approval by using hope and would and wish in expressions e.g. **I would, I hope so, I wish to do it**. The Arab speakers use wishing style in approval as in "ليتك تحضر مبكراً"، "لعل الفرح قريب"، "لعل العمل لبيت". Moreover in English speakers tend to use interrogatory style to show approval like **would you approve of? / Do you think?** Besides, English speakers use the exclamatory style to show approval as in **what a success!** On the other hand, there is the disapproval. To express refusal in English there is **dispraise style** as in **how dreadful / that isn't good / I am disgusted**. In Arabic addressers show their disapproval using the same style e.g. "بنس العمل هذا". Then we have prohibition style to show refusal in English it is not used but only in Arabic like: "لا تتكلم بصوت عال". In addition, there is the **interrogatory style** which is used in both languages to state the disapproval. English addressers use it as in: **who do you think they are? , what a mean thing to do? , don't you think that ...?** Arabic users show refusal by interrogatory expressions in this wa. "هل يستويان؟" "أهذا الذي تريده؟".

Accordingly, the approval and disapproval expressions in the two languages contain the first person addressing the second one in the active voice. In addition, these expressions are in the present tense with different structures. Also, the expressions included the indicative, (including the interrogatives), imperative, and subjunctive mood. Furthermore, English and Arabic approval and disapproval expressions are phrases, clauses and rarely a full sentence. Sometimes, the addresser uses a single word to express approval or disapproval, e.g. "ok", "yes", "no", "كلا"، "نعم"، "موافق". Adjectives are used in expressing approval, like: "right", "great" "جميل" "رائع" and disapproval like: "dreadful, disgusted". In Arabic, main verbs are used in this case like: "بنس"، "ساء".

#### Conclusion:

This section is specified for the conclusions that the current study has come up with. At the end of the detailed survey of the approval and disapproval expressions in English with their counterparts in Arabic, several points have emerged and they are as follows:

#### Points of Similarities:

Expressions of approval in English are similar to their equivalents in Arabic in time and tense and structure.

Disapproval expressions in English are similar to their equivalents in Arabic in time and tense and structure.

Approval and disapproval in the two languages contain all types of mood.

The two languages use praising, wishing and command as a style of expressing approval.

Both of English language and Arabic language use dispraising, prohibition, and interrogation as a style of expressing disapproval.

Single words are being used to express approval and disapproval in English language and Arabic one.

All of approval and disapproval expressions in the two languages are in the active voice with a first person addresser.

### Points of Differences:

The exclamatory style is being used in English language to express approval, whereas in Arabic this is not so. Arabic language differs from English language in using main verbs to express both approval and disapproval.

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## Georgia in the World Merchandise Trade: Main Trends and Problems of Development

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### Abstract

Foreign trade is the main factor in the country's integration into the world economic system. It promotes the socio-economic development of states, especially developing countries. After the restoration of state independence, Georgia actively cooperates with different countries within the framework of bilateral and multilateral agreements. Its foreign trade activity is based on a high level of openness of the economy and liberal policy, features of the market economy and new vectors of development. Georgia has been a member of the World Trade Organization since 2000 and has one of the most liberal and competitive trade regimes across the world. Georgia's foreign trade turnover has a cyclical growth pattern with a combination of periods of its fall. Over the entire post-Soviet period, the country has a negative trade balance and a high dependence on imports. Export characterizes a high degree of concentration of geographical structure and low level of diversification. The article analyzes the current state of Georgia's foreign trade, shows the main indicators of the country's foreign trade for the period of 1994-2014, and examines the main trends in its development and the importance of export diversification to improve the efficiency of foreign trade.

**Keywords:** foreign trade, merchandise, export, import, Georgia

### 1. Introduction

After the collapse of the Soviet Union, Georgia moved to a new stage in its historical development, characterized by a high degree of freedom and a liberal economic policy. In 2018, according to the Index of Economic Freedom, Georgia ranks 16<sup>th</sup> among 180 countries and is part of a group of mostly free states. Liberal foreign trade policy is one of the major principles of the economic policy of Georgia. The Government of Georgia has implemented reforms in the tariff policy. As a result, nowadays Georgia has one of the most liberal foreign trade policies in the world, which implies the assistance of foreign trade regimes and customs procedures, low import tariffs and minimal non-tariff regulations (MESD).

Foreign trade is the main factor in the country's integration into the world economic system. Export contributes to the increase in foreign exchange earnings and stimulates the social and economic development of the state. As G. Haberler (1970) noted, "International trade has made a tremendous contribution to the development of the less developed countries in the nineteenth and twentieth centuries, and can be expected to make an equally big contribution in the future if it is allowed to proceed freely". In this regard, the main purpose of this work is to analyze the trends in the development of Georgia's foreign trade, determine its place in the world trade of goods and the opportunities for its further development based on export diversification.

### Literature review

The internationalization of production has been greatly accelerated and the international division of labor has deepened under the influence of globalization and scientific and technological progress (Korganashvili L. 2017, 2016). As a result of this international trade flows have increased. The need to include countries in international trade is explained by different theories. The role of foreign trade in the pursuit of wealth of the nation is highly evaluated by the mercantilists (Magnusson 1994). The starting international trading axioms inherent in classical theories (Smith 1986 [1776], David Ricardo 1951), which, despite a number of assumptions, explain the benefits of trade. Fundamentals of the reasons that determine the direction and structure of international trade flows, as well as the possible advantages in the international exchange, are laid by E. Heckscher and B. Ohlin (Heckscher 1919, 2007, Ohlin 1933). According to their theory, a country will export goods that use its abundant factors intensively, and import goods that use its scarce factors intensively. In the two-factor case, it states: A capital-abundant country will export the capital-intensive good, while the labor-abundant country will export

the labor-intensive good. Heckscher-Ohlin theory refined P. Samuelson (HOS-Heckscher-Ohlin-Samuelson Theory) (Suranovic 2010) and W. Stolper (Stolper-Samuelson Theorem) (Stolper&Samuelson 1941).

The standard model of international trade unites the various theories, developing the fundamental position of the classical theories. It is based on the concepts of the limit values and the general equilibrium of the economic system. It provides mathematical and graphical interpretation of international commodity exchange, and shows the real impact of international trade on the economies of individual countries (Edgeworth 1925, Marshall 1979, Haberler 1936), etc.

The alternative theory of international trade is critical to achieve reinterpreted predecessors and offered original interpretation of the participation of national economies in the international exchange of goods. Among these theories following should be noted: The trade theory based on economies of scale (Krugman 1981, Krugman&Obstfeld 1992, Lancaster 1980 et al.), The theory of technological gap (Posner 1986), The theory of a product life cycle (Vernon 1970), The theory of international competition (Porter 1986) and others. Since the second half of the XX century, dynamic comparative advantages became relevant. This question was studied by Krugman (1987), Grossman and Helpman (1989), Redding (1997) and others.

Although there are many theories of international trade, none of them can fully explain the nature of international trade. And there is ample empirical evidence that recognize the validity of the theory of comparative advantage (Bernhofen&Brown 2005, Schott 2004, Uchida & Cook 2004, Krugman&Obstfeld 2003). Moreover particularly noteworthy is the fact that most of the principles of the World Trade Organization (WTO) is based on the theory of comparative advantage (Root 2001). Currently, comparative advantages are used to assess the country's competitiveness in international trade (Korganashvili L. 2017, 2016, ). .

### Research methodology

The theoretical and methodological basis of the work constitutes the fundamental tenets of the theory of international trade. Well-known scientific methods were used for the study: statistical, comparative, deduction and induction, analysis and synthesis, and etc. Informational and empirical basis of the study is constituted by statistical, informational and analytical data of various international and national organizations, research papers, online resources, and etc.

The effectiveness of foreign trade is calculated as the ratio of exports to imports. If this ratio - efficiency coefficient is greater than 1, then the trade can be considered effective. On the other hand, the import dependence of the trading partners is calculated as the ratio of imports to exports. The country will be considered dependent on the other, if the ratio coefficient of import dependence is less than 1.

Comparative advantages of Georgia on certain goods are valued by index Balassa (Balassa 1965), which is calculated according to the formula

$$RCA_{ij} = (X_{ij} : X_{it}) / (X_{wj} : X_{wt})$$

where  $RCA_{ij}$  is Revealed Comparative Advantage Index,  $X_{ij}$  and  $X_{it}$  are the values of country  $i$ 's exports of product  $j$  and world exports of product  $j$  and where  $X_{it}$  and  $X_{wt}$  refer to the country's total exports and world total exports. A value of less than unity implies that the country has a revealed comparative disadvantage in the product. Similarly, if the index exceeds unity, the country is said to have a revealed comparative advantage in the product.

### Main trends in the development of Georgia's foreign trade

After the collapse of the Soviet Union, Georgia actively cooperates with different countries within the framework of bilateral and multilateral agreements. In 2017, the geography of its trade covered 140 countries. According to preliminary data, in 2017, the foreign trade turnover of goods amounted to \$10707.4 million, including exports – \$2728.0 million, imports – \$7979.4 million (75%). Compared with 2016, foreign trade turnover increased by 13.8%, exports by 29.1% and imports by 9.4% (Geostat).

Foreign trade of Georgia is developing in the conditions of globalization. Its main development trends are followings:

The cyclical nature of the development of foreign trade turnover: a combination of growth with periods of its fall. For example, the growth cycles cover 1994-1997, 2000-2009 and so on (table 1, Growth rate to previous year, %).

Permanent negative trade balance and high dependence on imports. In 2017, the deficit was \$5254.7 million – 49.0% of all of trade turnover (Geostat). Compared to 2016, it increased by \$73.2 million (1.4%). This is the highest volume of trade

deficit, but its highest share in foreign trade turnover was in 1998 – 64.7%. The peak of the share of imports to turnover was observed in 1998 (82.4%), to GDP in 2017 – 52.6% (Table 1).

Low share of exports both in foreign trade turnover and in GDP. In the foreign trade turnover of Georgia, exports with the highest share were present in 1994 – 36.1%, and in relation to GDP in 2017 – 18.0%.

In 2017, the share of foreign trade turnover reached 70.6%, and in 1994 it was 16.7% (Table 1).

Change in the share of groups of countries. In 1995, the CIS accounted for 62.5% of Georgian exports and 40.1% of imports, in 2005 these figures were 47.0% and 40.0% respectively, and in 2017 – 43.3% and 29.6%. The share of the European Union has also changed. If in 2005 the EU countries accounted for 25.0% of exports and 29.7% of imports, in 2017 these figures were 23.7% and 27.5%. On June 27, 2014, the European Union and Georgia signed the Association Agreement, which includes the Deep and Comprehensive Free Trade Area (AA / DCFTA), which provides preferential trade relations. Despite this, the CIS countries occupy an important place in the foreign trade of Georgia (Korganashvili, 2016)..

High degree of concentration of the geographic structure of Georgia's foreign trade: in 2017, 3 main trade partners accounted for 34.7% of turnover, for 5-48.2% and for 10-66.7%. As for exports, these figures were 30.0%, 44.5% and 67.4% respectively, and for imports – 36.2%, 44.5% and 66.5% (Geostat). In 2016, the market concentration index (HH-Herfindahl-Hirschman index) was 0.06, and in 2012 it was 0.04 (WITS, 2016).

Low level of diversification of exports and imports: 10 commodity items account for 63,3 % of country's exports and 64.7% of imports (Geostat). In 2017, the first place in the commodity structure of Georgia's exports is occupied by copper ore and concentrates – 15.4%, the second place is ferroalloy – 11.3%, followed by motor cars – 8.6% (in 2013 their share was 24.2%. Georgia is not a producer of cars, therefore, a high share of this commodity position in the country's exports testifies to a significant volume of re-export operations), wine from fresh grapes – 6.3%, medicaments put up in measured doses – 5.2%, etc. In the commodity structure of imports in the first place are petroleum and petroleum oils - 8.7% of the total import of the country. The following positions are occupied: motor cars – 5.9%, petroleum gases and other gaseous products – 4.4%, medicaments put up in measured doses – 4.3%, copper ores and concentrates – 4.2% and etc. In 2016, the index of Export Market Penetration for export was 2.41, in 2015 - 2.57 (WITS, 2012-2016).

A decline in the share of high-tech exports in manufacturing exports: in 2002, high-technology exports (% of manufactured exports) accounted for 41.1% of manufacturing exports, but in 2016 it declined to 3.9%. 38.35% of Georgia's exports and 53.54% of imports are consumer goods, 23.95% and 14.71% are intermediate goods, 32.97% and 9.62% are raw materials, 3.67 and 21.72% are capital goods. A small share of capital goods causes a low level of technological development (WB).

Increasing the level of liberalization of foreign trade policy. Georgia has been a member of the World Trade Organization (WTO) since 2000 and the Liberal foreign trade policy is one of the major principles. The Government of Georgia has implemented reforms in the tariff policy. As a result, nowadays Georgia has one of the most liberal foreign trade policies in the world, which implies the assistance of foreign trade regimes and customs procedures, low import tariffs and minimal non-tariff regulations (MESD). In 2015, compared to 2002, its average tariffs for the countries with the most favored nation (MFN) for all goods decreased from 9.65% to

0.87%, including agricultural products from 12.53% to 7.1 % and non-agricultural from 9.44% to 0.46%. In 2015, the average of preferential tariffs were 0.72%, 5.88% and 0.38%, respectively (Table 2).

Table 1. The main indicators of Georgia's foreign trade in merchandise, 1994-2017

Years	million current US\$				Share in Turnover, %			Growth rate to previous year, %				Share in GDP, %		
	Export	Import	Turnover	balance	Export	Import	balance	Export	Import	Turnover	balance	Export	Import	Turnover
1994	151,2	268,0	419,8	-116,8	36.1	63.9	27.9	-	-	-	-	6.0	10.7	16.7

199 5	151, 2	391, 6	542, 8	- 240,4	27. 8	72.2	44.3	100 .0	146 .1	129. 3	205. 8	5.6	14. 5	20.1
199 6	198, 8	686, 7	885, 5	- 487,9	22. 5	77.5	55.1	131 .5	175 .4	163. 2	203. 0	6.4	22. 2	28.6
199 7	239, 8	943, 5	1183 ,3	- 703,7	20. 3	79.7	59.5	120 .6	137 .4	133. 6	144. 2	6.8	26. 9	33.7
199 8	189, 0	883, 2	1071 ,2	- 694,2	17. 6	82.4	64.8	78. 8	93. 6	90.5	98.6	5.2	24. 5	29.7
199 9	240, 7	622, 6	863, 3	- 381,9	27. 9	72.1	44.2	127 .4	70. 5	80.5	55.0	8.6	22. 2	30.8
200 0	324, 0	709, 0	1033 ,0	- 385,1	31. 4	68.6	37.3	134 .6	113 .9	119. 6	100. 8	10.6	23. 2	33.8
200 1	317, 6	753, 3	1070 ,9	- 435,7	29. 7	70.3	40.7	96. 2	107 .6	104, 0	113. 1	9.9	23. 4	33.3
200 2	347, 8	731, 4	1079 ,2	- 383,6	32. 2	67.8	35.5	109 .5	97. 3	100. 8	88.0	10.2	21. 5	31.8
200 3	465, 3	114 1,1	1606 ,4	- 675,8	29. 0	71.0	42.1	133 .8	156 .0	148. 9	176. 1	11.7	28. 6	40.2
200 4	646, 9	184 7,9	2494 ,8	- 1201, 0	25. 9	74.1	48.1	139 .0	161 .9	155. 3	177. 7	12.6	36. 1	48.7
200 5	866, 7	249 0,9	3357 ,6	- 1624, 2	25. 8	74.2	48.4	134 .0	134 .8	134. 6	135. 2	13.5	38. 9	52.4
200 6	993, 1	368 1,2	4674 ,3	- 2688, 1	21. 2	78.8	57.5	114 .6	147 .8	139. 2	165. 5	12.8	47. 4	60.2
200 7	124 0,2	521 6,7	6456 ,9	- 3976, 5	19. 2	80.8	61.6	124 .9	141 .7	138. 1	147. 9	12.2	51. 3	63.5
200 8	149 7,7	605 8,1	7555 ,8	- 4560, 4	19. 8	80.2	60.4	121 .8	116 .1	117. 0	114. 7	11.7	47. 3	59.0
200 9	113 3,6	450 0,2	5633 ,8	-336 6,6	20. 1	79.9	59.8	75. 7	74. 3	74.6	73.8	10.5	41. 8	52.3
201 0	167 7,5	525 7,1	6934 ,6	-357 9,6	24. 2	75.8	51.6	148 .0	116 .8	123. 1	106. 3	8.1	25. 3	33.4
201 1	218 6,7	703 8,4	9225 ,1	-485 1,7	23. 7	76.3	52.6	130 .4	133 .9	133. 0	135. 5	9.0	28. 9	37.9
201 2	237 6,2	803 6,9	1041 3,1	-566 0,7	23. 3	76.7	54.4	108 .7	114 .2	112. 9	116. 7	9.1	30. 7	39.8
201 3	290 9,5	801 1,6	1092 1,1	-510 2,1	26. 6	73.4	46.7	122 .4	99. 7	104. 9	90.1	10.8	29. 9	40.7

2014	286 0,7	859 3,3	1145 4,0	-573 2,6	25. 0	75.0	50.0	98. 3	107 .3	104. 9	112. 4	10.0	29. 5	39.3
2015	220 4.7	730 0.3	9505 .0	- 5095. 6	23. 2	76.8	53.6	77. 1	85. 0	83.0	88.9	15.8	52. 2	68.0
2016	211 3.1	729 4.6	9407 .7	- 5181. 5	22. 5	77.5	55.1	95. 8	99. 9	99.0	101. 7	14.7	50. 7	65.4
2017*	272 8.0	798 2.7	1071 0.6	- 5254. 7	25. 5	74.5	49.1	129 .0	109 .4	113. 8	101. 4	18.0	52. 6	70.6

Source: The table is compiled and calculated according to the annual "Statistical Yearbook of Georgia" and "External Trade of Georgia", 1995-2017.

Table 2. Average tariffs for the import of products in Georgia

Product group	Tariff type	2002	2006	2010	2015
All products	Average of MFN tariffs	9.65%	8.68%	0.68%	0.87%
	Average of preferential tariffs	9.65%	8.16%	0.65%	0.72%
Agricultural	Average of MFN tariffs	12.53%	12.65%	9.16%	7.1%
	Average of preferential tariffs		12.05%	8.7%	5.88%
Non-agricultural	Average of MFN tariffs	9.44%	8.42%	0.07%	0.46%
	Average of preferential tariffs		7.91%	0.06%	0.38%

Source: ITC, Market Access Map.  
<http://www.macmap.org/CountryAnalysis/AverageTariffResult.aspx?country=SCC268|Georgia&bysection=0>

The low level of Georgia's export diversification is one of the most acute problems of the country's economy, as it indicates the low efficiency of its foreign trade. Diversification of exports is directly related to the diversification of the national economy. Therefore, first of all, its progressive diversification is necessary: the main emphasis should be made on the development of industries with a high share of added value. At the same time, one should not limit oneself to exporting material and technical goods, special attention should be paid to trade in services and technologies. Diversification in this direction is of great importance for the Georgian economy, since the share of services in GDP in the country is about 2/3 (Korganashvili, 2017, 2014).

For the development of trade in technology requires a knowledge economy, the importance of which has increased greatly. This is due to the effect of the following trends: technological globalization and increasing role of human capital; the growth of innovation as an organized activity; the emergence of the "New Economy" on the basis of the revolution in information and communication technologies; development of innovative infrastructure and innovation management system at the national and international levels; mass and accessibility of higher education; the complication of the system "science-technology-production-consumption", etc. (Korganashvili L. 2015, 2014).

### Georgia's integration into world trade in merchandise

Georgia is a small country and its role in world trade is insignificant. In 2016, the share of Georgia's exports and imports in world exports and imports of goods amounted to 0.01 and 0.04%. In terms of their volume, the country took 128<sup>th</sup> and 106<sup>th</sup> places (WTO). In 2017, five of the main trading partners were Turkey (\$1,589,377.7 th. – 14.8%), Russia (\$118,367.7 million – 11.1%), China (\$939,518.6 th. – 8.8%), Azerbaijan (\$81,904.2 th. – 8.2%) and Ukraine (\$566,601.4 th. – 5.3%). Russia (\$394,712.4 th. – 14.5%), Azerbaijan (\$ 272172.5 th. – 10.0%), Turkey (\$211.67 million – 7.9%), Armenia were the main export trading partners (7.7%) and China (\$207218.0 th. – 7.6%), on imports – Turkey (\$1372802.7 th. – 17.2%), Russia (\$394788970.2 th. – 9.9%), China (\$732,292.9 th. – 9.2%), Azerbaijan (\$609721.8 thousand – 7.6%) and Ukraine (\$ 445147.0 thousand – 5.6%) (Geostat).

The degree of integration of a country into world trade can be estimated by the Enabling Trade Index (ETI). It assesses the extent to which economies have in place institutions, policies, infrastructures and services, facilitating the free flow of goods over borders and to their destination. ETI is calculated using four sub-indexes: Sub-index A – market access; Sub-index B – border administration; Sub-index C – infrastructure; Sub-index D – operating environment. Sub-index A measures the extent and complexity of a country's tariff regime as well as tariffs. There are two pillars in this sub-index. Sub-index B measures border administration of a single pillar, which assesses the efficiency and transparency of the border administration. More specifically, it captures efficiency, transparency and costs associated with importing and exporting goods. Sub-index C assesses the availability and quality of transport infrastructure of the country, associated services, and communication infrastructure, necessary to facilitate the movement of goods within the country and across the border. Sub-index D consists of a single pillar, which has a significant impact on the quality of its products, imports, and trade and transport merchandise to do business. According to the Enabling Trade Index in 2016, Georgia ranks 41<sup>st</sup> among 136 countries, and in 2014 it was on the 46<sup>th</sup> place among 134 countries. Under sub-index A Georgia is on the 15<sup>th</sup> place, sub-index B – 39<sup>th</sup>, sub-index C – 73<sup>rd</sup> and sub-index D – 33<sup>rd</sup> (Table 3).

Table 3. Enabling Trade Index, 2016

	Rank	Score
Enabling Trade Index	41	4.8
Subindex A: Market access	15	5.2
Pillar 1: Domestic market access	9	5.9
Pillar 2: Foreign market access	33	4.6
Subindex B: Border administration	39	5.3
Pillar 3: Efficiency and transparency of border Administration	39	5.3
Subindex C: Infrastructure	73	3.8
Pillar 4: Availability and quality of transport Infrastructure	76	3.3
Pillar 5: Availability and quality of transport services	98	3.6
Pillar 6: Availability and use of ICTs	65	4.6
Subindex D: Operating environment	33	4.8
Pillar 7: Operating environment	33	4.8
Weforum. The Global Enabling Trade Report. 2016, pp.136-137 <a href="http://www3.weforum.org/docs/WEF_GETR_2016_report.pdf">http://www3.weforum.org/docs/WEF_GETR_2016_report.pdf</a>		

The most problematic factors for importing are: high cost or delays caused by international transportation, tariffs and non-tariff barriers, high cost or delays caused by domestic transportation, burdensome import procedures, inappropriate telecommunications infrastructure, domestic technical requirements and standards, corruption at the border. In turn the most problematic factors for exporting are: identifying potential markets and buyers, inappropriate production technology and skills, technical requirements and standards abroad, access to trade finance, difficulties in meeting quality/quantity requirements of buyers, access to imported inputs at competitive prices, burdensome procedures at foreign borders, high cost or delays caused by international transportation, rules of origin requirements abroad, corruption at foreign borders, high cost or delays caused by domestic transportation and tariff barriers abroad (Weforum, 136). For the further development of Georgia's foreign trade and its full-fledged integration into world trade in goods, first of all these problems should be resolved.

Table 4 shows the estimates of efficiency of foreign trade of Georgia and its import dependence on top trade partners in 2017. The effectiveness of foreign trade is the ratio of exports to imports and import dependence on trading partners shows the ratio of imports to exports. As seen in Table 4, from 10 major trading partners of Georgia only trade with Bulgaria can be considered effective. Georgia has a strong import dependence on Germany, Turkey and China.

Table 4. Efficiency of Georgia's foreign trade and its dependence from imports of top trading partners, 2017

Countries	Exports, thsd. US Dollars	Imports, thsd. US Dollars	Export/Import*	Import/Export*
Total	2727971.5	7979435.0	0,34	2,92
Of which:				
Turkey	216567.1	1372802.7	0,16	6,34
Russia	394712.4	788970.2	0,50	2.00

China	207218.0	732292.9	0,28	3,53
Azerbaijan	272172.5	609721.8	0,4	2,24
Ukraine	124449.8	445147.0	0,45	3,58
Armenia	208701.5	281137.6	0,74	1,35
Germany	45361.6	433330.0	0,10	9,55
United States	121794.2	267746.1	0,45	2,20
Bulgaria	178827.4	155551.2	1,15	0,87
Italy	69278.0	217299.6	0,32	3,14
Other countries	888888.9	2675435.9	0,33	3,01
* Calculated by the author. Source: <a href="http://geostat.ge/cms/site_images/_files/english/bop/FTrade_2017_ENG-with%20cover.docx.pdf">http://geostat.ge/cms/site_images/_files/english/bop/FTrade_2017_ENG-with%20cover.docx.pdf</a>				

Despite the negative trends in the development of Georgia's exports, the country has the potential to increase it. As shown in Table 5, Georgia has revealed comparative advantages for such products as Minerals, Food Products, Vegetable, Metals, Transportation and Chemicals.

Table 5. Revealed comparative advantages of exported goods of Georgia

Products	Georgia $X_{ij} : X_{it}$	World $X_{wj} : X_{wt}$	RCA <sub>ij</sub>
Animal	2.15	2.20	0.98
Vegetable	9.20	3.44	2.67
Food Products	17.52	3.40	5.15
Minerals	9.36	1.52	6.16
Fuels	2.70	11.01	0.25
Chemicals	10.17	9.14	1.11
Plastic or Rubber	1.24	4.34	0.29
Hides and Skins	0.26	0.73	0.36
Wood	0.95	2.47	0.38
Textiles and Clothing	3.18	4.50	0.71
Footwear	0.15	0.92	0.16
Stone and Glass	2.20	4.94	0.45
Metals	16.85	6.91	2.44
Mach and Elec	2.50	25.11	0.10
Transportation	20.56	10.13	2.03
Miscellaneous	1.02	9.25	0.11
Calculated by the author. Source: WITS <a href="http://wits.worldbank.org/CountryProfile/en/GEO">http://wits.worldbank.org/CountryProfile/en/GEO</a> , <a href="http://wits.worldbank.org/CountryProfile/en/Country/WLD/Year/2014/TradeFlow/Export/Partner/all/Product/90-99_Miscellan">http://wits.worldbank.org/CountryProfile/en/Country/WLD/Year/2014/TradeFlow/Export/Partner/all/Product/90-99_Miscellan</a>			

## Conclusions

The processes of liberalization of the economy in Georgia significantly change the nature of foreign trade relations. The country is gradually improving the terms of trade, but there are serious problems in this area. Among them, one should note the strong dependence on imports, the irrational commodity structure, the decrease in the share of capital goods, the high level of concentration, the low level of diversification, the underdeveloped infrastructure, etc. In this regard, Georgia should optimize the structure of the economy, find resources to stimulate exports and implement policies substitution of imports, increase of innovative potential, etc. Addressing the trade deficit and increasing exports should become one of the main tasks of Georgia's economic development. The country needs a development strategy that will reduce the impact of negative external factors and increase the level of independent development.

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## What Role Do I Play in My Learning? A Study on the Academic Engagement of Higher-Education Students

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### Abstract

The study of academic engagement has gained international visibility due to various factors operating in the social environment, such as fragmentation, 'liquidity' in interpersonal relations, etc., which end up affecting the persistence rates in studies, or its manifestation in an increasing rate of desertion in higher studies on the part of Argentine students. This research has been carried out within this framework, where 350 students of University and College education, who are enrolled in technical, humanistic-pedagogical and economic studies, completed the Academic Engagement Scale (Daura & Durand, 2018) with the purpose of analyzing, on the one hand, their level of involvement with their studies; and on the other hand, inquiring on the existing connection with demographic variables.

**Keywords:** academic engagement, measuring devices, higher education.

### 1. Introduction

We live in a social context featured by fastness, superficiality, successfulness, seduction, instability, consumerism, the lack of a sense for which to live, and the questioning of ideas (Bauman, 2013)

Faced with this, in the educational field some thinkers, academics, researchers and pedagogues come up, as beacons lightning the road and acting as a gust of air that oxygenates, and they try to give light and provide solutions for improvement to what at first glance seems negative and even destructive.

Among the topics widening the horizon is the academic engagement, a meta-construct which investigation is introduced even with a certain paradox, if we take into account the above-mentioned environment and the meaning of the first term that makes it up. Admittedly, undertaking a commitment entails complying with the word given, being loyal and honest to oneself and to others, taking responsibility for the decisions made. At the same time, the engagement may be personal and collective and, in the school or academic path, it entails assuming a specific role; to this extent, it is colloquially said that a student or an institution are committed when they carry out the tasks concerning them.

To this extent, its study and analysis is valid if it is considered in connection with the serious problem of desertion. It is widely-known that the graduation rate of the Argentine university system is one of the lowest in the region and in the world; out of 100 students being admitted at the public education sector 74 do not graduate; while in the private sector, for the same number of students, 58 do not finish their studies. As regards the further education level, 55% of students who enroll at teacher training centers drop out in the first year of studies, and the graduation rate does not exceed 30% (Centro de Estudios de la Educación Argentina, 2018; Fernández, June 5<sup>th</sup>, 2018; Marcó del Pont, November 7<sup>th</sup>, 2017). Even those who are most critical of the educational and economic policies adopted last year say that more than 19,500 students dropped out of school in the 2017 academic year (Fdel, Jan, 31, 2018).

Within this framework, the present study is made, with the participation of 350 University and Further-Education-Level students who are taking technical, humanistic-pedagogical and economic studies in the province of Buenos Aires and in the Autonomous City of Buenos Aires (CABA), who completed the Academic Engagement Scale (Daura & Durand, 2018) with the purpose of analyzing, on the one hand, their level of involvement with their studies; and on the other hand, investigating the existing connection with demographic variables.

To this end, firstly, after introducing a brief theoretical framework on the main study construct, in which such construct is defined and some of the research devices that were designed to evaluate it are described, the results achieved with the selected sample are discussed in detail.

## 2. Theoretical Framework of Reference

### What is the academic engagement?

Involvement, responsibility, mission, agreement, treaty, are synonyms used to refer to the commitment. If we delve into its etymological root, it comes from the Latin term *compromissum*, which has two prefixes. The first, 'com', comes from the Greek *koinos*, which means common, joint; while the second, *promissus*, means promise. Thus, the term, in its affirmative and positive meaning, is "an undertaken obligation; [a] given word" (Real Academia Española, 2018, w.p.) it can also be considered as a joint promise made between two parties.

The commitment is also connected to the academic field, from the translation of the construct that in English is called academic engagement, which began to be studied in the Anglo-Saxon environment as a turn or change of focus on research regarding desertion and student retention.

Its meaning already states the interaction unfolding between two parties which are supposed to undertake a responsibility facing the decision making process and the resulting actions. In connection with the school or academic environment, the main characters in this interrelation are the learner and the educational institution, represented by the heads, teachers, tutors and other members of the institution.

It is precisely in this inter-play that one of the theoretical models used as a reference to explain the construct is anticipated. Specifically, the socio-cognitive theory, in which both the student and the educational organization are considered to have a leading role in the learning process and in the connection established between them.

Although there are many definitions of academic engagement, in this model it is understood as the process where the students and the teaching institution are involved, in which the former invest time and energy to carry out academic activities, and the latter strives to implement effective educational practices (Kuh, Cruce, Shoup & Kinziey Gonyea, 2008). From this approach, the cognitive, affective-motivational and behavioral factors that intervene in the academic commitment are taken into account, which constitutes one of the most in-depth models for understanding the construct.

Fredericks, Blumenfeld and Paris (2004) specify the peculiarities of these three variables from the description of how they are seen in students (Table 1).

Table 1.

This model offers a very comprehensive vision of the construct, which allows us to approach it in an overall manner and to offer a better support to the student, as well as to the teachers or to each educational institution in order to promote it.

However, since it is a concept crossed by multiple variables that give a higher level of complexity to its approach, it is necessary to consider how to measure it in order to obtain the information necessary to assess it objectively.

### How to assess the academic engagement? Some instruments designed...

Fredricks and McColskey (2012) and Veiga, Reeve, Wentzel & Robu (2014) thoroughly describe the tools used to deepen the study of academic engagement. These include self-report scales, grading scales, interviews, and class observations. Although all of them offer advantages and disadvantages, generally speaking, Likert scales are the most frequently used because they allow us to obtain information that is not directly noticeable, and that refer to the students' perception of the object of study.

Many of the existing surveys explore the three variables recognized in the socio-cognitive model, while others focus on two or only one aspect. In addition, some surveys designed for the secondary education level are highlighted, such as the School Engagement Measure (SEM) (Fredricks, Blumenfeld, Friedel & Paris, 2005). Others apply only at university and postgraduate levels: the Motivation and Engagement Scale (MES) (Lifelong Achievement Group, 2013), the Academic Involvement Questionnaire (QEA) (Abello Riquelme, Díaz Mujica, Pérez Villalobos, Almeida, Lagos Herrera, González Puentes & Strickland, 2012), the Questionnaire of Academic Experiences (QVA) (Almeida, Ferreira & Soares, 1999), the Survey of Well-being in an Academic Context (UWES-S) (Schaufeli & Bakker, 2004).

At the same time, the importance given to the study of the construct had an impact on the implementation of programs aimed at obtaining unbiased information on the involvement of students in different countries, the results of which are used to make improvements in the education system. Within the context of these programs, the following research instruments were designed and are still being implemented: the National Survey of Student Engagement (NSSE) (Indiana University School of Education, 2016), which is applied in university institutions in the United States and Canada; the Australian Scale on Student Engagement (Australian Council for Educational Research, 2016, which is used in the southwestern region of Oceania; and the scales for undergraduate and graduate students in Great Britain and Northern Ireland (Higher Education Academy, 2015a; Higher Education Academy, 2015b).

### **3. Methodology and Procedures**

#### **3.1. Sample**

A sample of 350 first-year college and university students was made.

An exploratory and descriptive investigation was carried out because the variables to be analyzed were observed as they happened in their natural context at a given moment.

#### **3.2. Purposes**

- Analyze the level of academic engagement of students in university and college education.
- Examine the existing connection between academic engagement and various socio-demographic variables, especially, gender, type of institution and type of studies.

#### **3.3. Instruments**

##### **Socio-demographic Questionnaire**

A questionnaire was designed to collect information regarding the gender, age, institution and studies of the subjects who took part in the study.

##### **Academic Engagement Scale**

It is an instrument designed and validated in previous studies (Daura & Durand, 2018; Daura, in press) in accordance with the approaches of the socio-cognitive theory (Fredricks & McColskey, 2012; Trowler, 2010); it has a Likert scale format and is made of 56 items, with five answer options ("0", which means "completely wrong", "1" "wrong", "2" "neither true nor wrong", "3" "true" and "4" "completely true").

The instrument is divided into three sections, which, in turn, are made of 13 variables that are defined and distributed as described in the following table (table 2).

Table 2

#### **3.4. Procedure**

The appropriate permission was requested from the authorities of the institutions taking part in the study; likewise, the students who completed the questionnaires were provided with information about the purposes of the work, the confidential and voluntary nature of their participation, and were given a document which they signed giving their consent.

The time taken to complete the instruments ranged from 40 to 60 minutes.

The scores of the Academic Engagement Scale were obtained by adding the subjects' choices and converting the figure to scale 10.

The data was processed using the program SPSS -Statistical Package for the Social Sciences - version 23.0.

### **4. Analysis of Results**

#### **4.1. Descriptive Statistics of the Academic Engagement Scale**

A descriptive analysis was made (minimum score, maximum score, population average and standard deviation) of the scores obtained by the students in the Academic Engagement Scale.

Table 3 shows the scores achieved in the Motivational Engagement section, among which the average of the variables Task Assessment and Intrinsic Motivation stand out, which would make them capable of assessing the contents and learning activities proposed by the institution, and of showing an interest in acquiring new knowledge.

At the same time, the students show a high level of anxiety, an effect that could be connected with the initial moment of the studies in which they currently are, a situation that usually generates uncertainty, and the need to adapt to a new, demanding and unknown environment.

#### Table 3

As for the descriptive statistics in the Cognitive Engagement section (table 4), the students stand out in the Organization variable, which would make them capable of selecting and organizing the important ideas of the contents learnt; and in the Extrinsic Regulation section, which would lead them to follow the guidelines and suggestions offered by the teachers, an issue connected both with the moment of their studies in which they currently are, where they would need to rely more on the experience of other people more skilled to guide their learning, as well as their autonomy and the achievement of good academic results. In fact, previous studies show how the students who are more adjusted and committed to their learning tend to rely more on their environment, to seek help from other people and to make all the necessary enquiries with sharpness and sagacity (Donolo; Chiecher, Paolini & Rinaduo, 2008; Fernández Jacquez, 2015; Fredricks; Blumenfeld; Friedel & Paris, 2005; Pintrich, Smith, Garcia & Mc Keachie, 1991; Zimmerman & Schunk, 1989).

#### Table 4

As regards the descriptive statistics in the Contextual Engagement section (table 5), the average scores obtained in the variables, Positive Assessment of the Institution and Feelings of Belonging stand out, which show that students appreciate the actions carried out by the institution of which they are part of, in order to include them, which leads them to express greater interest in participating in the proposed activities and to feel part of it. These effects are linked to the "contextual model of academic engagement" of Lam, Wong, Yang and Liu (2012), in which it is argued that, as students increase their commitment to the institution, they develop more positive feelings towards it, towards the people with whom they interact (classmates, teachers, family members) and towards their own studying ability.

#### Table 5

In order to analyze to which extent the academic engagement can be explained by various socio-demographic aspects, subsequent analyses of variances (ANOVA one way) were made, in which, as dependent variables, the average scores reached by the sample in the variables of the Academic Engagement Scale were taken into account and, as an independent factor, gender, institutional level and type of studies were considered.

### 4.2. Comparison of the sections of the Academic Engagement Scale according to gender

Regarding the gender of the subjects who took part in the study, as a result of the variables analysis made, we notice that in the motivational section (Figure 1) significant differences were found for the women in the Task assessment ( $F = 25,927$ ,  $p < 0,001$ ) and Intrinsic motivation variables ( $F = 14,979$ ,  $p < 0,001$ ); on the other hand, they scored less favorably on the anxiety variable ( $F = 3.168$ ,  $p < 0.076$ ), which is close to statistically significant figures. These effects, in addition to agreeing with those reached in previous studies (Parada Contreras & Pérez Villalobos, 2014; Parra & Pérez, 2010; among others), respond to the unique profile of women, which is evidenced by greater responsibility, interest in the studies, dedication and effort to achieve academic goals and the involvement in the institutional context to which they belong.

#### Figure 1.

In connection with the cognitive engagement section, women also outperform men in the Organization ( $F = 19,084$ ,  $p < 0,001$ ) and Time and Effort Management variables ( $F = 7,0469$ ,  $p < 0,008$ ). In the Extrinsic Regulation variable, although differences close to statistical values were found, women also benefited (Figure 2).

These effects reinforce the results reported in the motivational engagement section, and evidence the ability of students to organize new knowledge, manage the time and effort needed to study, and the need to rely on instructions and suggestions from other experts (such as teachers) in order to implement learning activities. The latter may also be supported by the increased anxiety shown by women.

Figure 2.

Finally, in the Contextual Engagement section, women, compared to men, also achieved better scores in the Appreciation of the Institution ( $F = 4.0189$ ,  $p < 0.046$ ), Tutoring and Teaching ( $F = 15.062$ ,  $p < 0.001$ ), and Feelings of Belonging variables ( $F = 3.6118$ ,  $p < 0.058$ ), which could be an indication of how involved they are with the institution where they are studying (Figure 3).

Figure 3.

#### **4.3. Comparison of the sections of the Academic Engagement Scale in terms of the institution of belonging.**

The same analysis was made in order to confirm whether there are statistically significant differences in the scale of engagement based on the institution of belonging. To this extent, the sample was divided into two subgroups: University Level, made up of 225 students enrolled in university studies; and College Level, made up of 125 students enrolled in studies conducted by Teacher Training Institutes.

In the motivational engagement section (Figure 4) we noticed some interesting results that benefit college level students in the Task Assessment ( $F = 10,120$ ,  $p < 0,002$ ) and Intrinsic Motivation variables ( $F = 11,833$ ,  $p < 0,001$ ); and university level students in Extrinsic Motivation ( $F = 18,443$ ,  $p < 0,001$ ) and Anxiety variables ( $F = 4,523$ ,  $p < 0,001$ ). These effects could indicate the presence of two types of motivational engagement profiles which, in the case of students undergoing college studies, could be deeper and could be evidenced by the appreciation of the contents and activities offered by teachers and tutors, as well as by the interest in acquiring new knowledge. On the other hand, in university students, the motivational engagement could be superficial, insofar as it would be directed towards acquiring new knowledge to satisfy external motivations, without worrying too much about the repercussions that this might have.

These results are consistent with other factors that are not analyzed here, such as, for example, the socio-economic level of the sample that took part in the study or the place of residence and proximity to the institution in which the studies are taken.

Figure 4.

In the cognitive engagement section (Figure 5), college students were favored in the use of Deep Strategies ( $F = 4.523$ ,  $p < 0.034$ ); while university students had a greater command of Basic Strategies ( $F = 3,823$ ,  $p < 0,051$ ), Extrinsic Regulation ( $F = 2,902$ ,  $p < 0,089$ ) and Time and Effort Management ( $F = 4,676$ ,  $p < 0,031$ ). These effects show that, while college students could have a greater ability to think reflexively and critically, make decisions, and accept the opinions of others, the performance of the commitment in this regard could be undermined by the failure to take advantage of the guidance provided by teachers or other experts, as well as by a reduced willingness to make the effort and organize the time needed to study; one might even think of these effects as a result of the influence of the institutional context, which in the case of these students offered less personal support.

Figure 5.

The last idea pointed out is based on the results obtained in the Institutional Engagement section (Figure 6) in which, although statistically significant differences were only reached in the Feelings of Belonging variable, in favor of university level students ( $F = 94,312$ ,  $p < 0,001$ ), the scores obtained in Positive Assessment of the Institution and in Tutoring and teaching also benefitted this group of students.

Figure 6.

#### **4.4. Comparison of the sections of the Academic Engagement Scale according to the type of studies.**

A new analysis of variances was made to confirm whether there are differences in the variables that make up the Academic Engagement Scale depending on the studies. For this purpose, the students sample was organized into three types of studies, in which case the supporting epistemic area was considered:

- Technical studies: 100 students enrolled in Industrial Engineering and Computer Engineering were recruited here.
- Humanistic-pedagogical studies: a group made up of 78 students who were enrolled in Psychology, bachelor studies in Psychopedagogy, History, Higher Education and Primary Education.

•Degrees in Economics: in which 111 students studied Bachelor of Business Administration, Bachelor of Agribusiness, Public Accountancy and Professorship in Economics.

In connection with motivational engagement, in the Task Assessment variable, the scores achieved benefit students who take Humanistic and Economic studies ( $F = 5.538, p < 0.004$ ) ( $X = 7.44$  and  $X = 7.45$ , respectively). Likewise, Humanistic students also obtained the highest score in Intrinsic Motivation ( $F = 8,001 p < 0,001$ ) and in Anxiety ( $F = 3,326, p < 0,037$ ); the latter effect does not benefit them and may be strongly influenced owing to the fact that the group is made up of a greater proportion of women.

Figure 7.

In the cognitive engagement section (graphic 8), students of humanistic programs outperformed others in the deep Strategies variables ( $F = 8,132, p < 0,001$ ); these same students, along with those of Economic Studies, also reached the highest score in the Organization variables ( $F = 7,924, p < 0,001$ ), proving to be more efficient in carrying out critical and reflexive reasoning, as well as incorporating new knowledge with the previously learned one.

Figure 8.

Finally, in the contextual engagement section (Figure 9), those who stated to have a greater connection with teachers and tutors are the students of Humanistic Studies, an effect which may be influenced by the fact of an affinity as regards the inherent duties of the future professional' role. ( $F = 4,912 p < 0,008$ ), or with the interest in learning from other people who are more expert. On the other hand, students of Technical Education were ahead of others in the Feelings of Belonging variable ( $F = 9,807, p < 0,001$ ).

Figure 9.

## Conclusion

We believe that academic engagement implies the fulfillment of a promise made by two parties involved in the educational process: the student and the institution to which he or she belongs. The promise at issue concerns an academic goal that binds and connects these parties even closer, and that is related to starting and completing studies as successfully as possible. The scope of this goal implies challenges for both parties, which may be properly faced as long as dialogue and interaction are fluid and encourage mutual knowledge. On this basis, the study of academic engagement surpasses the approach of desertion and student retention, which concepts preceded it, and with which it shares some common questions, on the one hand, what are the reasons that influence students to drop their studies?, and on the other hand, what are the variables that encourage students to remain in the institution where they are studying?

We reassert that academic engagement has a unique focus in as much as it is based on interaction, on the participation that takes place between the student and the institutional parties, and is therefore process-based. It is not focused on identifying the consequences of the resulting failure - dropout of studies - or on the factors that help retaining the student, but on strengthening that relationship. This view makes the construct have an approach that, besides being preventive, is more customized; this idea supports, on one hand, the assertions made by Fredricks, Blumenfeld, Friedel and Paris (2005) regarding the existing relationship between academic engagement and self-regulated learning, and on the other hand, the assertion made in previous works on the "co-regulated customized spiral of learning" (Daura, 2013a, 2013b, 2017), a theoretical model which explains that at higher levels of support and advice provided by teachers, students improve the motivational and cognitive strategies they use in order to learn.

In accordance with these assumptions, this paper examines the results of a research conducted on 350 students of university and college education in Buenos Aires City and Buenos Aires Province, in order to measure their levels of academic engagement and connect these results with various socio-demographic variables. To this end, a questionnaire was administered in order to obtain information on gender, studies, and educational institution; as well as the Academic Engagement Scale (Daura and Durand, 2018).

As a result of the subsequent analysis, it was observed that the students who took part in the study, at the motivational engagement level, stand out for having a greater appreciation of the learning contents and the interest in grasping these contents. At the cognitive level, they stand out for organizing new knowledge and tending to follow the guidance offered by teachers; finally, at the contextual engagement level, for appreciating the institutions they are part of, and for having a feeling of belonging to them.

In this regard, the results obtained, although very positive, indicate the need to guide students so that they may develop a higher level of regulation of anxiety; and that they may make a greater use of deep thinking strategies as well as time management strategies to study. In addition, at the institutional level, tutorial strategies or academic counseling oriented to guide students' learning and favor their participation in the institution should be improved.

Connecting these results to demographic data shows that women have higher levels of motivational engagement; a greater cognitive engagement in the Organization, Extrinsic Regulation and Time and Effort Management variables; and a greater contextual engagement. These effects could be associated with previous studies on self-regulation and academic success, which evidence that women tend to show higher levels of performance (Meza Cano, de la Rosa Gómez, Rivera Baños & González Santiago, 2018; Ndirangu, Muola, Kithuka & Nassiuma, 2009; Suarez Riveiro, Ayana Nieto & Gómez Veiga, 2016; Vrugt & Oort, 2008; just to mention a few).

On the other hand, College students stand out for achieving better scores in all motivational variables; an effect that was reversed in cognitive variables, where they only reached the highest score in Deep Strategies and in contextual variables. Although it would be convenient to go deeper into the influence of age on these results, it is possible to assume that the higher levels of motivational engagement of students in college institutions will be associated with vocational variables. Indeed, the studies pursued by these students have a pedagogical orientation that is strongly related to both service and the desire to guide others to develop their full potential.

A similar result was observed when comparing the sections of the scale of academic engagement by type of studies, in which analysis the students of Humanistic Sciences were benefited both in motivational engagement and in two important variables of cognitive engagement, as well as in the Tutoring and Teaching variable in the contextual engagement section.

According to these results, it would be convenient, in future researches, to delve into the incidence of age in the development of academic engagement, on the existing differences between studies with pedagogical and humanistic orientation in connection with students' involvement. Likewise, it would be beneficial to compare these results with qualitative information obtained through interviews, focus groups, and life experiences, through which the subjectivity of the parties involved could be examined in greater depth.

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**Tables**

Table 1.  
Characteristics of the variables that make up the academic engagement

	Variable	Manner in which it shows in students
Academic engagement	Behavioral Engagement	Compliance with rules of co-existence established in the classroom and in the institution in general: Paying attention, participation, respectful acceptance of other people's ideas and effort regulation
	Emotional engagement	Intrinsic motivation Extrinsic motivation Task appreciation Anxiety regulation Regulation of other negative emotions
	Cognitive Engagement	Thought elaboration Meta-cognition Critical or reflexive thinking Organization

Source: own elaboration from Fredericks, Blumenfeld and Paris (2004)

Table 2. Description of the 13 extracted variables

Section 1. Motivational Engagement: made of 17 items, it studies four motivational affective components	
Task Assessment	It shows the usefulness, the importance and value given to the contents, and to the learning activities given in the institution.
Intrinsic Motivation	It shows the interest in learning the contents and/or bibliographic material suggested by the institution.
Extrinsic Motivation	It shows an interest in studying in order to satisfy external motivations (such as getting good grades, obtaining recognition from others), and to learn on the basis of the guide provided by the context
Anxiety	It shows the anxiety felt in stressful situations of academic life, such as an examination.
Section 2. Cognitive Engagement: made of 27 items that study the cognitive strategies used to learn, by means of the following variables:	
Deep Strategies	It shows the extent to which elaboration strategies are used and the extent to which prior knowledge is used in order to solve problems, make decisions, conduct critical assessments, and accept the opinions from others.
Basic Strategies	It shows the extent to which review strategies are used to learn to re-read class notes, memorize Keywords or concepts).
Organization	It shows the ability to select and organize the important concepts of the studying material.
Extrinsic Regulation	It shows the strategies applied by the subject when adjusting to the indications made by the teacher.
Management of Time and Effort	It indicates both the personal willingness to strive for academic work, even when difficult, and the ability to organize the time needed to study
Team Work	It shows the willingness to work and learn as a team in the institutional environment.
Section 3. Contextual Engagement: made of 12 items that assess the actions the institution carries out in order to support the student and promote his/ her academic involvement, as well as the participation of the latter in the activities proposed by the institution and his/ her identification with the moral standards fostered by the educational institution. Such items are distributed in the following variables:	
Positive Assessment of the Institution	It indicates the extent to which the student appreciates various actions that are carried out on the part of the institution to promote different skills and encourage integration among students.
Teaching and Tutorship	It shows the extent to which the actions carried out by tutors and teachers are appreciated in order to facilitate students' learning and encourage their participation in the institution.
Feelings of belonging	It assesses the feelings of belonging that the student has and that are promoted by the institution by means of various academic activities.

Source: Daura and Durand (2018)

Table 3  
Description of the Motivational Engagement section

Variables of the Motivational Engagement section	Students	Minimum Score	Maximum Score	Average	DS
Assessment of the task	150	2,81	10,00	7,40	1,42
Intrinsic Motivation	150	1,88	10,00	6,92	1,81
Extrinsic Motivation	150	0,00	10,00	6,05	2,00
Anxiety	150	0,00	10,00	5,03	2,18

Source: own compilation

Table 4  
Description of the Cognitive Engagement section

Variables of the Cognitive Engagement section	Students	Minimum Score	Maximum Score	Average	DS
Deep Strategies	150	1,25	10,00	6,25	1,54
Basic Strategies	150	0,00	10,00	4,41	2,31
Organization	150	0,63	10,00	7,20	1,80
Extrinsic Regulation	150	0,00	10,00	6,59	1,69
Management of time and effort	150	0,50	10,00	5,73	1,86
Team work	150	0,83	10,00	6,10	1,74

Source: own compilation

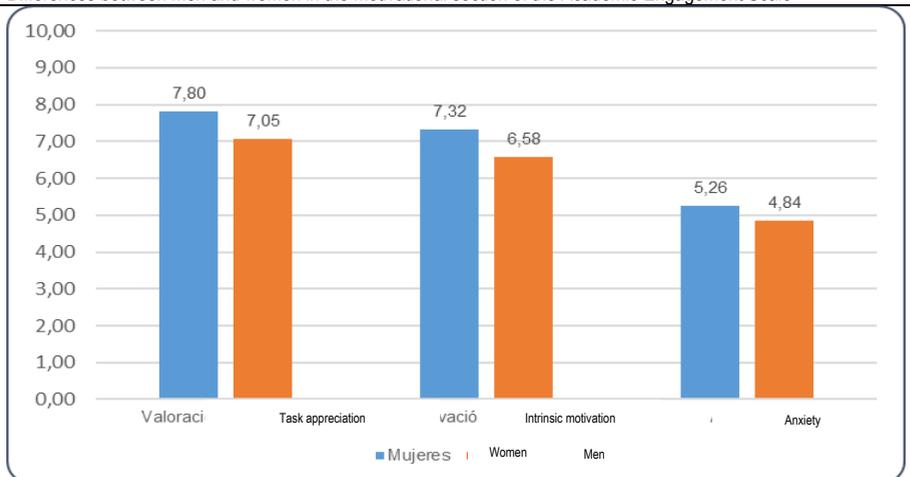
Table 5  
Description of the Contextual Engagement section

Variables of the Contextual Engagement section	Students	Minimum Score	Maximum Score	Average	DS
Positive Assessment of the Institution	150	1,25	10,00	6,98	1,74
Teaching and Tutorship	150	0,00	10,00	4,57	2,18
Feelings of belonging	150	0,63	10,00	5,42	1,70

Source: own compilation.

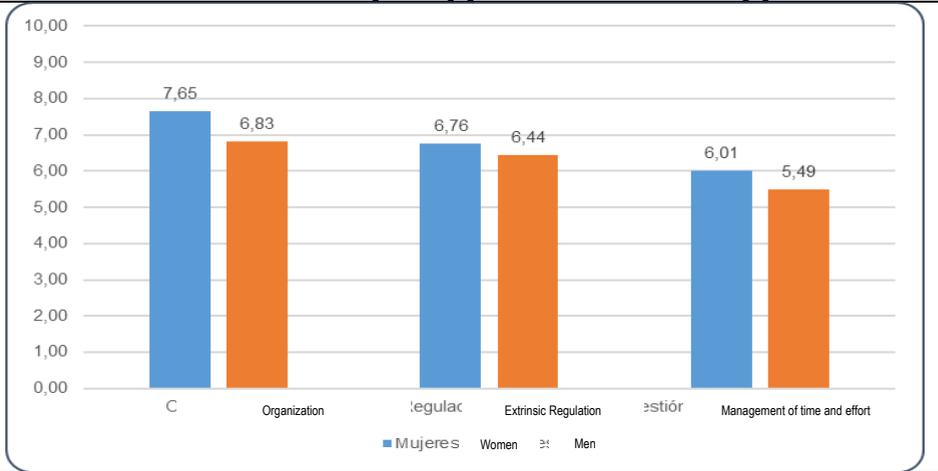
## Figures

Figure 1.  
Differences between men and women in the motivational section of the Academic Engagement Scale



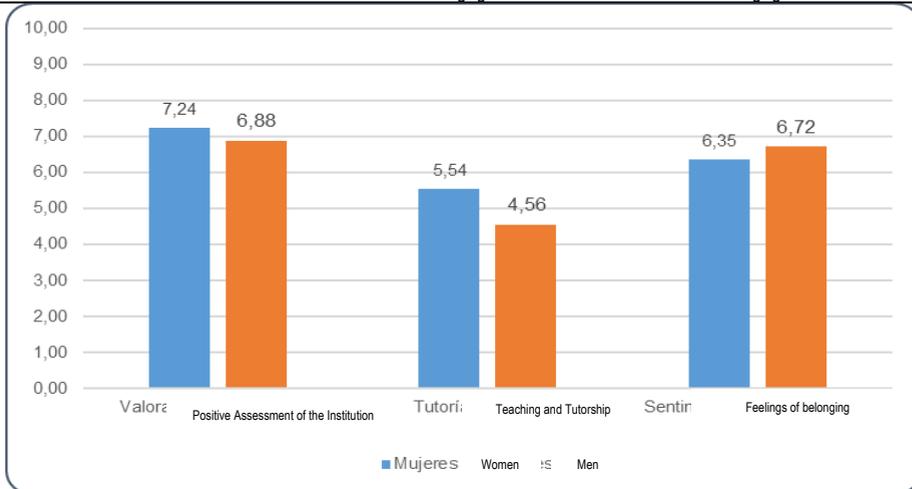
Source: own compilation

Figure 2.  
Differences between men and women in the cognitive engagement section of the Academic Engagement Scale



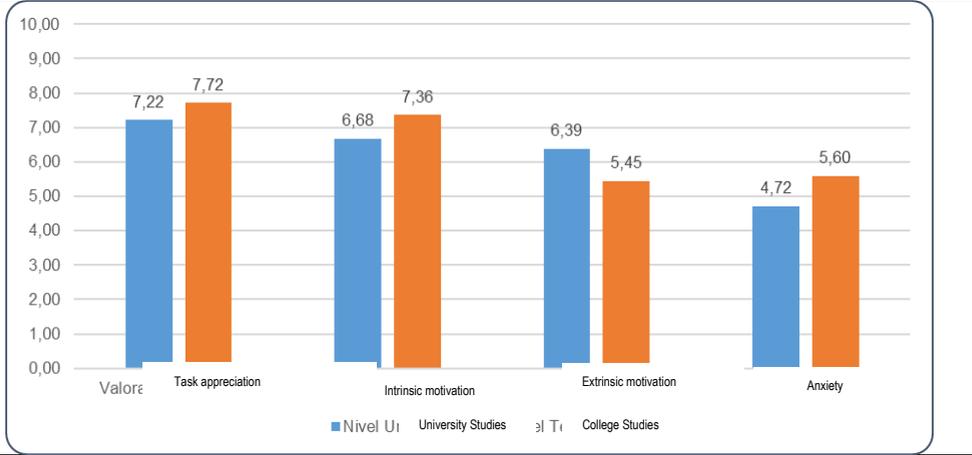
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Figure 3.  
Differences between men and women in the contextual engagement section of the Academic Engagement Scale.



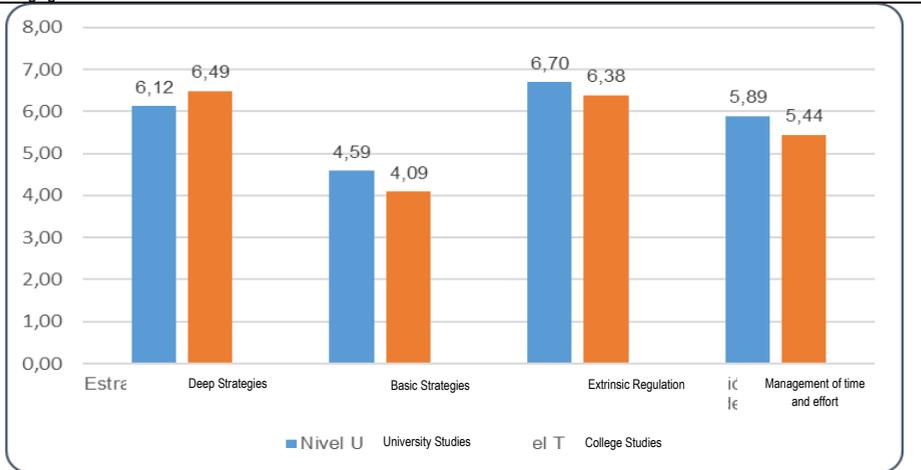
Source: own compilation

Figure 4.  
Differences between university and college students in the motivational engagement section of the Academic Engagement Scale.



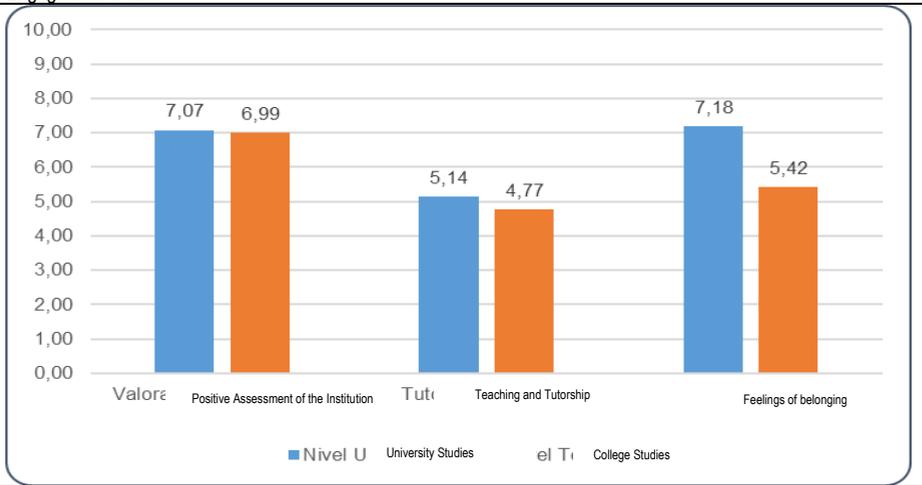
Source: own compilation

Figure 5.  
Differences between university and college students in the cognitive engagement section of the Academic Engagement Scale.



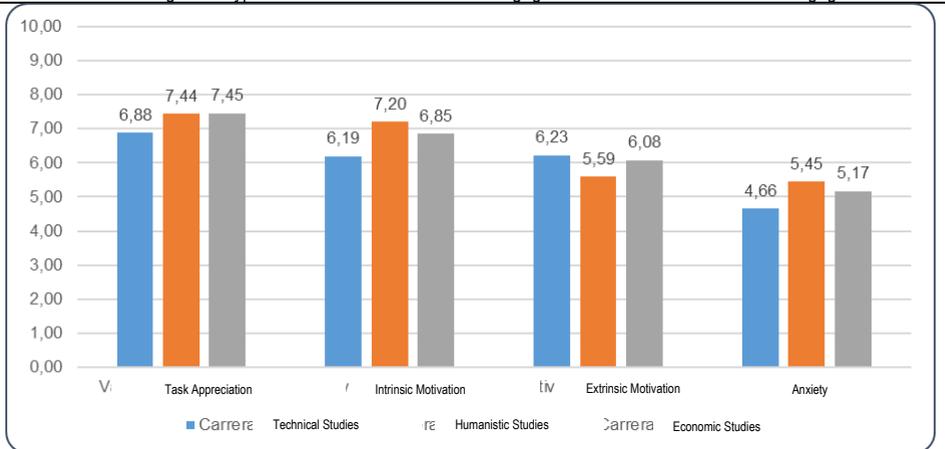
Source: own compilation

Figure 6.  
Differences between university and college students in the contextual engagement section of the Academic Engagement Scale.



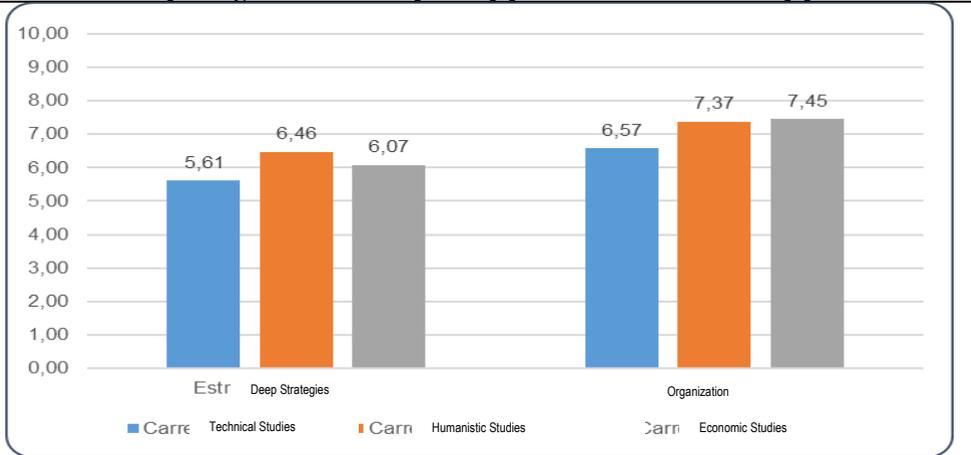
Source: own compilation

Figure 7.  
Differences according to the type of studies in the motivational engagement section of the Academic Engagement Scale



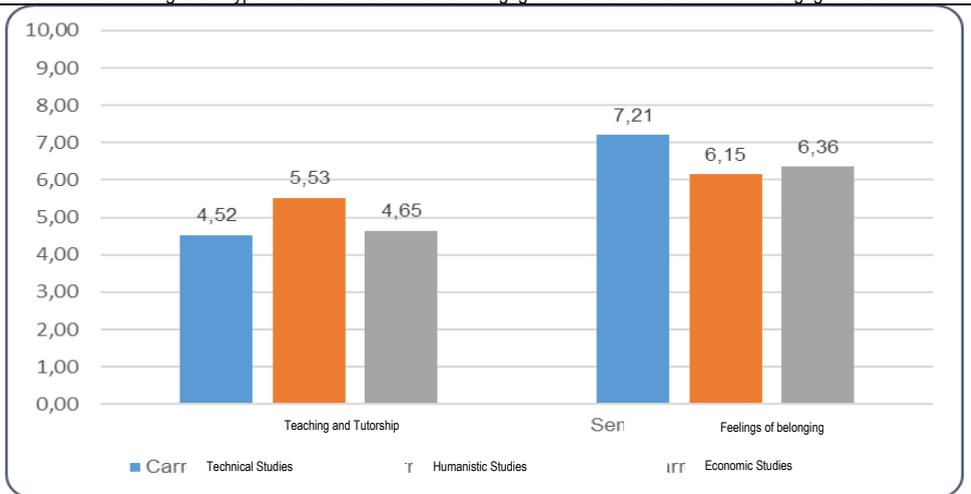
Source: own compilation

Figure 8.  
Differences according to the type of studies in the cognitive engagement section of the Academic Engagement Scale



Source: own compilation

Figure 9.  
Differences according to the type of studies in the contextual engagement section of the Academic Engagement Scale



Source: own compilation

## The Role of Universities Sport in the Promotion of Social Equality and Integration

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### Abstract

This paper understands Sports as a holistic phenomenon with a fundamental role in the promotion and maintenance of well-being as an historical and social practice, connected with the construction of the world and its significances. Universities Sports plays a fundamental role in the Higher Education Institution's governance, as well as in the life of the students who attend them and the academic community. The role of Universities Sports is analysed according to the promotion of Social Equality and Integration, in the dimensions of Social Status perception, Respect, Mutual Consideration, Concern about the Similar One, as well as in the Notions of Community, Fraternity and Solidarity. Reflexions are established upon Gender Equality, Respect for Sexual Orientation, Ethnic Diversity, Violence and Access to Goods and Opportunities. Assuming a constructivist ontological understanding and an interpretative epistemological reasoning, this investigation presents a Transnational Multiple Case-Study, comparing Universities Sport organization in Portugal and in Italy, using Mixed Methods. The main outcome establishes a close relationship between Universities Sport and the Goals of the Southern European Social States, indicating a dialog between these and the production of a welfare society. The role of Sport as a catalyst for social change is also explored, as it diverts the focus from the individual to the community level, promoting the accountability and the training of the subject for a responsible and constructive social intervention in the public and private spheres.

**Keywords:** Universities Sport, Social Integration, Social Equality, Social Problems, Sports Management.

### Introduction

Sport appears as an uninterested and spontaneous phenomenon. From the French *deport*, indicating "free time" or "after work" the ethymology indicates it very clearly. Despite this, the notion of sport as an event for the masses only appears in the literature after the XIX century due to its previous use as an aristocratic and exclusive activity. Sport for the masses come with the industrial revolution and the institutionalisation, in 1896, of the Modern Olympic Games (Pires, 2005). The rise of sport to the status of biggest human phenomenon during the XX century, commands the attention of the Governmental structures around the world when it comes to its sports policies and the way they shape and influence and reinforce the political action.

Modern games mirror an idealistic idea of society as it focuses on the alienating sporting feats to convey the charm of a fair an equal world, tackling the implicit supremacy of one country over the other (Guimar, 2003). Sport was described as phenomenon conveying the "essence of life", "beauty", "justice", "audacity", "honour", "joy", "progress" and "peace" by Pierre Coubertin under the pseudonym of Georges Hohrob and M. Eschbach (Sérgio, 1991; Esteves, 1999). Sport was used to promote the union of different people and countries, and generated social discussions that predicted world problems, such as Human Rights in 1933 with the Berlin Games, 1934 with the regime of Mussolini and the World Football Cup, 1968 with the Black Power movement in the City of Mexico Olympiads. As a tool for the social state, sport may constitute a fundamental piece for the assessment of conditions of living, democratisation and participation, given the correct instrumentalization (Heinemann, 2005). In Portugal, the geographical distribution of the 1<sup>st</sup> league football clubs in the territory is a good predictor of the degree to which the local economy is developed. Also, the international players transfer market can reinforce the trust between two nations (Mezzadri, Moraes e Silva, Figuêroa, & Starepravo, 2015).

These acceptions make the sporting phenomenon very much politically active. The idea of a sovereign state is based upon the Vestephalian idea of mutual acknowledgement of the state's autonomy, mutual respect for borders and the principal of

autonomy (Olsen & March, 2001). Sport has been used to fulfil many goals. Does it have responsibility in what comes to the stability of the social fabric? Is sport a political tool?

Three Worlds of the Welfare State have been described by Esping-Andersen (1990) as either Liberal, Social-Democrat and Conservative. But the literature also suggests the existence of the Southern Welfare regimes, where a cluster made out of Portugal, Italy, Spain and Greece compose a typology that derives from the typical Conservative regime (i, 1992; Petmesidou, 1996, Ferrera, 1996) and is characterised by unstable salary levels, low degree of state penetration in social protection, familiarism as a primary form of care, clientelist ways of accessing the mechanisms of wealth distribution and a combination of public and private institutions on the protection of the population (Karamessini, 2008).

Six moral values are referenced for what Social States, regardless of the formulation, have been traditionally supporting: Poverty reduction, Promotion of Economic Efficiency, Social Equality, Social Integration, Social Stability and Autonomy (Goodin, Headey, Muffels & Dirven, 1999), thus being the areas of intervention that legitimate the State (Habermas, 1973). Couldn't Sport be a social actor in these areas? According to the Eurobarometer of the European Union in 2004, "Citizens of the European Union and Sport", 73% of the population believes sport to be important for the integration of immigrants. Furthermore, 64% of the population thinks it is a way to promote social equality and reduce discrimination. These positions are reinforced and recognised in the White Book of Sport (2007) by the European Commission. In Portugal this is reflected in 25000 sporting entities representing 1.2% of the Gross Value Added in the country, and 1.4% of the Portuguese jobs according to the Satellite Account for Sports in the years 2010-2012 (CASES, 2010). Furthermore, it reflects 48,4% of the activity of 3<sup>rd</sup> Sector entities, as shown in the Satellite Account for Social Economy (2010). This reveals the intricacies of the relationship between sport and welfare (INE, 2016; Special Eurobarometer 213, 2004).

The European Union specifically recognises the value of the social function of Sport, having indicated its importance in education, health, voluntary work and active citizenship, having been infused with the capacity for the promotion of social inclusion, integration and equality (COM, 2007). According to the European Sports Charter (1992), the Council of Europe defines Sports as "every form of physical activity that, through occasional or organised participation, aims at expressing or improve the physical conditioning and the mental wellbeing, constituting social relations or granting results in competitions of every level", containing therefore, social, economic and political responsibilities that opens itself to discriminate and deliberate use. It is an activity where individuals fight for supremacy, an advantage or an opportunity. Sport will be, throughout this article, understood from the perspective of the social structures, representing the struggle for power and status, the conflict of man against man in the complex stratification of individuals in all their difficulties and inequalities (Esteves, 1999).

The present work will dissect the social dimensions of sport from the theoretical framework of the functions of the social state, looking at the European Legislation and analysing how and with which prevalence sport is used to promote Social Equality and Integration in Portugal and Italy. Though mixed methods, a qualitative based research was prosecuted through the application of Semi-Structured Interviews and Focus Groups on two study cases: The Academic Association of Coimbra and the University Sports Centre in Reggio Calabria. Quantitative data was obtained through questionnaires on 106 Student-Athletes from over 30 cities in both countries, constituting a Trans-National study case (Bryman, 2015). A relation between University Sports and the promotion of Integration and Social Equality will be analysed, searching for a correspondence between this phenomenon and the social goals of the State as expressed by Esping-Andersen (1999).

## 1. Conceptual and Practical Delimitation of University Sports

There is a multiplicity of sporting expressions in existence. One can certainly argue that some are more influential than others in the social order, making it hard to focus on one limited slice of the phenomenon. Sport can be promoted through Associations, Clubs, Companies, Foundations and other organisations, but it has been imbedded in the Higher Education Institutions. It grew in between the XIII and XVIII centuries in the first universities in the world in Britain, Spain and Italy but only as spontaneous expressions of the concentration of people (Renson, 1999; Pires, 2005; Parente, 2011). With a more anthropocentric view of the world with the advent of Illuminism, Sport was institutionalised in the XIX century in Britain, during the period of the creation of the Modern Olympics, appearing in Portugal in the Academic Association of Coimbra (Andrade, 2008). The third period of the history in University Sports came with the first National Federations with the first ones appearing in 1905 in the USA, and 1907 in Hungary. The XX century marked the appearance of the *Fédération Internationale du Sport Université* (FISU) created by Paul Schleimer in Luxemburg to unite the Eastern and Western European countries that were competing separately. In 1959 the University Sports Centre in Italy organises the 1<sup>st</sup> edition of the Summer Universiades in Turin (FISU, 2018). An emphasis was put upon the union between the peoples of the earth and political neutrality. Similarly, the European Universities Sports Association (EUSA) is the continental structure that promotes Universities Sports in Europe, and it was created in 1999 and had the first European Championships done in

2001 in Sérvia&Montenegro and Portugal. The first EUSA Games were first organised in Cordoba, Spain, in 2012, and under the new name of "European Universities Games" were last organised in Coimbra, Portugal, in 2018.

## 2. Sport, the Social State, Equality and Integration

Sport constitutes itself as a total social fact under the perspectives of the social structures (Mauss, 1966), and it is often associated with problems such as misogyny, classism, job creation, instrumentalization, racism, economicism and politics (Santos, 2000). It is imperative to demonstrate the umbilical relation between its functions and the functions of the Social State, taking it into consideration as a complex and multifactorial reality.

The concept of Social Exclusion was developed in 1974 by Renè Lenoir, a former French Secretary of State for Social Action in 1974 in its work, *Les Exclus*, as a complex concept founded in Socio-economic problems which expresses itself as a continuous process of construction and rupture of social bonds (Castel, 1997; Costa, 1998; Paugam, 2009; Alvino-Borba & Mata-Lima, 2011). Based upon a comparative review of the definitions of Social Inclusion, the present investigation will understand it as a multidimensional process to promote cultural, social, political and economic participation, through the intervention in the various segments of vulnerable population by the identification of manifestations of dissatisfaction in their discourses and social actions, applying administrative and practical measures to invest both financial and time resources in an active and efficient way, allowing for a cohesive and dignifying opportunity to access social well-being (Hunter, 2000; Lesbaupin, 2000; Sen, 2000; COM, 2003; Kowarick, 2003; Proença, 2005; Laclau, 2006; World Bank, 2013).

In another hand, Social Equality has been contrasting with the idea of egalitarianism, meaning it is not an equalization of some kind of currency of justice, but the creation of a society that regards everyone as equal to themselves (Fourie, Schuppert and Wallimann-Helmer, 2015). Asymmetric social relations regarding oppression, exclusion and hierarchy are some of the barriers to the achievement of these goals (Sen, 2000).

These aspects do not exist independently of each other, but they are mutually reinforced. In a society with low levels of access to education there will probably be more social injustice (Wixey, Jones, Titheridge and Christodoulou, 2005). Also, social exclusion is reinforced by unemployment, precarious job contracts, poverty and lack of access to goods and services. Cultural factors such as violence, social injustice and educational gaps are some of precursors of exclusion and inequalities (Alvino-Borba & Mata-Lima, 2011). Tackling these problems depends on the capacity to articulate international, national and local structures. No Universally applied action will solve these problems, and this becomes evident when realities across the globe are analysed (United Nations Economic & Social Affairs, 2016).

## 3. The Paradox in Sport

The values adjacent to the creation of the modern Olympic movement correspond to the values of modern democracies in humanism, justice, equality, integration and laicism (Guimar, 2003), but Sport is also an event seeking the supremacy and optimization of the individual, feeding upon the overlaying of the weakest one by the strongest individual. In trying to level the playing field, is sport segregating or uniting everyone under the same rules? Where are boundaries drawn? Physical performance may be seen as an excuse to bring everyone together according to humanist principles, every individual regardless of the nation, creed, ethnicity and sexual orientation. Sport tries hard to treat equally what's equal, and unequally the unequal ones, on the exact measure of their differences (Junior, 1999). How can we keep sport as a tool for world peace and prosperity being that humanity not always follows through with its goals (Gasparini & Talleu, 2010)?

## 4. Methodology

### 4.1. Research Question, Problem and Goals

The present study assumes sport as the interrelation space between different expressions of today's societies in their different expressions, either in the top levels of organisation, government and legislation, and in the base level with the athletes, coaches and technical teams. Sport is an historically and socially ingrained practice, deeply rooted in the construction of the perceived world and its significances, allowing Humankind to live and create representations of that life. Sport coins a vision and an articulation of the individual respecting the things that surround him (Merleau-Ponty, 1999).

Given the responsibility that sport has been assuming in the European Societies, in particular in the Portuguese and Italian ones, either in the characteristics of their Social States (Goodin, Headey, Muffels & Dirven, 1999), historic connections with military dictatorship (Esteves, 1999) and the formulation of the higher education institutions, we are in the presence of two *example cases* (Bryman, 2015), fit for analysis and juxtaposition. Therefore, the research question is as follows:

*What's the role of Universities Sport in the promotion of Social Equality and Social Integration in Portugal and in Italy?*

This comprehensive problem (Booth, Colomb, & Williams, 2000), seeks to understand reality from the perspective of those who actually live it, emphasizing the construction of significances in the world. From a constructivist ontological base, following an interpretivist epistemological base (Khun, 1970; Morgan, 2007) Mixed Method will be applied in order to establish a dialectic between the researched and the researcher (Coutinho, 2011; Bryman, 2015). The general goals of this research are:

Understanding how sports organisations and their university sports athletes approach Social Status, Respect, Mutual Consideration and Preoccupation, Ethnical Diversity and Sexual Orientation;

Identifying mechanisms for the promotion of the notions of community, fraternity and solidarity;

Evaluate the distribution of goods and materials, equality of access and distribution of opportunities;

Interpret the distribution and ethnic and gender composition.

As a way of assessing the ground operations of the organisations, we as specific goals:

Identify the content of the activities, frequency, sustainability of the target audience;

Research financing sources and procedures;

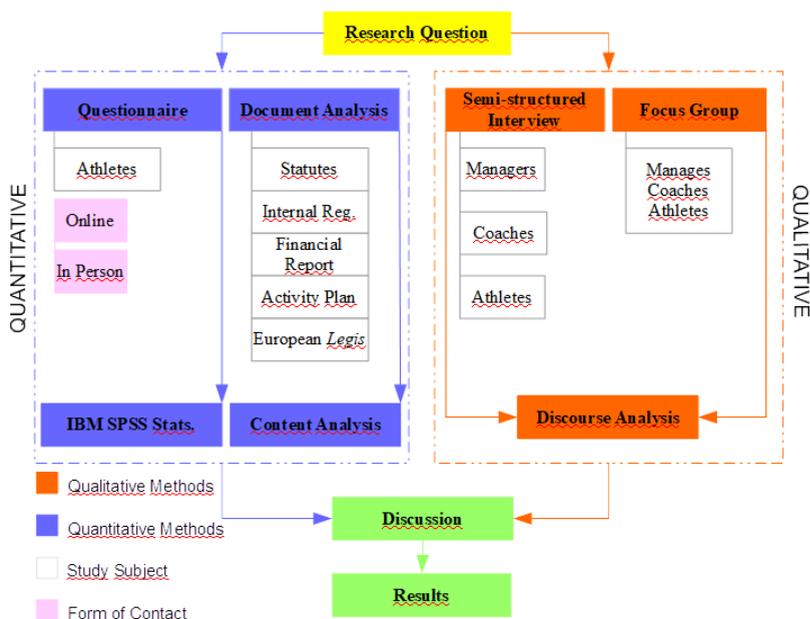
Contribute to the discussion of the role of Sports in the local and national entities;

Observe the interaction of Universities Sport with the national tutelage organisations;

Analyse the relationship between institutions and athletes.

#### 4.2. Method, Approach, Tools and Data Analysis Model

A methodological approach contained within Mixed Methods was used, as both qualitative and quantitative tools were used, seeking data complementarity (Kosik, 1963; Creswell & Plano Clark, 2007). The approach used a qualitative data methodological priority, followed by quantitative complementary data (Bryman, 2015), framing this investigation as a Transnational Multiple Study Case with a comparative design, aimed at maximising the differences between the cases, except for the phenomenon to be explained using the inductive method (Goggin, 1986; Yin, 2009; Coutinho 2011). The Sampling process was non-probabilistic based upon the 3 management levels of the Sports organisations: Managers, Coaches and Athletes. These three levels were analysed in both the Academic Association of Coimbra and the University Sports Center in Reggio Calabria using the Semi Structured Interview and a Focus Goup. Then the University Sports Athletes were inquired by a Nacional Questionnaire, and a Document Analysis was conducted to review Internacional, Nacional and Local Legis as per the Scheme 1. Model of Analysis.



Scheme 1. Model of Analysis

### 4.3. Sample

The questionnaires had 111 valid answers on the questionnaires were obtained from both countries. 51 Italians from 15 different cities and 8 different sports. 60 Portuguese from 21 cities and 15 sports. 73,4% of respondents were male, in Portugal. In Italy 51% against 49% female. Two types of interviews were conducted: 8 individual semi-structured interviews and 2 focus groups.

In Portugal two athletes were interviewed (A2) and A3\_PT; Two managers, another University of Coimbra male named D3\_PT and D4\_PT, and a male trainer named T1\_PT. In Italy the male gender coded as A1\_ITA and two CUSI male leaders, D1\_ITA and D2\_ITA, were interviewed.

The focus group at AAC in Portugal was attended by an athlete, manager and a coach and was called FG2\_PT. Already the focus group held in non-CUS Reggio was composed of two leaders, one athlete, one coach and will be referred to as FG1\_ITA. The Manager, Athlete or Coach of each of the paired working groups (D / T / A) \_FG (1/2) \_ (ITA / PT) as the case may be. All subjects were granted an anonymous participation.

## 5. Discussion

### 5.1 National Organisation

The members of the Academic Federation of Universities Sport (FADU) are "the students associations of the Portuguese higher education institutions" (p.1 art.14 of the FADU Statutes), the associates of the Centro Universitario Sportivo di Italia (CUSI) are the Sports University Centers (CUS) (article 7 of the Statutes of the CUSI). This is an absolutely fundamental difference that varies the logic of project management sports. There will be 3 fundamental differences in the legal and organic framework in both cases.

#### *As Local Sports Promoters*

The associations of students of higher education institutions in Portugal represent only one institution, i.e. in a hypothetical Portuguese city where 5 higher education institutions (HEI) coexist, 5 different members of the FADU can coexist. In a similar city in Italy a CUS is created by each university city, thus representing all HEIs in a given region.

#### *Composition of Members Bodies*

The Portuguese student associations (SA) have, in their statutes (very similar to the AAC), the requirement of an active enrollment in the HEI they represent. However, with social bodies composed exclusively of students, FADU members have an average age in their social bodies that is much lower than the average age of the social bodies of the CUSI members. The CUS consists of two categories of partner: effective partner and former partner (page 3, article 15 of the CUSI Statutes). Both categories have the same ability to belong to the board of CUS, however, the overwhelming majority of managers are old partners, while athletes remain as effective partners during the sports career. In this way it is guaranteed that the sports leadership is made by those who had experience as an athlete, even though they exercise it later in the life of the individual. A clear contrast to the Portuguese reality, where dirigism is an alternative career, in many cases, that of athlete, which results in an organized, managed and thoughtful sport expression of students for students.

#### *Composition of the National Deliberative Assemblies of FADU and CUSI*

At FADU, the solution is to implement a system of delegates attending the General Assembly that follow a complex formula. In n.6, art. 36 of the FADU Statutes we have the following calculation formula:  $P = (2E / 3S) + (A / 3T)$  which means the following:

"(...) P is the weighting-base of each associate for the purpose of constitution of the General Assembly, E is the arithmetic mean of the number of students represented by the associate in the previous two academic years, A is the arithmetical average of the number of students- athletes enrolled in FADU in the previous two years by the associate, S is the arithmetic mean of the total number of students represented by all associates in the previous two academic years and T is the arithmetic mean of the total number of student-athletes enrolled in the FADU in the two seasons (Article 7 of Article 33 of the FADU Statutes)."

The representative method of Hondt is thus applied in order to obtain proportionality between the number of delegates present at the General Assembly (AG) and the number of students represented by each of the structures, in which each delegate exercises the right to one vote.

In the Federal Assembly of CUSI (body homologous to the FADU General Assembly), participation and the right to vote enjoy a representative consistency. Each CUS shall be represented by its president or its alternate. These hold a different number of votes according to the number of students represented and which obeys the following table, according to the provisions of paragraph 2 of art. 19 of the Statutes of CUSI:

- 1 vote up to 5000 students;
- 2 votes from 5001 to 10000 students;
- 3 votes from 10001 to 25000 students;
- 4 votes from 25001 to 40000 students;
- 5 votes from 40001 students.

These three factors (quality of associates, age group and participation method) directly influence the way in which university sport is organized, how structures are positioned, how they are distributed throughout the country, and even how they are inserted in society, sports leaders

The Academic Association of Coimbra and the Sport University Center of Reggio Calabria are two members of the FADU and CUSI, respectively. Their participation and local contribution are guided by their national structures and the ability to engage with their peers, participate in competitions or promote their own agenda reflects the political will and paths traced by the organization.

## 5.2. The AAC and the CUS Reggio di Calabria

### *The Academic Association of Coimbra*

The AAC is a superstructure with 4 fundamental pillars: The Cultural Associative Sections (16), Sport Associative Sections (26), Student Groups (26) and Autonomous Organizations (6), totaling 74 organizations, each with social bodies and activities. Its General Directorate oversees and presides over its medium councils: The Cultural Council, Inter-nucleus Council and Sports Council and it is incumbent upon each of these councils to convene its Assembly of Sections or Nuclei. The autonomous bodies have full statutory and fiscal independence, and are linked to the AAC for historical and practical reasons, some of them headquartered in the same building as the parent structure, and others have reached a broader financial and media dimension, as is the case of the Autonomous Football Organization.

The reality of AAC is profoundly complex and sports development is no exception. Although the Sports Sections are more than two dozen, its activity is directed to the respective sports federations. The University Sports is entirely bequeathed to its General Direction (GD), being responsible for the organization, selection of coaches and athletes, management of sports spaces and competitive calendars. The sport in the AAC stems from a bi-facet logic of operation: Federated Sports and Sports Sections, University Sports and GD / AAC

### *The University Sports Center of Reggio Calabria*

The CUS Reggio Calabria is, like all other Sports University Centers, one of the peripheral components of CUSI, with specific competences in Sport, promoted by the Italian National Olympic Committee (CONI) and by the Decree of the President of the Republic n. 770, 04/30/1968. It dynamizes around 1400 students from all HEIs in the city, particularly the Mediterranean University of Reggio Calabria. The sports bet is the organization aimed at the students of the city, supporting most of its activity in boosting student participation and engagement.

The CUS Reggio, however, has a vastly larger non-competitive dimension, and organizes a much larger number of non-competition sports activities, adopting a sports strategy based on the Social Responsibility of Sport in the academic community. Of course, the multiplicity of other CUS development strategies is as large as the number of existing centers.

## 5.3. Structures and Organisation

The research question relates University Sports to social issues of equality and integration. The aim of the entire data collection process was to draw up a framework to identify the objectives of the two structures that supervise sport in Portugal and Italy, FADU and CUSI respectively, through the study of two local structures: Academic Association of Coimbra and the University Sports Center of Reggio Calabria. The *modus operandis* are totally different, but they pursue the same

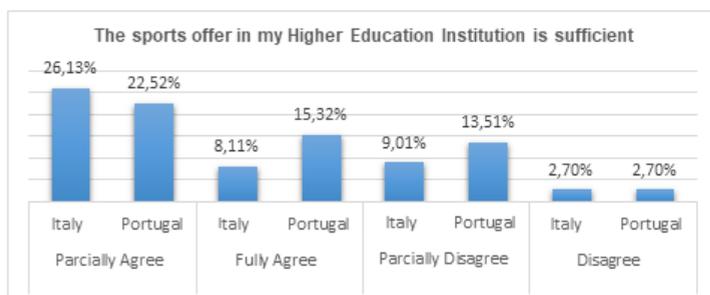
objective. Although CUSI is a structure that precedes FADU in decades, it operates under an amateur model supporting former athletes and longtime leaders, where the rotation of the social cadres is quite low and the directives quite stable.

#### *Nacional and Local Structure*

One of the leaders in the Focus Group held at CUS Reggio indicates that there was a President of the CUS Messina for 40 years, a reality absolutely unprecedented in Portugal. Created in 1990 by student associations, FADU members' boards have a maximum of 2 years mandate. The FADU Directorate itself has the same term in office, which provokes great dynamism in the structures, in addition to the fact that it is a statutory obligation an active enrollment in an HEI to hold a political position. If, on the one hand, the experience members and stability of the Italian model leads to the perpetuation of good results, it also drags the bad habits. The reports of leaders on one or another case that "there's always the same problems" (FG1\_ITA). In Portugal, US provides training of hundreds of young people in management positions, while in Italy CUSI has a much stronger and more entrenched presence and credibility. Both cases are successful. FADU is the most awarded structure by the (European University Sports Federation) EUSA, and CUSI is the body that organized more FISU events throughout history. Both compensate the amateurism of the leaders with a professional technostructure. One of the largest FADU partners is the Portuguese Institute for Employment and Professional Education, for example, and CUSI's officials have stated that the US rae increasingly a less precarious career opportunity. The Athletes were unanimous in considering US as a possible future employment, or at least a curriculum enrichment tool. The problem of unemployment could be, from the point of view of the respondents, combated by sport in universities. The AAC affirmed the need to establish a professional structure to stabilize the organization of the US Cabinet, and to allow a professionalization of an increasingly sought-after service. In Italy, the CUSI leaders defend the institutionalization of the US in universities that, for decades, have been relegated to partner institutions such as the CUS. In Portugal, Coimbra, the partner of the University of Coimbra is the AAC. The establishment of the UC's Sports Office was a response to the problem, which came from a felt need in the face of AAC's inability to respond to the EUG2018 organization. Two different countries, two different difficulties, the same solution pointed out.

#### *Sports Offer*

Both in Portugal and in Italy the athletes agree that the sports offer in their cities is sufficient (as seen in Graph. 1, although the CUS Reggio the AAC has a fundamentally diverse strategy. While the CUS Reggio is committed to activities involving the academic community and the "Informal Sport", the AAC is based on two sporting pillars of *quasi* Kafkaesque organization. In Reggio the activities intend to exacerbate the advantages of the dynamization of sport as a way of connecting the University to the city. They organize races, rounds, inter-college tournaments, etc. Agonistic activity, or competition, is relegated to an ancillary plane. In the AAC, the 26 sports sections function as clubs in the city, while the dynamism of the academic community assumes a residual role, with only one activity worthy of registration, the Inter-Residences Tournament. The Sports Office of the UC, with a different vision, has already bet on "Open days of Sports" and sports projects in university residences where mostly scholarship holders live.



Graph. 1 The Sports Offer in HEI

#### *Financing*

The financing of FADU and CUSI is almost entirely public, as is the CUS Reggio (Fascicolo d'attività, 2006). In Coimbra, AAC has a self-financing capacity of almost 50% of a budget of 1M €. However, the amount they spend in DU is very equivalent. The State, as the main patron of the DU, also has a constant presence in major sporting events. In the EUG18 the summit figures of the Government of Portugal and the Presidency of the Portuguese Republic were present. In Italy the

Ministry of Education feeds the US in such a way that the CUSI's growth project passes, in the words of D1\_ITA and D2\_ITA, by two vectors: Increase in appropriations of public funds and recognition as a National Federation of US, with a legal regime much more advantageous from this point of view. The DU is also seen as a growth factor of universities. Officials agree that this may appeal to more students who, growing in numbers, also increase the funding parcel for the University. In Italy this concern is serious. With a strong social cleavage between northern and southern territories, the US referred to as a way to promote underdeveloped areas, and CUSI, according to D2\_ITA, adopted logics of financing differentiated by poor areas.

*Social Mobility*

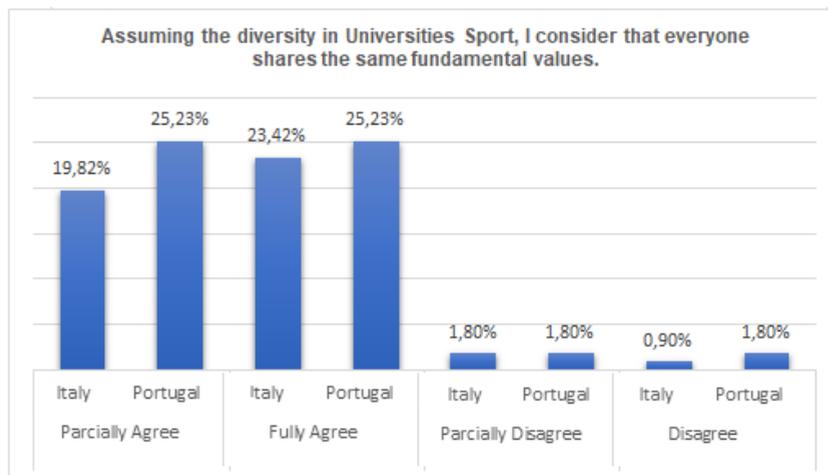
US also reveals a very clientelist character, in what regards the rise of its members to public office. However, two interpretations can be advanced: either there is in fact a personal favour being done to the leaders, or US really does, and as verified by the testimonies of the subjects of this investigation, create citizens more committed, responsible, trained and prepared for real world problems. In Italy the connection is not so obvious, even though this fact is used as a way of demonstrating the advantages of US participation.

*Volunteers*

US volunteers are treated in two different ways. While, on the one hand, it is recognized as interesting for the personal valuation of the participants, and as a pedagogical tool for education for citizenship (D4\_PT) it is seen, on the other hand, as fundamental for the fulfillment of the social function of the US. Both in Portugal and in Italy it is stated that the price of these services is significantly lower and competitive due to the prevalence of volunteers in the structures. Coach T1\_PT states that the professionalization of US destroys its social purpose as well as creates inequalities within its structures.

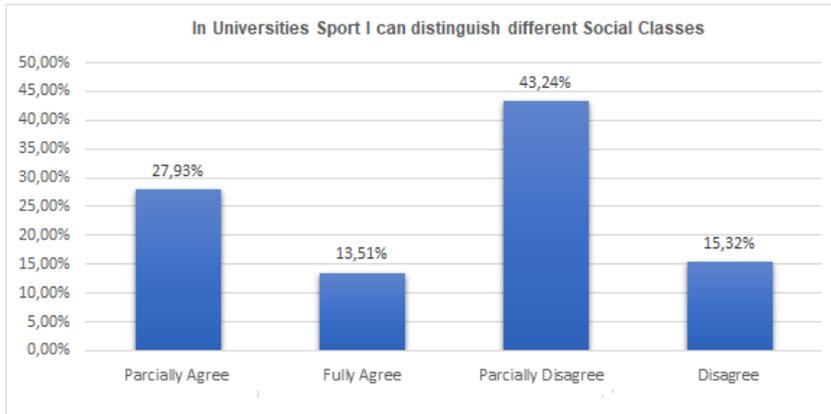
**5.4. Promotion of Equality**

US is seen by all agents interviewed as a tool for social transformation. Athletes indicate that it can be used to identify problems in their colleagues' homes (assuming a role here in the informal networks of social protection), it acts as a lever for socialization, confronting different realities, highlighting the merit of individuals, ability to work as a team and creation of lifelong emotional bonds. In the words of the manager in the AAC focus group, "US gives you something you would never have if you stayed at home." The great merit identified is the fact that there can be a close contact with the athletes with difficulties, fostering tolerance, respect, fair play and perseverance.



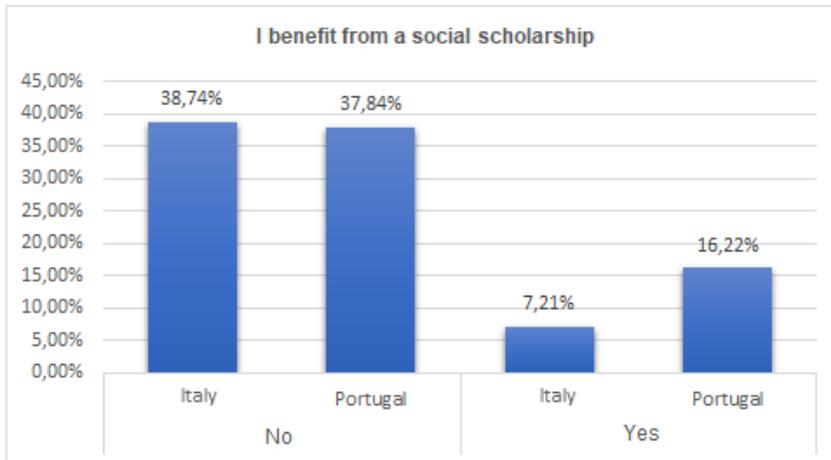
Graph. 2 Values in University Sports

Despite the differences, this position is corroborated by the Student Athletes surveyed by this research, with more than 90% agreeing to share the same fundamental values with colleagues and opponents (Graph. 2). No member of the sample denied the relationship of the DU with the values of Equality, even claiming that it brings with it "a lot of humanity" (A1\_ITA). The trainer participant in the Focus Group held in the AAC states that "the values of Olympism live much more of the DU than in federated sport".



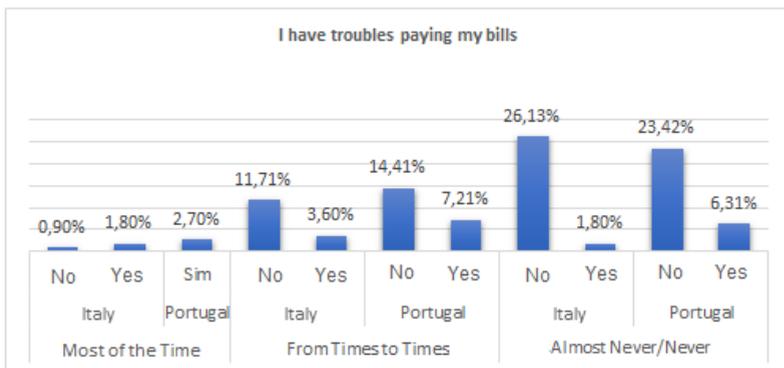
Graph. 3 Social Class Perception

In spite of these statements, 41.44% of the sample in the two countries reported observing different social classes in the US (Graph. 3), a situation explained by the respondents as being the result of sports a little more expensive than others. The groups in both countries demonstrate an ability to bridge financial differences with strategies that include sharing of expenses and use of University services. Needs were also pointed out in order to reinforce the Sports Merit Awards It was argued that, in spite of everything, US selects a small share of society that can access the Higher Education Institutions. Athletes and leaders agree that they are mutually respectful, and that they feel part of an extended family with great reciprocity in their concern for their fellow man.



Graph. 4 Athletes with Social Scholarship

The US athletes are not, however, mainly scholarship recipients, nor do they suffer from financial shortages (Graph. 4 & Graph. 5) even though the testimonies refer that financial problems happen "more than they were anticipating." The suggestion of the manager D3\_PT is that the student's grantees do not participate in the US, not because they have no money, but due to the high competitive level.

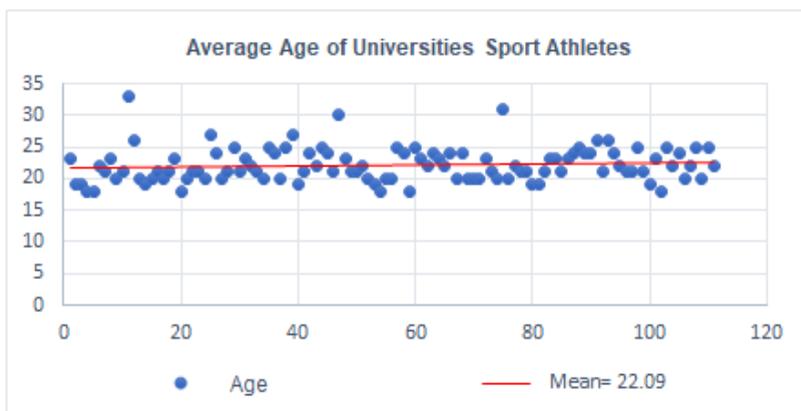


Graph. 5 Troubles with bill payment

Thus, the difference between the average age and the average years of practice of this sample (displayed in Graph. 6 and in Graph. 7) suggests that a competitive level athlete practiced its sport from the age of 10 years old, well before university age, revealing that even though economic imparements may be a problem to the access to HEI, it is not the main concern when it comes to the access to nacional competition in Universities Sport. A student that doesn't demonstrate a high level of sporting performance, will probably not see him or herself in the university sports team.



Graph. 6 Years of Sport Practice



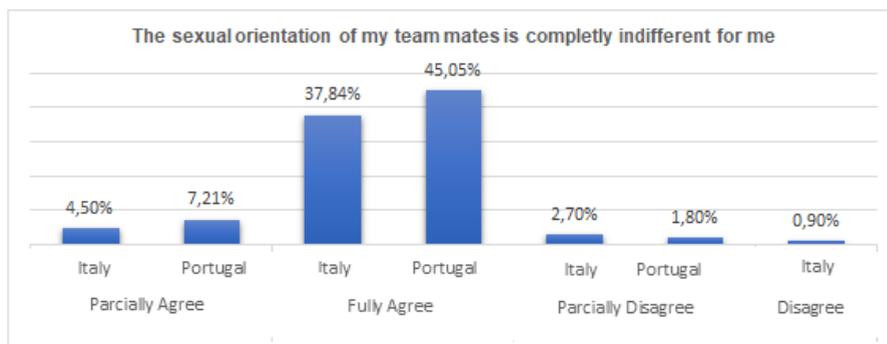
Graph. 7 Average Age of US Athletes

## 5.5. Social Integration

The common rhetoric established in the US, in relation to social integration, is that this happens naturally. This line of thought has already been identified in the literature (Ekholm, 2016). However, the ability to establish contact with informal networks of social protection, governing bodies, social mobility, competitions, exposure to new environments and strategies of coping within training, seems to have little to no casuality, especially when the largest share of funding are public institutions, and sports facilities are carried out through the same ministries. Research subjects maintain that Sport is "the best in training people". As for healthy personal relations building, we seem to find an integrative and fruitful environment. D4\_PT affirms that sports practice influences "the places we go to and with whom we live", allowing the induction of new behaviors.

The "team spirit" is the most mentioned. Friendship relationships on and off the field are shared across the three levels of management (managers, coaches and athletes), affirming the ability of all-new groups to create close-knit, lifelong memories. Accountability was also mentioned. The athletes learn from the coaches the value of the commitments. Our research has shown that more than 95% of the questioned athletes in both countries state that the 'Environment is fraternal and solidary. "They are the best friends I can have" says the athlete in the Focus Group held in the AAC. In Reggio Calabria the group was formed by "three different generations, of three different courses" that would otherwise "never be together" (FG1\_ITA).

Gender and the policies that promote it continue to be constraints on development. All respondents say they find more men than women in US, and that this may be because US is a "volunteer world" where it is "easier to find men with more time than women". This is justified, not because women practice less, but because the "drop out earlier) and late have "less time than men due to family care" (D1\_ITA). This problem is addressed by CUSI through events aimed at the female audience. They do not deny the need for this gender to be more prevalent, and affirmed that "this (lack of women) is one of the biggest problems that we have to solve" (D2\_ITA). Both federations organize 100% of their sports activities for both genders, even though in the female participation is less prevalent. Regarding the sexual orientation of the team mates, on the Graph. 8 we can observe that 83% of Student-Athletes in Portugal and Italy state they are indifferent to the sexual orientation of their fellow players. The lack of discrimination in relation to gender and sexual orientation is described as follows: "University students have a different set of values. The students are prepared for this "(D1\_ITA).



Graph. 8 Perception of Team Mate's Sexual Orientation

There is no ethnic diversity in Reggio Calabria or Coimbra, although the University of Coimbra is one of the most international universities in Portugal, and Reggio has a University for foreigners. However, USs are recognized as a fundamental mean to welcome those who are displaced, allowing those who arrive to have a "family away from home" (D1\_ITA). Regarding violence in US, the case referred is Football 11. This modality encountered serious problems in the year 2018 provoking in the head of the AAC (D3\_PT) the "impression that violence in US is increasing". However, both focus groups (FG1\_ITA; FG2\_EN) report that this is not the case in "most modalities".

## 5.6. Strategies Adopted

The three levels of management referenced herein demonstrate relatively sterile relationships with reduced internal communication. In AAC (FG2\_PT) the trainer says that what is lacking are "discussion spaces" in order to increase the capacity to generate solutions to perceived problems. The AAC plans to reinforce the professional technostructure, to

create a long-term US organization in order to plan US and reduce the volatility of GD's that can change annually. In CUSI the solutions are funding by quotas of underdeveloped territories, increasing Networking, and the recognition as national federation for advantages in political positioning and legal protection. At the University of Coimbra (D4\_PT), the feeling is clear and sums up the reasoning of both nations: the concern for inclusion and social equality is a "fundamental issue in the UC sports project, without which the project does not make sense, or we must see Sport as a way to contribute to the development of people and human development." He adds: "sport is a tool for everyone to be better and to minimize differences at birth".

## 6. Conclusion

### *Social Mobility*

There were no significant differences in student-athlete responses between Portugal and Italy. According to the data obtained, both populations share a very close social and cultural capital, even in relation to dividing issues. This conclusion validates the views of Esping-Andersen (1999), which establishes common traits between State formulations for Portugal, Spain, Italy and Greece, namely regarding the familiarity and clientelism of public management. In fact, both realities share a close relationship with the country's governing bodies. In Portugal, the DU has the capacity to allocate in very short term its directors in positions of management and public representation. The data corroborate this interpretation. The two hypothesis advanced are that University Sports are a space where qualified individuals coexist academically and culturally. The acquired characteristics are a catalyzing factor of upward social mobility, making Student Athletes, Leaders and Coaches that accumulate interest in civic intervention and proactivity, allowing them to be more likely to explore their transforming potential. Another interpretation may be that Sports Leaders are already a privileged slice of society, who use sports as a way to leverage political influence and broaden their power in their local and national environments. Probably the two of them coexist, which may serve future investigations.

### *Financing and Volunteering*

The data has shown that volunteering is not only an experience valued as a pedagogical tool, but a structuring factor in both university sports realities. Volunteerism is seen as a way of connecting and disseminating US to local communities, but also as a key to maintaining service costs down, in low-income structures, increasing competitiveness and universalizing access. Volunteering is practiced by most managers, coaches and athletes. The US and the federated sport management model is fundamentally different in this respect. This research demonstrates that, while federated sport is income-oriented, US is almost entirely dependent on subsidies, making use of the public budgets through the respective Ministries of Education or Instruction (Portugal and Italy, respectively). This investment by governments reveals that both understand the outcomes of US as being responsible for much of the hidden curriculum in the users' *curriculum*, especially in Portugal, where it is organized by young students, an item discussed by Babiak & Wolfe (1991) regarding social responsibility of Sport. The development and growth strategy of Universities Sport in both countries have a complementary character. While the AAC seeks greater stability in the professional technostructure, CUSI and CUS look to the future as a national federation.

### *University Sport Institutionalisation and Development*

In Portugal, the institutionalization of US is viewed with reserve by student associations seeking autonomy and political power, but the advantages demonstrated by recent examples and the Italian reality leads one to believe that this is the way to a stable developing model, especially in a time of great visibility of this sporting expression. The US can be used as a way to promote universities, guaranteeing them greater budgetary slices in public budgets. However, the data points to restructuring in the national sports plan. It was verified that the athletes of university competition began the practice on average 10 years before entering higher education as shown in the Graph. 6 Years of Sport Practice and in Graph. 7 Average Age of US Athletes. For this reason, it is necessary to articulate University Sports with School Sports. Networking and internal communication are the main problems pointed out in the management of both realities. Frequent dialogue points should correct the "atomizing" of functions, and this will only be possible with positive government policies.

### *Social Equality and Integration*

According to the data gathered, in the DU reigns a healthy environment non-violent, responsible and rich in diverse experiences. However, the two aspects of sport in the universities should be distinguished: the promotion of sports practice with moments of internal competition and actions of connection to the city (strategy adopted by CUS Reggio); and, secondly, the orientation to attract athletes that can promote the University in national and international competitions, duly protected

by regulations, statutes and incentive schemes (strategy planned by the UC / AAC). Both these realties are crucial and complementary, and a truly working US system can only be achieved by the healthy articulation of practice and competition.

Atkinson, Cantillon, Marlier & Nolan (2002) indicate that the concept of social integration is, although multidimensional, closely related to an individual's ability to participate in society. The present study establishes US as an environment that is eminently healthy, enabler and stimulant. According to the data, US represents, both in Portugal and in Italy, an opportunity to establish contact with diverse realities, promoting a sense of unity and tolerance. Similar narratives have been observed in both countries regarding the aggregating team dynamics, generalized feeling of union and belonging, and individual accountability based on collective goals. More than 90% of the interviewed athletes consider the US as a fraternal and solidary environment LGKL

#### *Women and Foreigners in University Sports*

The data indicates that female participation in US, as well as that of citizens of other nationalities, should be further encouraged in order to ensure the pluralism of agents. The distribution of Student-Athletes regarding gender is not similar. Although a practical and political will has been established to accommodate more female teams, all sports agents have emphasized that US is still eminently masculine. This research does not identify the likely causes of asymmetry, but "lack of interest" (A2\_PT) and "lack of time" (D1\_ITA) were mentioned as likely to cause the female audience to withdraw. Stigma is often associated with cases of exclusion (Barry, 1998), and perhaps the bet on School Sport is a way of slowly reducing the gender-segregating edge of the level of sports participation. Regarding the position of the athletes in relation to the sexual orientation of their colleagues, Graph. 8 shows that the sexual discrimination is close to a value of zero. The case is similar for the inclusion of diverse ethnicities. While US is seen as a way of acculturating a strange individual in the middle, there was a low prevalence of foreign athletes in the University teams. No cases of violence were reported in the US, except for rare exceptions in the case of Football.

#### *University Sports and the Validation of the Social State.*

This study indicates that the core values of University Sports are complementary to the goals of the South-European Social States. Goodin, Headey, Muffels & Dirven (1999) establish the six criteria by which these have traditionally been governed as being the reduction of poverty, promotion of economic efficiency, social equality, social integration, social stability and autonomy. A correspondence between the US and the State was established regarding the dimensions of the Promotion of Equality and Social Integration that Habermas (1973) establishes as the legitimating tools of the governments of this typology. Further investigation should shed light on the other dimention, further establishing Sport as an important tool for social progress and stability.

### **7. Future Research**

The other four dimensions of the Social State remain to be investigated. Studies on the economic dimension of University Sports are scarce, due to the difficulty in defining the concept. Contrasting the Portuguese and Italian reality with other models of organization would be interesting to establish bridges between models, pointing the Europea Universities Sport Association in the direction of a model of European University Sport that is not yet identified. Can Voluntarism be a common feature of the European interpretation of this phenomenon, similar to Portugal and Italy? The argument of the pedagogical advantages of the DU indicates another line of research on the success of sportsmen and women in the professional world; will these be better than colleagues not involved in sports? A longitudinal study on this issue is required. Also, the way social integration through sport is processed is not yet identified. The argument of the "naturalness" verified by this investigation has already been pointed out, leaving the origins of this phenomenon completely unknown. This way the tolerant and benign reality of University Sports could, perhaps, be multiplied by more and good examples (Ekholm, 2016).

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## Different Methods of Gas Turbine Engine Efficiency

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### Abstract

In this research, we arise the various methods along with a new concept in order to enhance convention turbofan engine efficiency therefore less fuel consumption, less engine exhausts moreover low operating noise level.

**Keywords:** turbofan, twin fan, engine, gas, turbine, efficiency, fuel, consumption

### Introduction

Initially gas turbine engines have been improved by their manufacturers for decades, some due to the inflation of crude oil prices<sup>1</sup> and oil crisis which took place last century<sup>2</sup>, for saving fuel from economic perspective or for a way to improve the way people fly, we briefly arise a specific type of gas turbine engine, it is turbofan engine which is widely used for economical airlines here are some various methods consequently lead towards less fuel consumption therefore greater engine efficiency.

### Proposals for gas turbine engine development

**Bypass ratio( $\beta$ ):** The ratio between the mass flow rate of the bypass stream to the mass flow rate in engine entering the core<sup>3</sup>, technically increasing engine axial bypass flow in a duct around the engine core leads to less thrust-specific fuel consumption, the wider inlet fan diameter, the less exhaust and operating noise obtained, the great role bypassed air plays to cool engine combustion chamber where gas temperature reaches gradually up to 2500° then mixture of cold air flow and hot gas flow dropped to 900°<sup>4</sup> due to some thermal energy transferred into kinematic energy to push low pressure turbine "two shafts engine" to maintain spinning which is associated with the same shaft of fan and booster.

**Accessory gearbox:** In a geared turbofan engine, a planetary reduction gearbox between the fan and the LP shaft allows the latter to run at a higher rotational speed thus enabling fewer stages to be used in both the LP turbine and the LP compressor, increasing efficiency and reducing weight<sup>5</sup>, reduction gearbox can maintain, decrease or even speed up spinning of engine shafts according to complex gears mechanism, utilizing accessory gearbox as a reduction factor to lessen fan revolutions, less revolutions per minute, more air mass flow rate, avoid shock waves thanks to fan high speed tips which in turn generates enormous drag<sup>6</sup>, eventually leads to high bypass ratio, less exhausts and low noise level, based on this concept hence came out the expression of geared turbofan engine, for instance PW1000G<sup>7</sup>

**Composite substances:** Essentially engine weight and power can assign cruising altitude and speed, engine materials characteristics in charge of reducing engine overall weight by hybrid composite substances combine between durability and light weight, these substances of combustion chamber directly affect the weight of gas turbine engine, the case is the outer shell of the combustor, and is a fairly simple structure, the casing generally requires little maintenance<sup>8</sup>, the chamber is made from titanium which is heavy material, and good corrosion resistance, high strength, stiffness and toughness to endure gas high temperature during combustion process<sup>9</sup>, in order to decrease engine's weight there are various composite substances which may include titanium, aluminum alloy and ceramic matrix composite<sup>10</sup>.

**"Twinfan turbofan engine":** from the above, new concept based on our perspective of compressor functionality, increasing air inlet stages from a single fan stage in convention gas turbine engine to next level which is twin fan stage; front fan and rear fan which in turn increasing air flow once there is a reduction gearbox controlling over rear fan rotation speed, it can even play multiple roles which tend to be compressor rotors and stators to compress air leads dramatically to high pressure ratio.

## Conclusion

By all counts, we have proposed some ideas and brought a new concept of twinfan turbofan engine and flexible rear fan based on our perspective of modifying gas turbine engine's components.

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## The Implementation of Textual Coherence on the Albanian Subtitles of “Great Gatsby” Film

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### Abstract

Coherence as one of the most significant elements of text analysis will be the main focus of this research paper. Based upon relevant theoretical background it presents empirical study of coherence in Albanian subtitles of “Great Gatsby” film. This paper will elaborate on the theory of coherence focusing on its role and importance in the text, as well as the difficulties of implementing it during the translation process. The empirical research has been realized on the analysis of fourteen Albanian subtitles from the “Great Gatsby” film, furthermore the study based on the translation (Albanian subtitles) elaborates the implementation of coherence and changes that are made during the translation process. In addition, there are identified the problems, structural changes, cultural loss, parts of the film that were not translated, and at the same time recommendations are given for each selected Albanian subtitle.

**Keywords** Albanian subtitles, coherence implementation, grammatical changes, text analysis

### Introduction

“Coherence it refers to functions on the base of which elements of textual coherence or as the outline of concepts and relations which are those that support surface text, and are reciprocal comprehensible and distinguished/distinct” (Beaugrande and Dressler, 1985:28). Based on Danielle S. McNamara in elaboration about coherence (2001:51) has stated that coherence and structure of a text play an important role in text comprehension, text coherence is the “the extent to which relationships between ideas in a text are explicit and coherence essentially refers to the number of conceptual gaps in the text”. Coherence deals with the internal part of text, in addition is the “...result of structural activity and the dynamic result of subjective interpretation, which issues conclusions also infers its knowledge to construct a world of textual coherence (Dibra&Varfi, 1999:43). Coherence includes all parameters of the text in order to be produced in successful way, since cohesion deals or it is oriented to morphology and syntax premises, in other side coherence is “... a semantic property of discourse, based on interpretation of each individual sentence, relative to the interpretation of other sentences” (Dijak, 1980:96).

For example: (4) Në qiellin e kaltër shkëlqen një diell i mrekullueshëm, toka është me baltë dhe plotë ujë. (In the blue sky shines a wonderful sun, the earth is full of mud and water)

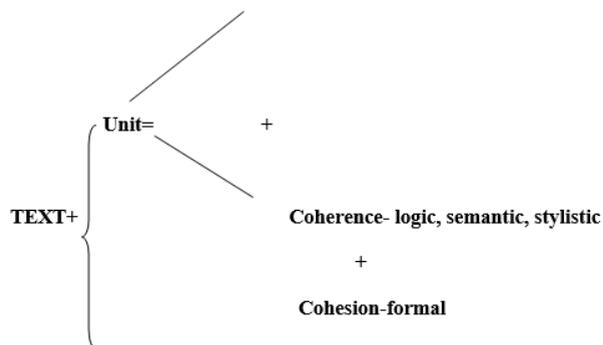
(5) Në qiellin e kaltër shkëlqen një diell i mrekullueshëm, por meqenëse shiu ka pak që ka pushuar, toka është me baltë dhe plotë ujë. (In the blue sky shines a wonderful sun, but since the rain has just stopped, the earth is full of mud and water) (1999:40, 41).

In the first example the text consist of cohesion, all the elements of the sentence are well organized in the sentences, but it makes no sense because the description of the weather do not make logic-semantic relation with the next description of earth. If the weather is sunny then how can the earth be “full of mud and water”? So the coherence is not present in the first text and the text is meaningless. Whereas in the second text everything is clear enough, because the text consist by connective “But” which justifies the fact that even the weather is sunny the earth is with mud and water because of the rain which has just stopped, which makes coherent text.

“The term coherence has been defined in various ways. Some researchers apply the term cohesion to the surface structure of the text and the term coherence to the concepts and relations underlying its meaning. Cohesion has sometimes been applied to smaller units of language in the text, and coherence, to some general overall interrelatedness in the text. Other researchers have defined cohesion as continuity in word and sentence structure, and coherence as continuity in meaning and context” (Louwerse, M.M. & Graesser, A.C. (2005).

According to Dijk (1999:93) it is elaborated for the importance of coherence in realization of discourse, where sentences or proposition in a discourse may form a coherent discourse, however even if there are not all connected to every other sentence or proposition.

### Scheduling (the organization of subtopic related to the central topic, starting from a determined purpose)



**Fullness= A complete sequence with a purpose in which a text is projected and constructed with context, which has been involved.** (Dibra & Varfi,1999:64)

According to the scheme shown above coherence includes all logic-semantic aspects in the text. According to Dibra & Varfi (1999:64) logic coherence realizes the balance of thematic completeness of a text, a theme which is realized to show the purpose of the central topic. In other part semantic coherence has to deal with lexicon, in addition with words' meaning of present text, and also realizes the semantically continuity of a text. Stylistic coherence is represented as a useful element of a text, when we have to deal with descriptive or narrative texts (a text which require a special language use). Another division of text coherence is presented in the book "Textual Coherence" (Çeliku, 2005:60) where we can find: global coherence and local coherence. Global coherence studies text as an entirety, whereas local coherence deals with the relation of propositions in the text. Coherence is another characteristic of text which has to deal with the logic organization of text, in order to gain the text coherence the great importance it has the way how are linked the concepts in sentences to express logic and semantic relations in the text (Memushaj, 2002:260)

"Coherence cannot be understood as a simple textual criteria, but as a result of cognitive perspective operations, which it means "coherence" can happen if we can express in particular speaker's mind and to his/her conversation partner, which it has to deal with the text process and text comprehension" (Çeliku, 2005:60). Based on Çeliku' statement a successful communication is realized if between the sender and receiver exist coherence. Other divisions of text coherence are done by other linguistics such as: Rickheit/Schader/Langer/Rutz/Sichelschmidt: Modeler scheduling, Modeler extension, modeler enrichment, modeler integration, modeler revision (for more elaboration of these divisions (Çeliku, 2005:61).

### 2.1 Linguistic concepts in realizing text coherence

Coherence as an important part of text linguistics it has its coherent devices in order to function in text linguistics, furthermore those coherent devices help the realization of text coherence. Based on Çeliku, (2005:67) linguistics concepts are divided into: Isotopy concept, presuppositions, and text theme.

#### 2.1.1 Isotopy concept

The "isotopy" term has been taken from chemistry, which it means the same chemistry elements and also has been elaborated by French linguistic J, Algridas Greimas. (Çeliku, 2005:67)

"Isotopy can be defined as the repetition of series of certain abstract and concrete schemes throughout a text. It is like a semantic line that is present along the whole text and guarantees the coherence of the text. However it must stated that the repetition of same words or semantic items is not enough to guarantee textual coherence" (Kazazi, 2014:195) Linguistic isotopy deals with the internal studies of text coherence, rather with external studies of it. According to Gremias (1984) defines isotopy as "... the principal that allows semantic concatenation", furthermore more he represented the theory of

textual coherence on the basis of the concept of textual schemes.). Gremias made a distinction between three types of isotopes:

-Simple isotopes- when a text has just one interpretation

-Bi isotopes- belongs to text that provide two simultaneous readings

-Poly isotopes- which occur in cases of superimposition of several semantic levels in a text (2014: 195).

Based on "isotopy concept" text coherence can be easily understood since this concept serves as "... guide for the reader who after organizing the semantic and lexical field in coherent networks will be able to understand the information and indices revealed by the text" ( Kazazi, 2014:196).

According to the "Isotopy in Camaj's fiction" (Kazazi, 2014:195), below are represented some examples:

Seme: Mal (mountain):

- vend shumë i ngritur (very high place)

-i dukshëm (noticeable)

-masë e madhe (big)

-i thepisur (craggy), etc

Seme: Fushe (field)

-vend i rrafshët (flat place)

- i gjerë (vast)

- pa male e pa kodra (with no mountains

or hills), etc

The translation was done according to the Dictionary of Albanian language (1984:521)

### 2.1.2 Presuppositions

Presuppositions are considered as a part of semantic deal with semantic relations between sentences. "In ordinary language to presuppose something means to assume it, and the narrower technical use in semantic is related to this" (Saeed, 2003:101)

(6) He is wife is fool

(7) He has a wife

Based on these examples the elements of first sentence automatically give hearer/receiver the presupposition of second sentence. As coherence device "Presupposition" helps the reader to understand the internal part of the text, even if it is not written or presented in the text. A division of presuppositions are found on Çeliku, 2005:69) based on Linke/ Nausbaum /Portman (Studenbuch Linguistik, 1996:211):

-Presuppositions which are related to their use,

-Presuppositions which are related with their signifying character of language.

Both types of presuppositions help to understand the situation of the text, its unwritten information, and create on us some "mental" imaginations, according to represented details we can presuppose next sentence and to find our own conclusion related to the text.

The second division of presuppositions it is divided in two more groups: Referential presuppositions which deals with "...verification of persons or things and to their semantic meaning in the text" (Çeliku, 2005:71) and Semantic presuppositions which deal with "... the realization from its semantic of words, linguistic expressions, discursive text, as indirect representations of text" (ibid).

### 3.0 Cognitive Models of textual coherence

Coherence as a part of text study helps the text even when the cohesion is absent, but in contrary if the sentence is well structured and does not consist of coherence elements it makes no sense to receiver or hearer.

For e.g I am a teacher. The teacher was late for class, the weather is sunny today, and it is raining a lot...

If we begin by its structure or grammar aspects all sentences are well organized consist of subject, verb, and other parts, but its internal part of comprehending it is absent. The matter that

*the teacher was late* do not have connection with *weather matter*, in addition if the weather was presented as "sunny" how we can make sense to us the fourth sentence *it is raining*?

In contrary coherence can be realized even when the cohesion might be absent, or the structure of the sentence is not well organized. This realization can be achieved based on "Background knowledge" that participant might share, and it is included more to "Pragmatics" premises.

"Generally what language users have most in mind is an assumption of coherence, that what is said or written will make sense in terms of their normal experience of things. That "normal" experience will be locally interpreted by each individual and hence will be tied to the familiar and the expected" (Yule, 1996:84)

a) Plant Sale b) Garage Sale

(10) A motor vehicle accident was reported in front of Kennedy. Theatre involving a male and a female

(11) Man robs hotel with sandwiches.

According to Yule 9a example means that someone is selling plants, whereas in 9b we do not mean the same thing or that someone is selling garages. Despite the fact that both sentences have the same structure, they consist of different interpretation. The interpretation of 9b sentence can be that someone is selling household items of garage or something related to it.

The second example gives us information that the accident happened and there were females and males too, or they could be driving a motor vehicles, etc. So we try to make coherent sentence by ourselves in order to make sense to us. The same creation of coherence we may use in fourth example: analyzing from subject "Man", verb: robs; hotel with sandwich, we may create different interpretations of it. "Sandwich" can be gun, or any dangerous object or he was eating while he robbed the hotel and so on. "Our ability to arrive automatically at interpretations of the unwritten and the unsaid must be based in pre-existing knowledge structures, in addition these structures function like familiar patterns from previous experience that we use to interpret new experiences" (Yule, 1996:85-86). A great division of these patterns is divided in: Schemes, Frame, Projections, and Scripts, which are presented by Beaugrande and Dressler (1986:129). In order the text to be coherent, its linguistic devices or linguistics concepts are not sufficient to be realized. An important role for textual coherence Çeliku (2005:78) gives also to "Cognitive models for textual coherence".

"Through cognitive models we cannot treat only people or concepts or the identity between them, but also time relations, space relations, and causality relation which refers to specific aims" (Çeliku, 2005:79, based on Linke/Nussbaumer/Portman, 1996:359). The same divisions of cognitive models are presented on Çeliku's book such as: scripts, frames, reference, conceptual metaphors, maxims and conversational implicatures, repairs, and reformulation for the realization of textual coherence.

### 3.1 Reference

Reference has been used or elaborated in different fields of linguistics:

"By reference speaker indicates which things in the world are being talked" (Stefanovski, .2006:35).

"We might best think of 'reference' as an act in which a speaker or writer uses linguistic forms to enable a listener, or reader to identify something" (Yule, 1996:17), whereas in "... new linguistics texts, reference has been seen as mental process" (Çeliku, 2005:85).

According to Çeliku people through linguistic expressions refer to different aspects such as: objects, events, etc, furthermore in order to have or gain coherent reference it is depended from speaker/sender' skills and to his/her conversation partner of linguistic community. In addition their comprehension of linguistic expressions of language which they possess enables them to "...identify the objects as prototypes of a specific category".

For example:

(12). Doctor Foster went to Gloucester in a shower of rain.

(13). He stepped in puddle right up to his middle.

(14). And never went there again.

(Halliday, M.A.K, Hasan, R, 1976:31)

As we can see below each of the examples consist of an reference elements, in second sentence the personal pronoun "He" refers to the "Doctor Foster" (Anaphoric reference), and "there" (spatial deixis) refers to "Gloucester". In some way "reference" deals with "Cohesion" too (1976:30). According to Halliday and Hasan (1976:31) reference deals with the location of information, and for stylistic matter of textuality, furthermore it enables us as writers not to repeat in the same way; things, places or persons. Reference also deals with presuppositions) the relation of the elements of text. On other side Çeliku (2005:87) based on Sxhwarz (2002:24) makes a division between two types of reference: Token and type reference.

Token reference it indicates to represent some facts, events, feeling, or "concrete instances of reference", whereas type reference is "... reference toward class mental representations" (ibid.)

### 3.2 Conceptual metaphor in textual coherence

The metaphor as a stylistic figure or figurative meaning of text has been served for text decoration since Aristotle's time and its use is massively being applied in all most poetries, politics, and philosophical discourse, in order to give stronger emotional effects (Çeliku, 2005:88). Metaphor is "the understanding of once concept in terms of another or hidden comparisons" (Stefanovski, 2006:94).

"Conceptual metaphors should be understood as linguistic expressions in linguistic level, as well as abstracts which are ingrained in our conceptual level" ( Çeliku, 2005:89)

The comparison between English language and Albanian language can be perfectly seen in the level of conceptual expressions while we try to try to translate specific metaphoric expressions from English to Albanian or vice versa. Since conceptual metaphor is to reinforce or to give great emotional effects to text these effects might get lost or do not give the intentional opinion during the translation process from one language to another.

On the third volume of Çeliku are presented some translation examples of conceptual metaphoric expressions, taken from "Realization of Text Coherence in English and Albanian languages through "Conceptual metaphors".

Ai është ujë Mali (He is a wolf)

Ai është qen i punës (He is a dog of the work)

Ai është derr (He is a swine)

According to Çeliku these kinds of translation do not transmit the emotional effect of metaphor in English language. As we can analyze there is a comparison between a man and an animal; "Qen i punes" ("Dog of the work"), which it means "He" works hard and possesses great skills, etc.

In his book "Textual Coherence" Çeliku (2005:90) represents a delineation of conceptual level in comparing man with animal, for example: "Akil was strong as a lion"

According to George Lakoff and Mark Johnson (1980:453-486) conceptual metaphor is reflected in our everyday language, since "...conceptual system is not something we are normally aware of and in most of the little things we do every day, we simply think and act more or less automatically along certain lines. Just what these lines are is by no means obvious. One way to find out is by looking at language. Since communication is based on the same conceptual system that we use in thinking and acting, language is an important source of evidence for what that system is like". According to them in order to clarify opinions for a concept to be metaphorical and for such a concept to structure an everyday activity, let us start with the concept ARGUMENT and the conceptual metaphor ARGUMENT IS WAR. This metaphor is reflected in our everyday language by a wide variety of expressions:

ARGUMENT IS WAR

Your claims are *indefensible*.

He *attacked* every weak point in my argument.

His criticisms were right on *target*.

I *demolished* his argument.

I've never *won* an argument with him.

You disagree? Okay, *shoot!*

If you use that *strategy*, he'll *wipe you out*.

He *shot down* all of my arguments.

As we can see below the derived example from conceptual metaphoric expression "Argument is war" it does not deal with the physical way, but it deals with debates which the principal "Weapons" of the "War" are considered arguments in metaphoric way. Mainly of the things that we argue are partly war terms, we have to defend ourselves and attacks or we have to give up and take another attack. The "procedure" it resembles to war logically because we "... talk about arguments that way because we conceive of them that way, and we act according to the way we conceive of things" ( Lakoff and Johnson, 1980: 453-486). Another systemic of conceptual metaphoric examples and which other expression has been derived is "Time is money", in which many places "time" is considered as a precisely element in achieving successes, even more that we know we cannot go back for it.

Time is money:

You're *wasting* my time.

This gadget will save you hours. I don't have the time to give you.

How do you spend your time these days? That flat tire cost me an hour.

I've invested a lot of time in her.

I don't have enough time to spare for that. You're running out of time.

You need to budget your time.

*Put aside* some time for ping pong.

Is that *worth your while*?

Do you have much time *left*?

He's living on I *borrowed* time.

You don't use your time, *profitably*.

I *lost* a lot of time when I got sick.

*Thank you* for your time.

According to George Lakoff and Mark Johnson (1980: 453-486) we are adopting the practice of using the most specific metaphorical concept, in this case TIME IS MONEY to characterize the entire system. Of the expressions listed under the TIME IS MONEY metaphor, some refer specifically to money (spend, invest, budget, probably cost), others to limited resources (use, use up, have enough of, run out of), and still others to valuable commodities (have, give, lose, thank you for). This is an example of the way in which metaphorical entailments can characterize a coherent system of metaphorical concepts and a corresponding coherent system of metaphorical expressions for those concepts.

### 3.3 Maxims and conversational implicatures of textual coherence

For a successful communication maxims and conversational implicatures take an important place in order to gain the comprehension of conversations and 'Maxims' of communication. The term "conversational implicatures was introduced by the philosopher Paul Grice (1977:204) which is a nonconventional implicature based on an addressee's assumption that the speaker is following the conversational maxims or at least the cooperative principle. In discussing the relation between coherence and cooperative principle it can be stated on the coherence terms as "ultimately based on the assumption that when speakers speak they say things that cohere with each other" (Hasan, 1985:95). In addition "a coherent text is one

where the interpreter can readily reconstruct the speaker's plan for an enterprise understood to be at hand" (Green, Gm, 1996:106).

According to Çeliku (2005) in understanding the communication or speech acts is very important in comprehending the text. Furthermore, the theory of speech acts it is fulfilled with Maxims and conversational implicatures in which is based text coherence. For example: "Business is Business", "Boys will be boys", in these examples we can conclude that "...when a listener hears the expression she/he first has to assume that the speaker is being cooperative and intends to communicate something. That something must be more than just what the words mean. It is an additional conveyed meaning, called IMPLICATURE" (Yule, 1996:34). Conversational implicatures are considered as pragmatic inferences; unlike entailments and presuppositions which are not linked to any particular word or phrase in an utterance but arise instead from contextual factors and understanding that conventions are observed in conversation (Saeed, 1997:204).

Based on Maxims of conversation we can assume that they are telling the truth, being relevant and trying to be as clear as they can (Yule, 1996:37). According to Grice (1975) are shown four Maxims' types:

#### 1. *Quantity*

- Make your contribution as informative as is required (for the current purposes of the exchange).
- Do not make your contribution more informative than is required.

#### 2. *Quality*

- Do not say what you believe to be false
- Do not say that for which you lack adequate evidence

#### 3. *Relation*

- Be relevant

#### 4. *Manner*

Be perspicuous

- Avoid obscurity of expression
- Avoid ambiguity
- Be brief (avoid unnecessary prolixity)
- Be orderly.

Logically Maxims of conversation cannot be always present in our speech acts or in written form, because it depends also to receiver; especially in text coherence which is depended from extent which the receiver has got the message or information from sender (Çeliku, 2005:96).

#### 3.4 Repairs and Reformation

Above was mentioned that in being disable to have all Maxims in conversation between sender and receiver we can rely on "Repairs" and "Reformation" of textual coherence. During the speech acts or in communicating with others we usually make mistakes in language use, which may lead us to some misunderstanding during communication. Repairs are significant especially in logic-semantic mistakes, which undermine the text coherence (Çeliku, 2005:97). A great example for logic-semantic mistakes Çeliku gives to politics discussions that interrupt each other in order to damage his/her opponent discursive power. As word repairs are considered "Hedges" in order to protect from their disability of realizing conversational maxims such as: Anyway, well, as you probably, or by the way, etc in the absence of quality, quantity, and manner maxims. Reformulation also deals in group of text organization, which helps in transcending the misunderstandings and in the realization of text coherence. A perspective of reformulation can be understood as linguistic formative text activity and reformulation as the result of this activity. (Çeliku, 2005:98). In this sense speaker/writer reformulates word by word what has been said or written by another one (direct and indirect speech) (ibid). All these kinds of repairs and reformulations should be carried out if we want to realize successful text coherence, in enabling receiver/hearer to understand a message, or the information.

#### 4.0 Methodology

The methodology which has been used in this scientific research is empirical, based on analysis of Albanian subtitles of the "Great Gatsby" film. There were carefully selected 16 parts of Albanian subtitles of the film, which have been analyzed and elaborated due to the implementation of textual coherence. The selected Albanian subtitles that have been chosen for this scientific research contain translation of idioms, proverbs, grammatical changes, cultural translation, omission of translation, etc. The selection of Albanian subtitles has been conducted in three phases.

The first phase included the selection of translated idioms, proverbs, and phrases

The second phase included the selection of Albanian subtitles with grammatical changes

The third phase included the selection of non translated parts of the film

#### 4.1 Aim of the study

**The aim of this scientific paper is to:**

To analyze the translation of English proverbs, idioms, and phrases.

To identify grammatical changes during the implementation of coherence

To elaborate on parts that have not been translated

#### 4.2 Hypothesis

1. The implementation of coherence during the translation of idioms or proverbs of "Great Gatsby" film is hardly achieved
2. The changes during the translation of the film are almost grammatical
3. There are parts of the film which are not translated at all.

#### 4.3 Data analysis

1. "She lived across the bay, *in old money*, East Egg" - Ajo jetonte përgjatë gjirit, *atje ku jetonin ata që kishin para që në kohet e vjetra* (Albanian subtitle)

On the first selected Albanian subtitles above it can be seen the translation of the prepositional phrase in Albanian language. If we translate directly it in Albanian language we have "në paratë e vjetra" which does not have meaning in this context. In realizing the coherence from a prepositional phrase the translator has transformed it in adverbial clause of place. This happens usually in these kinds of expressions which do not have a similar or same phrase in other language. Americans understand this "expression" because it pertains in their corpus of language, whereas Albanians do not use this term to describe rich people.

*"The old money" - "Old money" families have fortunes dating from the 19th century or before, have built up powerful and influential social connections, and tend to hide their wealth and superiority behind a veneer of civility. The "new money" class made their fortunes in the 1920s boom and therefore has no social connections and tends to overcompensate for this lack with lavish displays of wealth"*

Whereas the "East Egg" is not translated at all, maybe can be the fact that the translator did find an appropriate translation which would be coherent and would have cohesion elements in the sentence. Also this noun phrase for Americans is familiar and it covers a lot of things gathered just in one noun phrase:

***" Egg is symbolic of the established social order (the old money) while West Egg is home to the newcomers, people who may have equal wealth, but haven't had it nearly as long"***

2. "Catching with the wolf back"- "Të flasim për të kaluarat" (Albanian subtitle)

The second expression found on the film it is very interesting one, as was elaborated above each language it has their expressions form of talking for any event, situation, for past, present and future. If we try to analyze this expression in Albanian language we might get this translation " Duke e kapur ujkun nga mbrapa" which does not have meaning in this context, the translator has transformed in non metaphoric way, since the expressions in English language it is said/written in metaphoric form, logically you cannot catch the wolf back. In addition the use of this animal "Wolf" (as it is known as

wild animal) it is led to be understood that the past times were not so good for characters on the book. Hence, the translator has transformed the metaphoric expression in directly way, because otherwise would have no sense in translating word by word. So in gaining the coherent transformation we have the verb form "Te flasim" (Subjunctive mood, present simple, third person in plural) from "Catching" the cohesion element is introduced in Albanian language in order to be coherent with the previous sentence and the next one. Also it is important to mention the fact that this expression is not used in Albanian language, further more in Albanian language if we want to talk for something in the past which is not good for us, we do not use these kinds of comparisons with bad memories companied with wild dangerous animals.

**3. "Forest Hills, played the prince of Wales" -"Kjo mu dha nga Princi i Uellsit" (Albanian subtitle)**

On third example it can be noticed that the expression in English language does not have an organized structure of elements, usually this can be found in films, especially Americans films. Whereas its translation in Albania language form the expression by cohesion elements and it sounds more coherent, such as : the addition of determiner "Kjo" (this) , addition of preposition which tells from whom was given "Nga"- "From", and all these complete the absence of cohesion elements in English expression.

**4. "Live is something you dominate Nick! If you are any good"-no translation**

Mostly the translation of English subtitles are not all translated in Albanian language the matter can be among the differences in the cultures of both languages, simply translators cannot find an appropriate translation for some expressions. The fourth example is not translated in Albanian language, analyzing its structure the word "Live" in English grammar is verb, whereas in this sentence is used as noun instead of "Life". This can be one of the principal elements that cause doubts to translators, and sometimes in these cases we have no translation. On the other hand the sentence it has coherence, because it elaborates on issues of being good in life and if you work hard and fight for your future, you will be that person who dominates the life. A simple translation of this expression in Albanian language might be: "Të jetosh është dicka që ti e zotëron Nick! Nëse je i zoti (I menqur, punetor, etj), "Jetën e zotëron ti Nick, nëse investon në të", "Jetesën e sundon ti Nick! Nëse lufton për të", these are some expressions which intend the same meaning and are coherent within the dialog.

**5. "I'm paralyzed with happiness" -"Jam e paralizuar nga gëzimi" (Albanian subtitle)**

Sometimes the translations of English scripts in Albanian language seem ridiculous maybe because Albanians do not use them in their books, films, everyday life, and so on. Translation is the matter of transformation from one language to another one relying on the adoption of words in transforming with the same meaning. The seventh example is logically written in metaphoric way, being paralyzed means a disease (your parts of body cannot move) but in this situation it enables the reader to understand that "she" is fulfilled by happiness; maybe expressing in these forms the level of happiness it means the peak of it. The translator has transformed it in the same way which for Albanian vocabulary seems somehow strange and not used before. This expression could be translated in Albanian language such as "Jam shume e lumtur", "Nuk mundem te leviz nga kjo lumturi", "Jam ne kulmin e lumturise". We cannot make a direct translation of specific American expression to Albanian language because it might confuse readers/viewers because such translated expression it can be appeared to them as strange one or with no sense.

**6. Big day on the job tomorrow"- "Filloj punën neser" (Albanian subtitle)**

On the sixth expression it is usually found in Americans films which in Albanian language means " Per mua do te jete nje dite madhe" which infers the "new job" or anything important to a person. As can be seen the translation of this expression means in the firm "I start to work tomorrow" which for him/her means a lot and describes it as "A big day". The coherence of English expression realizes the cohesion in Albanian language by the addition of the verb "Filloj" (Subjunctive) which does not have the same meaning and form in English language. Usually these kinds of expressions in Albanian language can be such as: "E neserëmja, është një ditë e madhe për mua" (Tomorrow is a big day for me).

**7. "This summer, I'll sort of pulling you together"- "Këtë verë do t'ju bashkojë të dy" (Albanian subtitle)**

**8. "I will push you into linen closets and out to sea in boats"- No translation**

The seventh and eighth expressions are related to each other, used for the same purpose "to unite two persons together". The expression used for this intention is quite interesting in English language whereas in Albanian language does not reflect the same emotion. The incompatibility of verb forms in two languages breaks the metaphoric and interesting expression during the transformation. On eighth expression we do not have translation; the reason can be that the description of

“uniting them” seems incoherent during the translation into Albanian language. The eighth example describes the way of would be the “uniting” but not expressed in simply way. If we see the elements like “linen closets”, “out to sea in boats” we can make our own opinions related to the friendship of the characters on the film. Coherence is obvious realized by these words, such as Daisy was selfish character she did not love anyone, she was jealous to her friend, and these expressions “pulling them together, in the sea, on the boat” it reflects somehow her wish to get away from her cousin and her “friend”.

**9. “Throwing you ladder with those social climbing primitive new money types”- “Dhe punon për ata pasanikët ambicioz” (Albanian subtitle)**

The theme of “Great Gatsby” film from the beginning till the ending of the film treats the differences among “old money” and “new money”, the American dream and the fight that people did to become rich but at the end they were always considered as primitive one, and not well educated. The tenth expression explains the hate of “East” toward “West”, and their judgments toward them. If we analyze the translation of this expression we can notice that the structure of it is better than in English language, but the strong emotions of hate expressed by words such as “Climbing”, “primitive”, “new money types” are not shown in the translation. Obviously as was stated above usually translation cannot transmit the effect of an expression to another language as the result of the culture of language. But analyzing the Albanian translation does not make a lot of sense because if we say “Pasaniket ambicioz” (Ambition wealthy people) it means that there are other group of rich people which lack ambition and seems meaningless, in addition if we have to deal with “new money” (new rich people who were poor aftertime they did their money with legal and illegal jobs) means they had great ambition in being rich otherwise they could not be, logically ambition people are rich one. The expression in English it is coherent but somehow lacks cohesion, despite of the lack of cohesion it makes sense such as; the relation of “Social climbing primitive, and “new money”, in these cases background knowledge it plays an important role to understand the coherence between phrases used in the sentence.

**10. “God knows where”- “As nuk e dija se ku është” (Albanian subtitle)**

In some cases the translation from English language to Albanian language functions as coherent relying on the inferences that a reader/viewer makes. As it can be seen on the example above the translator has not include the noun “God” in translation, the matter does not stand for the cause that the translation of this sentence cannot have the same one in Albanian language but this is the matter of translators who want to underline the fact if “I” do not know where person X is than just the “GOD” knows the location of that person. The whole sentence:

“As nuk e dija se ku është”  
(Albanian subtitle)

It refers to “GOD” (who only knows where he was)

“Vetëm Zoti e dinte se ku  
ishte” (Albanian language)

From translation of this expression from English language to Albanian language the cohesion element “*Ellipsis*” is realized as the matter of not repetition of words and in more comprehensible way which means in the same way as it is written or said in original version. In addition also in Albanian books or films we can find the same expression, when the speaker want to tell the fact that a person X has been disappeared and no human being have seen him or her uses the noun “GOD” (in the means that GOD knows everything)

It implies the negative thought of a person pronoun “I” toward a person location.

**10. “A willingness of the heart that burst thunderously upon as all”- “Si çakallët që iu rreh zemra fort për dëshirën e mishit” (Albanian subtitle)**

Not accidently it has been chosen this expression which it covers an important part of realization of coherence relying on conceptual metaphor which has been elaborated above. From translation of English language to Albanian language a

translator has made the coherence using the comparison between an animal and people. Even the “jackal” is not mentioned in English expression the translator has used to give a clear description of how they were.

“A willingness of the heart that burst thunderously upon as all”- JACAKLS

It is generally known that “Jackals” are wild wolves or dogs that are fed on carrion, fruit, and hunts cooperatively. The same description of this animal can be seen on the scene of the film such as: how men betray their wives and run for a young women who are married and immoral too. Also the music which is played on this scene is like the sound of jackals as wide range of vocal sound. “Jackals” as conceptual metaphor is used also in everyday life, if we want to describe a person who is unfaithful and have bad habits. For example definitions of jackals found on Thefreedictionary are:

- a. An accomplice or a lackey who aids in the commission of base or disreputable acts.
- b. One who performs menial tasks for another.
- c. a person who performs dishonest or base deeds as the accomplice of another.
- d. unsavory people who won't hesitate to rob or kill you for your paper, usually come out at night.

In Albanian language especially on books in order to give a clear image of a character the author uses the conceptual metaphor “Jackals” to make comparisons with people (in describing with one word the person's attributes'. Also in communication people refer to someone as “jackal” when two people are talking and the third person interrupts their conversation and uses a special vocal sound (I cannot stand him/her, he/she is like a jackal). Based on the description of “jackals” as wild animals we can make inferences about the person who is being compared to it.

11. “He is greasy little scumbag” -“Ai është një zëngjin i vogël” (Albanian subtitle)

This example it has to deal with description of man, the word “scumbag” is used in American English as an offensive word, not a real man, poor one, while in Albanian language the translator has transformed covering to one word “Zëngjin i vogël”, which means he does not have too much money and does not pertain in the high class of people. But this translation seems a bit poor because the information which this word gives in English language seems non coherent in Albanian language. “A little greasy scumbag” it is not used to inform reader for the class of the man but describes some absent skills of man. In Albanian dictionary the definition of “Zëngjin” means “Rich” and does not divide it as “little” or “more” one. This can be seen also on the text below how the writer makes the translation of this word:

“Njeriu “old money”, përndryshe “zëngjin i vjetër”, mbiemrin e të cilit ish-sekretarja e Shtetit e kishte trashëguar krenarisht edhe pas divorcit, iu bashkëngjiti helikopterëve “Apash”...” (Artur Lazbeu, “Muaji i mjalit ka mbaruar” **Gazeta shqip**, published on 9 Dhjetor 2013).

Old Money (Zëngjin i vjetër)-which mean a well educated person, who has great skills, pertains in high class, and rich one (legal money)

Based on the scenes of the film we make coherence between the character that is presented on it, and the translation which is made. But if we read the book of “Great Gatsby” (in Albanian language) we might get confuse and would not be coherent with the real description. This may happen as the matter of ambiguous meaning which the majority of English words have. As was mentioned in above expressions the lack of coherence in some translated sentences or expressions may come up from the differences in culture of both languages which take a great place in the process of translation, and in most of the cases we do not have the translation of specific expressions or they do not seem coherent with the rest of the text or situation.

12. “Pennyless panty wase”- No translation

As usually happens in Albanian subtitles where some sentences or expression are not translated at all from English language, the mater might stands on translators who cannot find an appropriate or close translation to specific expression or simple some expression cannot be translated in another language because they will be meaningless or would have no sense. Usually offensive expressions are hardly or seldom translated in another language, because they lack meaning during the process of transformation. The selected expression it is used in “Gatsby” film as an offensive expression toward a person, who is not rich or well educated.

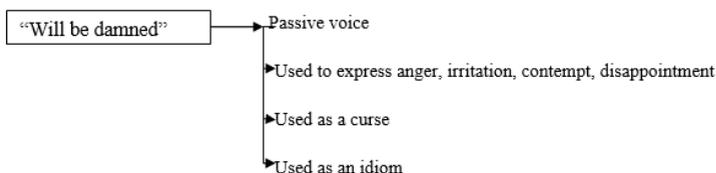
Pantywaist →A man or a boy considered as a childish, lacking in courage (Free dictionary)

This expression is partly synonymous with word as: "Gay" or a man who dresses like a woman, speaks like a woman, and talks like a woman. A man who does not have a strong character in American films is described with the expression above, which cannot be coherent if we translate in another language (as a matter of language's culture).

13. "And I will be damned if I know how you got within a mile of her" - "Mallkuar qofsha nëse do mund t'i afrohesha asaj rreth një milje" (Albanian subtitle)

14. "Goddamn lie" - "Gënjeshtë e mallkuar" (Albanian subtitle)

On the example below we can find some syntactic differences between two languages when the coherence of the translation from English language is realized in Albanian language through a specific mood which consists in Albanian language as optative verb mood. The form of the verb "will be damned" it is in passive form of future tense, which during the translation into Albanian language the form of the verb is formed in optative verb mood in present tense (Qofsha, Rafsha, Lafsha-irregular forms of verbs).



While in Albanian language especially in the sentences when someone curses a person or an object they express their anger through the optative verb mood (that lacks in English language) which at the end of the verb take allomorphs – fsh and –sh (also it depends of which group verb is classified, for example: pifsha, present tense, first person singular). In terms of the curses the expression of anger situations we have another example "Goddamn lie" which is translated in Albanian language as "Gënjeshtë e mallkuar", usually it can be found on American films/books as it is used often. Intonation element takes an important role in these expressions; the character rises and makes an angry pronunciation of the word "Goddamn" which implies on the speaker the feelings of character toward the "lie". On other hand "e mallkuar" do not transmit the level of anger of the character with the same potential as in English language.

## Conclusion

In general, based on the theoretical part and empirical study that were done in this scientific paper, it can be stated that the differences among English and Albanian language cause great problems in translation of subtitles of films. These kinds of differences were mostly in grammatical changes, especially to verb moods among two languages. In order to implement coherence in all fourteen Albanian subtitles, the translator used conceptual metaphor, omission of words, addition of subjunctive and optative verb moods, and the transformations form idioms to declarative sentence. According to the analysis of these Albanian subtitles of the "Great Gatsby" film it can be said that the translation of cultural expressions sometimes is impossible to be translated or hardly can have a coherent translation. The modifications/changes that were necessary to be done during the translation of the English to Albanian subtitles show that the literary translation or cultural translation of such films cannot be done via direct translation or literal translation because the readers or viewers cannot link the scene of the film and its translated subtitle if they are not coherently interrelated.

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## Interpreting the Lek Exchange Rate Fluctuations During the Financial Crisis: Evidence from Real Time Data

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### Abstract

Interpretation of exchange rate volatility in the light of economic fundamentals comprises an issue of interest for policymakers when it comes to implementing the monetary policy. Understanding the impact of economic news on the Lek exchange rate against two main hard currencies, Euro and US dollar, would serve to better orient the monetary policy and forex market agents positioning in time. Exchange rates volatility on economic news in short-term is an often discussed phenomenon in the economic literature, but through this material we tend to measure these effects in the Albanian foreign currency market and contribute in the literature interpreting foreign currency markets volatility in developing economies. Very often, domestic foreign exchange movements are attributed to developments in large international markets. In the case of Albanian Lek volatility analysis, we tend to find answers regarding the importance of economic news coming from the two main economies in focus, Eurozone and the US. Furthermore, we investigate the importance of the economic information flow in Albania in determining the Lek exchange rate against Euro and US dollar. For a period in focus from January 2007 until July 2012, we try to understand if the exchange rate volatility has been a result of economic fundamentals or financial markets stress related economic news.

*JEL classification:* F31, F42. E52.

**Keywords:** exchange rates; fundamentals; announcements; news; real-time data; Albania, United States; Eurozone

### Introduction

Interpretation of exchange rate volatility in the light of economic fundamentals represents a main issue of interest for policymakers when it comes to monetary policy implementation. Central bank interventions are often necessary to smooth the undesired volatility, on the scope of protecting the economy from short-term high volatility and long-term "oscillations" that are skewed from the "fundamental" equilibrium. Managing the Foreign Reserve and interventions in monetary market to mark its level constitute a continuous process that requires increased effectiveness.

Economic agents are exposed to the indirect credit risk caused by sudden unpredictable fluctuations of exchange and interest rates. Financial stability reports in the Bank of Albania, repeatedly emphasize that despite of fact the biggest part of the credit uncovered from exchange rate risk is backed by a collateral, deterioration of its' quality represents a problem that should be monitored, in order to identify causes and evaluate expectation for future expectations. Understanding the impact of economic news and relevant information on Lek exchange rate against the two hard currencies, Euro and Dollar, would serve to better orient market actors in their positioning on time, forerunning and averting potential distortions that stem from high volatility in forex markets. Theory suggests that despite the argument that currency volatility permits economy to absorb different shocks, in a long-term horizon, the exchange rate will reflect economic fundamentals. Agents position themselves in markets basing on their expectation on future economic developments in relation to economic fundamentals announcements. High volatility in the forex market increases risk that stems from instability of exchange rate in economy highlighting the importance of decision-making efficiency and dedicating attention to interpreting the exchange rate as a function of economic fundamentals.

According to Vika (2016) non-linear estimations widely confirm empirical findings that repeated deviations of exchange rate in the same direction, could attract attention of Central Bank decision-makers. However, decisions to intervene are deeply discouraged in days of high exchange rate fluctuations, implying in this way a considerable evaluation of Lek being perceived as its' price movement towards a new equilibrium. Very high fluctuations would make the Central Bank hesitant to intervene in the market, and as a consequence more prudent on the optimal evaluation of intervention time depending on exchange rate oscillations.

In the effort to interpret sensitivity of exchange rates on news related to economic fundamentals, our study intends to analyze the impact of main economic news over the exchange rate, considering as news or "surprise" every deviation of the announced value from the expected value for each of fundamental economic indicators in focus of our analysis. Considering currency as an indicator of economic situation and trying to understand factors that determine Lek exchange rate against Euro and Dollar, we focus our analysis on the Albanian economy, Eurozone and US economy treating as positive economic news, announcements over fundamentals that create a positive market perception, the later being reflected in an appreciation of national currency. While as negative economic news are identified developments that as a consequence of negative perception from market agents are followed by a devaluation of the national currency against Euro and Dollar. Our analysis is based on the inter-day exchange rate that allows to understand more clearly the persistence of impact that news on economic fundamentals have in determining the exchange rate value of Lek.

Economic thought of last years has evolved bringing in literature development of two main approaches in analyzing and interpreting the exchange rate course: technical analysis and fundamentals analysis. As treated from Allen and Taylor (1990); De Grauwe and Dewachter (1993) and Cheung and Chinn (1999) technical analysis has a specific importance to understand major fluctuations or over appreciation of currencies in cases when market actors follow technical trading rules in the forex market, not taking economic fundamentals as a reference for the analysis. Later, Evans and Lyons (2002) argument that in short-term horizons the exchange rate is oriented by traded volumes, meaning supply and demand equilibriums in a specific moment of time in the forex market, determined by massive sales and purchases of currency from the side of agents. This reflects another mechanism for processing economic information far from the main economic fundamentals analysis. But, Love and Payne (2002) as Evans and Lyons (2003) find that are exactly economic fundamentals those that determine a major part of traded volumes in currencies market.

To perform analysis, we have selected the most important economic fundamentals that literature considers as determinant in understanding exchange rate volatility and on their basis analyzed effects that economic news have in appreciation of Lek against the two hard currencies, Euro and Dollar. We aim to study the impact of economic news in the attitude of forex market agents and be able to understand how their positioning varies depending on announcements dynamics over the fundamental macroeconomic indicators. As in Andersen, Bollerslev, Diebold and Vega (2003), Faust, Rogers, Wang and Wright (2003), Galati and Ho (2003) or Ehrmann and Fratzscher (2004) we use real time data for all important macroeconomic announcements and monetary policy decisions in US, Eurozone and Albania, in the quality of economic fundamentals. After creating the database with real time data on a monthly and quarterly frequency, we test their impact in determining the daily exchange rate of Lek with Euro and the US Dollar for the period January 2007 – July 2012. Forecasts taken from Bloomberg, FED's SPF<sup>1</sup> and ECB as well as forecasts of the Bank of Albania for macroeconomic indicators in focus, allow us to understand real-time deviations from their predicted values, perceived by market participants as "economic news". Through this database, our study tries to provide reliable explanatory answers in interpreting exchange rate volatility of Lek against the two hard currencies in the forex market, Euro and Dollar.

## **Data and methodology**

### **Defining the "news"**

In economic literature do exist many ways to define "news", basing on which the economic research investigates their impact in the real economy. But, following the aims of this study we define "news" as the "surprise" measured by the

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<sup>1</sup> Survey of Professional Forecasters

difference between actual spot values of macroeconomic variable in announcement day and the forecasted variable's value expected for that precise day. While the actual spot values of the macroeconomic variables are extracted from the official announcements released in the predicted days according to official announcements calendar, the expected market variable's value is taken from reliable and reputed institutional forecasters. Treating the currency market value as an indicator of state for country's economy and aiming to understand the Lek exchange rate against the two main hard currencies we focus our data research in three main economies important to determine it, respectively Albania, US and Eurozone economies. Once we obtained the full dataset of actual spot data and expected values for each variable, we analyze the effects of "surprises" on the exchange rates of that day or the successive one. In our analysis, we consider a positive "news", one which is perceived positively for the state of the economy by the market agents, leading thus in an evaluation of the national currency against other two other currencies in focus. On the other side, a negative "news" is negatively perceived by market agents being reflected in a depreciation of the national currency. Detailed statistics about the economic "news" deriving from the macroeconomic announcements for the three economies could be found as following, table 1 for the Albanian economy, table 2 for the Eurozone economy and table 3 for the US economy.

Table 1. Summary statistics for macroeconomic announcements, surveys, and surprises Albania

	Announcement		Survey		Surprise	
	Mean	St. Dev.	Mean	St. Dev.	Mean	St. Dev.
<b>Albania Announcement</b>						
CPI YoY (%)	2.93	0.95	3.13	0.91	-0.12	1.10
GDP YoY (%)	3.10	2.67	2.41	1.80	0.69	2.84
Current Account YoY (%)	0.22	0.40	0.03	0.19	0.19	0.33
Trade Balance of Goods YoY (%)	9.14	17.23	2.78	6.24	6.65	16.24
M3 YoY (%)	10.96	3.47	10.27	3.16	0.69	2.98

Source: Bank of Albania, INSTAT, IMF Country Reports, Authors' calculations

Table 2. Summary statistics for macroeconomic announcements, surveys, and surprises Eurozone

	Announcement		Survey		Surprise	
	Mean	St. Dev.	Mean	St. Dev.	Mean	St. Dev.
<b>Eurozone Announcement</b>						
ECB Ref. Rate 2-week	2.19	1.20	2.38	1.45	-0.19	0.31
Unemployment (%)	8.95	1.41	8.93	1.41	0.02	0.11
HICP YoY (%)	2.04	1.10	2.05	1.09	-0.003	0.05
GDP YoY (%)	0.53	2.48	0.57	2.47	-0.05	0.13
Retail sales MoM (%)	-0.14	0.54	0.10	0.34	-0.24	0.45
Industrial Production MoM (%)	-0.08	2.13	0.12	1.07	-0.20	1.63
PPI YoY (%)	2.62	4.20	2.65	4.18	-0.02	0.24
Trade Balance	871.6	5642.0	514.2	3922.6	357.4	3551.1

Ifo Business Climate Index	101.52	9.08	101.30	8.96	0.21	1.36
M3 YoY (%)	5.13	4.29	5.14	4.23	-0.01	0.48

Source: Bloomberg, ECB SPF, Reuters,  
Authors' calculations

Table 3. Summary statistics for macroeconomic announcements, surveys, and surprises US

	Announcement		Survey		Surprise	
	Mean	St. Dev.	Mean	St. Dev.	Mean	St. Dev.
US Announcement						
Fed. Funds Target Rate US	2.38	2.19	2.05	2.01	0.33	0.32
Consumer Confidence SA	63.41	21.58	21.14	63.78	-0.37	5.41
Housing starts	798.88	328.44	801.58	326.29	-2.70	57.06
Trade Balance	-47.45	10.58	-47.74	10.38	0.35	3.70
Retail sales MoM (%)	0.18	0.92	0.18	0.69	-0.004	0.56
PPI MoM (%)	0.28	0.99	0.21	0.65	0.07	0.50
Unemployment (%)	7.65	2.06	7.66	2.09	-0.01	0.17
Nonfarm Payrolls MoM (%)	-26.87	234.77	-14.80	233.51	-12.07	67.57
Industrial Production MoM (%)	0.05	0.77	0.12	0.50	-0.07	0.46
CPI MoM (%)	0.18	0.402	0.18	0.33	0.01	0.14
GDP Q/Q annual. (%)	1.42	2.74	1.45	2.87	-0.03	0.25

Source: Bloomberg, FED SPF, Reuters, Authors' calculations

## Methodology

Aiming to understand and interpret the relevance of real time data of fundamental indicators on exchange rates at a daily frequency, our empirical analysis uses Lek – Euro as well as Lek – US Dollar daily returns and real-time macrofinancial data during the period January 2007 and July 2012.

The real-time data consists of the data releases for important macroeconomic variables as well as of monetary policy decisions, reflecting in *real time* the information that becomes available to the markets every day. However, it should be emphasised that on the day of the announcement, we can expect the markets to react only to the unexpected component, or “news” or “surprise”, of an announcement. The remaining component of the announcement has been incorporated into the market previously, but since we cannot determine the exact timing of when this occurred, we cannot measure its impact on the markets to the same degree of accuracy.

$$S_{k,t} = \frac{A_{k,t} - E_{k,t}}{\Omega_k}$$

Our measure of news is therefore the surprise component ( $Sk,t$ ) of the announcement  $k$ , which is defined as the difference between the actual announcement ( $Ak,t$ ) and the market's prior expectation ( $Ek,t$ ), normalised by dividing by the sample standard deviation  $\Omega k$  of each announcement in order to allow a comparison of the relative size of the coefficients in the econometric model:

### The data

As abovementioned, we treat the currency market value as an indicator of state for a country's economy and try to understand the Lek exchange rate against the two hard currencies, US Dollar and Euro, focusing our real-time data research on the main macroeconomic announcements in the three focus economies primarily important to determine the rates.

Regarding the variables and related macroeconomic announcements, literature offers a broad set of them that can be used to explain/predict foreign exchange movements making it hard to determine them, especially during the financial crisis period, but our selection is based taking into reference the typically used ones in several studies and specific indicators important in defining the crisis of financial markets. Our analysis attempts to comprise data from the real economy, prices, leading indicators and policy variables. Thus, because of the unusual period of external shocks, we decided to include some measures of foreign financial tensions and risk aversion that are often used in the recent literature on asset prices. It is noted that market participants anticipated with their positioning ECB policy rate well (only 4 surprises). FED funds rate, too, has been close to zero since December 08. FED has thereafter used other monetary policy instruments to affect the cost of borrowing toward the desired levels. Due to unavailability of money growth expectations, we add 3month T-bills rate as a proxy of FED policy intentions. In Albania economy, expectations about BoA's policy rate were deemed confusing and uninformative, thus we rely solely on M3 indicator. Also, fiscal news was not possible to construct; instead, we use the spread between 12-months T-bills and 1-week repo rate and spread of the 10-years bonds of Italy, Greece and Spain from their German counterpart. We include also CBOE Market Volatility index (VIX) and the Australian dollar - Swiss franc exchange rate. While yields spreads and VIX Index aim at capturing vulnerabilities to the US and Euro crises, the last variable. proxies investors' risk aversion, or external exposure, where Swiss Franc acted as a "safe haven" currency in carry trade transactions .den-stop hypothesis. In order to reflect the big and important economic weight of German economy in Eurozone, we include IFO Business Climate Index as well.

We use the daily US dollar – Euro / Lek rate in the end of the day, at 14.30, which implies that European and Albanian news are reflected in the exchange rate on the same day, while the US news in the following day. Albanian data releases are sourced from INSTAT and Bank of Albania, while expectations of these releases come from IMF Country Reports and World Economic Outlook database. On the other hand, Eurozone and US data were collected mainly from Bloomberg, but also from ECB, Reuters, Eurostat, IFO Institute, Bureau of Labor Statistics, Bureau of Economic Analyses and the Federal reserve. Our data set includes about 66 news for most of the variables, given the time period from January 2007 to July 2012 and the fact that announcements for most of variables occur on a monthly frequency.

A brief description of the Albania, US and Euro area macroeconomic announcements selected for this study are shown in Table 4.

Table 4. Macroeconomic announcements, release dates and times

Announcement	Period	Nr. of announ.	Nr. of observations
Eurozone			

ECB refirate 2week	Jan-07	5-Jul-12	67	4
Unemployment MoM	Jan-07	31-Jul-12	68	30
HICP, EZ CPI headline YoY	Jan-07	18-Jul-12	67	16
GDP EZ (Q/Q) ann. change	Mar-07	15-Jun-12	22	10
Retail sales EZ (mom)	Jan-07	4-Jul-12	67	60
Industrial Production EZ (mom)	Jan-07	14-Jul-12	67	65
EZ PPI (yoY)	Jan-07	3-Jul-12	67	51
Trade Balance EZ n.s.a	Jan-07	16-Jul-12	67	67
Ifo Business Climate Index	Jan-07	25-Jul-12	67	66
M3 EZ (%) YoY	Jan-07	26-Jul-12	67	65
Announcement	Period		Nr. of announ.	Nr. of observations
USA				
Fed. Funds Target Rate US	Jan-07	20-Jun-12	60	5
Consumer Confidence SA	Jan-07	31-Jul-12	67	67
Housing starts	Jan-07	18-Jul-12	67	65
Trade Balance	Jan-07	11-Jul-12	66	65
Retail salesMonthly % Change	Jan-07	16-Jul-12	67	59
PPI MoM SA	Jan-07	13-Jul-12	67	62
Unemployment Rate	Jan-07	6-Jul-12	67	48
Nonfarm Payrolls MoM Net Change SA	Jan-07	17-Jul-12	67	67
Industrial Production MoM	Jan-07	17-Jul-12	67	60
CPI MoM SA	Jan-07	17-Jul-12	67	46
GDP Q/Q annualised	Jan-07	27-Jul-12	23	15
Announcement	Period		Nr. of announ.	Nr. of observations
Albania				
CPI MoM	Jan-07	6-Jul-12	66	63

GDP Q/Q	Jan-07	9-Jul-12	15	14
Current Account Q/Q	Jan-07	11-Jun-12	23	23
Trade Balance MoM	Jan-07	24-Jul-12	62	62
M3 (%) YoY	Jan-07	30-Jul-12	61	61
Tre. Bills 12m Yield	Jan-07	10-Jul-12	140	

## Results

**Table 5 displays the sensitivity of Lek/Eur exchange rate**

	Coef.	t-Stat.		Coef.	t-Stat.
<b>Eurozone news effects</b>			<b>US news effects</b>		
GDP	-0.1700	-0.50	GDP	-0.1307	-0.63
Industrial production	0.0402	1.58	Industrial production	-0.0075	-0.31
Retail sales	0.0197	0.76	Retail sales	-0.0156	-0.44
Trade balance	0.0557 **	2.21	Trade balance	0.0051	0.07
Unemployment rate	-0.3295	-1.26	Unemployment rate	0.7770	1.49
IFO	0.1096	0.96	Non-farm payroll	-0.0024	-0.04
HICP	-0.0505	-0.10	House starts	0.0207	0.22
PPI	-0.4422	-1.12	Consumer confidence	0.0385	0.41
M3	0.1711	0.62	CPI	0.0336	0.75
REFI	-0.2175	-1.30	PPI	-0.0099	-0.15
			FFR	-0.0914	-0.44
			T-Bill,3M	-0.0049	-1.18
<b>Albanian news effects</b>			<b>Effects of liquidity, sovereign, and credit risk fears</b>		
Balance of Goods	-0.0103	-0.41	Spread (AL)	0.0040	0.42
CA balance	-0.0265	-0.71	AUD/CHF	0.3123	0.67
GDP	0.1433 *	1.67	Spread (EZ)	-0.0045 **	-2.03
M3	-0.0236	-0.89	VIX	0.0003	0.53
CPI	-0.0253 *	-1.81			

Notes: \*, \*\*, \*\*\* denotes significance at 90, 95, 99 percent levels

### Reaction to news about real economy

Albania's net export of goods and Current Account balance appear to have correct positive sign, meaning that a volume increase would lead to appreciation of Lek; however, good news about domestic GDP are associated with Lek depreciation. Eurozone's "good" economic news lead to weakening of the Albanian currency, except for related positive news about Eurozone's GDP that favor the lek or negative ones that would disservice it;

US news effects are mixed: good news about US trade balance, house starts, and consumer confidence are bad news for Albanian lek; on the other hand, better GDP, industrial production, retail sales, non-farm payrolls, and lower unemployment rate surprises are also perceived as good news for lek position against euro.

### Reaction to monetary policy indicators

Restrictive policies by ECB and FED seem to lend a hand to lek, as they have negative signs. The US 3-months T-bill rate "confirms" the negative relationship, although the coefficient is much smaller. Based on interest parity theory, one would expect a sudden tightening of ECB policy rate to raise euro currency value. However, if markets perceive such policy to worsen the real economy and reduce asset prices, such as equities, it might result in a weaker euro (and vice versa).

## Reaction to price surprises

Impact of prices is, again, ambiguous, as it depends on market's perception about Central Bank's commitment to price stability. If this commitment is perceived as high, policy tightening would cause appreciation; otherwise, as PPP Theory suggests higher inflation would require nominal depreciation. Higher than expected price developments in Eurozone seem to be good news for Albanian currency; opposite is true in the case of US headline inflation; In addition, bad news for domestic inflation is found to be good news for the local currency. The coefficient is statistically significant and comes in line with findings by *Clark and West* (2007) that investigate countries with inflation targeting that follow Taylor rule reaction functions.

### *Reaction to measures of financial risk indicators*

The overall response of lek/euro exchange rate to risk expectations by market actors is as expected. Higher domestic sovereign spreads look detrimental to local currency position. Also, lek does not seem much immune at times of capital flight to 'safe havens'. On the other hand, risk fears about the common currency grip Albania's thin foreign exchange market, as euro currency holders manifest reaction by getting rid of it.

## Conclusions

Although most of the estimated coefficients in our analysis had the expected sign, the empirical investigation brought in evidence an overall lack of significant news effects, be they foreign or domestic ones. It might be partly a result of market conditions during the unusual period under consideration, and does not necessarily mean that Exchange Rate responses are not systematic.

Thus, further testing will be required to check about the importance and significance of domestic vis-a-vis foreign shocks. Testing for asymmetries in the responses to news appear imperative, too, as asset prices are shown to react more strongly to negative than to positive shocks. Similarly, larger shocks are found to cause larger adjustment of Exchange Rates.

Nevertheless, with a few exceptions, our findings are broadly similar with the size and sign of the parameter estimates in the study for USD-EUR exchange rate responses conducted by Ehrmann and Fratzscher (2004), which suggests that the price discovery process abroad is closely followed by local Forex market participants; Finally, digging more into the literature on modeling exchange rates that combines together the news effects, order flows and chartist behavior may also prove worthy to sort out these issues in the future.

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