



18th INTERNATIONAL CONFERENCE
ON SOCIAL SCIENCES
Lisbon, 17-18 May 2019

Venue:
Faculdade de Letras, Universidade de Lisboa
Lisbon, Portugal

PROCEEDINGS BOOK

ISBN 978-164606758-9



REVISTIA
PUBLISHING AND RESEARCH

18th International Conference on Social Sciences
Lisbon, 17-18 May 2019

Faculdade de Letras, Universidade de Lisboa
Lisbon, Portugal

Proceedings Book
ISBN 9781646067589

Every reasonable effort has been made to ensure that the material in this book is true, correct, complete, and appropriate at the time of writing. Nevertheless, the publishers, the editors and the authors do not accept responsibility for any omission or error, or for any injury, damage, loss, or financial consequences arising from the use of the book. The views expressed by contributors do not necessarily reflect those of Revistia.

Typeset by Revistia
Printed in Lisbon

Copyright © Revistia. All rights reserved. No part of this book may be reproduced in any form or by any electronic or mechanical means, including information storage and retrieval systems, without written permission from the publisher or author, except in the case of a reviewer, who may quote brief passages embodied in critical articles or in a review.

Address: 11, Portland Road, London, SE25 4UF, United Kingdom

Tel: +44 2080680407

E-Mail: office@revistia.com

International Scientific and Advisory Board

Ewa Jurczyk-Romanowska, PhD - University of Wrocław, Poland

M. Edward Kenneth Lebaka, PhD - University of South Africa (UNISA)

Sri Nuryanti, PhD - Indonesian Institute of Sciences, Indonesia

Basira Azizaliyeva, PhD - National Academy of Sciences, Azerbaijan

Federica Roccisano, PhD -

Neriman Kara - Signature Executive Academy UK

Thanapauge Chamaratana, PhD - Khon Kaen University, Thailand

Michelle Nave Valadão, PhD - Federal University of Viçosa, Brazil

Fouzi Abderzag, PhD

Agnieszka Huterska, PhD - Nicolaus Copernicus University in Toruń

Rudite Koka, PhD - Rīgas Stradiņa universitāte, Latvia

Mihail Cocosila, PhD - Athabasca University, Canada

Gjilda Alimhilli Prendushi, PhD -

Miriam Aparicio, PhD - National Scientific and Technical Research Council - Argentina

Victor V. Muravyev, PhD - Syktyvkar State University of Pitirim Sorokin, Russia

Charalampos Kyriakidis - National Technical University of Athens, Greece

Wan Kamal Mujani, PhD - The National Universiti of Malaysia

Maria Irma Botero Ospina, PhD - Universidad Militar Nueva Granada, Colombia

Mohd Aderi Che Noh, PhD - National University of Malaysia

Maleerat Ka-Kan-Dee, PhD

Frederico Figueiredo, PhD - Centro Universitário Una, Belo Horizonte, Brazil

Iryna Didenko, PhD - Taras Shevchenko National University of Kyiv, Ukraine

Carlene Cornish, PhD - University of Essex, UK

Sadegh Ebrahimi Kavari, PhD

Mohammed Mahdi Saleh, PhD - University of Jordan

Andrei Novac, MD - University of California Irvine, USA

Ngo Minh Hien, PhD - The University of Da Nang- University of Science and Education, Vietnam

Kawpong Polyorat, PhD - Khon Kaen University, Thailand

Haitham Abd El-Razek El-Sawalhy, PhD - University of Sadat City, Egypt

Ezzadin N. M.Amin Baban, PhD - University of Sulaimani, Sulaimaniya, Iraq

Ahmet Ecirli, PhD - Institute of Sociology, Bucharest, Romania

Dominika Pazder, PhD - Poznań University of Technology, Poland

Sassi Boudemagh Souad, PhD - Université Constantine 3 Salah Boubnider, Algérie

Lulzim Murtezani, PhD - State University of Tetovo, FYROM

Ebrahim Roumina, PhD - Tarbiat Modares University, Iran

Gazment Koduzi, PhD - University "Aleksander Xhuvani", Elbasan, Albania

Sindorela Doli-Kryeziu - University of Gjakova "Fehmi Agani", Kosovo

Nicos Rodosthenous, PhD - Aristotle University of Thessaloniki, Greece

Irene Salmaso, PhD - University of Florence, Italy

Non Naprathansuk, PhD - Maejo University, Chiang Mai, Thailand

TABLE OF CONTENTS

A NEW PARADIGM IN CROATIAN HIGHER EDUCATION: NON – FORMAL FOREIGN LANGUAGE LEARNING	19
LJUBICA KORDIC	
ANALYSIS OF TEAM WORK EFFICIENCY WITH A SPECIAL VIEW OF KOSOVA.....	28
DRITON FETAHU	
A LINEAR AND NON-LINEAR CAUSALITY ANALYSIS BETWEEN MILITARY EXPENDITURES AND EXTERNAL DEBT IN NATO MEMBER COUNTRIES.....	44
STELLA KARAGIANNI	
MARIA PEMPETZOGLOU	
FROM RAILWAY TO CYCLING ROUTES. OPPORTUNITIES FOR DEVELOPING TRAILS IN GREECE	53
CHARALAMPOS KYRIAKIDIS	
INITIAL TEACHER EDUCATION: APPROPRIATE MODELS FOR A KNOWLEDGE SOCIETY?	61
SNJEŽANA MOČINIĆ	
ELVI PIRŠL	
FROM THE SOVIET UNION TO RUSSIA, THE FALL AND THE RISE OF AN EMPIRE	71
VJOLLCA MUCAJ	
PRANVERA DIBRA	
INTERCULTURAL SENSITIVITY AND COMMUNICATION COMPETENCE OF HEALTHCARE PROFESSIONALS IN ORAL AND DENTAL HEALTH CENTER: A CASE STUDY IN TURKEY	76
PERIHAN ŞENEL TEKIN	
WINE AS AN INVESTMENT OPPORTUNITY.....	84
DANIELA MAJERČÁKOVÁ	
ALEXANDRA MITTELMAN	
MICHAL GREGUŠ	
THE IMPACT AND EFFECTS OF FINANCIAL REPORTING IN THE PUBLIC ACCOUNTING	90
ECONOMETRIC ANALYSIS MODEL: REVENUE AND EXPENDITURES FOR PERIOD 2007-2017	90
ENKELEDA LULAJ	
WHAT KIND OF TEACHER OPENS FACILITATING WAYS FOR PURPOSEFUL LEARNING?	112
LOKMAN COSKUN	
LITERATURE REVIEW OF RENEWABLE ENERGY POLICIES AND IMPACTS.....	116
TAREK SAFWAT KABEL	
MOHGA BASSIM	
THE RELATIONSHIPS OF CONTEXTUAL PERFORMANCE WITH PERSON-ORGANIZATION FIT, PERCEIVED ORGANIZATIONAL PRESTIGE AND ORGANIZATIONAL IDENTITY STRENGTH: THE MEDIATING ROLE OF ORGANIZATIONAL COMMITMENT	130
HATEM ÖCEL COLLEN	
THE DISSOLUTION OF MUNICIPAL COUNCILS DUE TO ORGANIZED CRIME INFILTRATION.....	140

FILOMENA OCCHIUZZI

COMPETENCY PROFILE OF THE TEACHING PROFESSION IN CROATIA AFTER INITIAL EDUCATION149

LORENA LAZARIĆ

SNJEŽANA MOČINIĆ

IVANA PAULA GORTAN-CARLIN

SPECIFIC ARTICULATION DISORDERS IN CHILDREN NATIVE SPEAKERS OF BULGARIAN – DISTRIBUTION, CHARACTERISTICS, DEMOGRAPHIC PATTERNS162

EKATERINA TODOROVA

GLOBAL CHALLENGES OF SOCIAL POLICY ON THE EXAMPLE OF THE LABOR MARKET: THE EXPERIENCE OF KAZAKHSTAN.....168

G. JUSSUPOVA

FORM-FOCUSED INSTRUCTION FROM THE LEARNERS' PERSPECTIVE - ISOLATED OR INTEGRATED.....173

ENRIKETA SOGUTLU

THE (MIS)EDUCATION OF IMMIGRANT CHILDREN IN TODAY'S AMERICA.....182

DR. GABRIELA E. GUI

RETURN MIGRANTS' IMPACT IN ECONOMIC DEVELOPMENT OF THE ORIGIN COUNTRY196

ALKIDA NDREKA

IDENTITY SECURITY IN ROMANIA FROM CONCEPT TO IMPLEMENTATION IN THE PUBLIC POLICIES OF INTEGRATION OF MINORITIES / ROMA POPULATION.....204

MIHĂIESCU OANA

STATE EDUCATIONAL POLICY IN THE SPHERE OF SOCIAL SCIENCES IN LATVIA - EXPERT PERSPECTIVE ..125

ELĪNA GRAUDIŅA

EFTHIMIOS BAKOGIANNIS

CHARALAMPOS KYRIAKIDIS

TATIANI MILIONI

EVALUATION OF THE MEDICAL INTERPRETER AND PATIENT GUIDANCE TRAINING IN THE MIGRANT HEALTH SERVICES: THE CASE STUDY IN TURKEY238

PERIHAN ŞENEL TEKİN

AFSUN EZEL ESATOĞLU

FINANCIAL DETERMINANTS OF PUBLIC INVESTMENT STRATEGIC MANAGEMENT244

BENEDYKT OPAŁKA

KRZYSZTOF JAROSIŃSKI

IMERETI REGION'S NATURAL - RECREATIONAL AND HISTORICAL – CULTURAL POTENTIAL AS TOURISM DEVELOPMENT FACTOR IN GEORGIA255

DAVITULIANI TSITSINO

MIKAUTADZE RUSUDAN

SELECTION OF MAINTENANCE STRATEGIES FOR AUTOMOBILE SHREDDER RESIDUE – RELIABILITY, ECONOMIC AND HUMAN RESOURCES ASPECT261

ELEONORA DESNICA

TEACHER ATTRITION AND SCHOOL LEADERS' CAPACITY FOR LEADING, PRACTICES AND BEHAVIORS – A COMPARATIVE STUDY.....269

DR. GABRIELA E. GUI

TEACHERS' UNDERSTANDING AND PRACTICES REGARDING INCLUSIVE EDUCATION WITH STUDENTS WITH AUTISM SPECTRUM DISORDER (ASD) IN AN INCLUSIVE PRIMARY SCHOOL IN THE KINGDOM OF SAUDI ARABIA. "LITERATURE REVIEW".....281

ABDULMALIK ALKHUNINI

NATIONALISM AND THE POSTCOLONIAL: FROM EDWARD SAID'S *ORIENTALISM* TO GRAHAM HUGGAN'S *POSTCOLONIAL EXOTIC*287

JAROSŁAW KUJATH

WELL-BEING AND PRODUCTIVITY290

MARÍA DOLORES ARDERIU GANDÍA

THE HYPOTHESIS OF A NON THREATNING FINANCE FOR A SUSTAINABLE SMES DEVELOPMENT IN EU301

SAID EDAICH

ELECTUDE IN EDUCATION – STUDENTS AND TEACHERS CHALLENGES IMPLEMENTING A NEW DIGITAL TOOL FOR LEARNING: THE TRANSITION PROCESS HANDLING A NEW TOOL IN A SWEDISH CERTIFIED MOTORBRACH COLLEGE.....310

PH.D. IN SPECIAL EDUCATION, GUN-MARIE WETSO

USING EXPERIENTIAL LEARNING THEORY TO IMPROVE TEACHING AND LEARNING IN HIGHER EDUCATION317

LEONG Y. JONATHAN

INDUSTRY LEADER PREMIUM327

JA RYONG KIM

APPLICATION OF Z-NUMBERS BASED APPROACH TO PROJECT RISKS ASSESSMENT338

A.M.NURIYEV

THE ROLE OF SCIENTIFIC TERMINOLOGY AND METAPHORS IN MANAGEMENT EDUCATION.....345

LUKE PEH LU CHANG

SHAMAS UR REHMAN TOOR

LEONG Y. JONATHAN

SEXUAL AGENCY, SAFE SEX, AND CONSENT NEGOTIATIONS IN EROTIC ROMANCE NOVELS.....356

LAURA M. MOORE

HOOD COLLEGE

THE RISK OF LONG-TERM FINANCING OF PUBLIC INVESTMENTS.....361

KRZYSZTOF JAROSIŃSKI

BENEDYKT OPAŁKA

HOPELESSNESS AND DESPAIR371

DIMITRIOS DENTSORAS

SOMATIC LEXEMES IN THE KARTVELIAN LINGUISTIC SPACE.....	378
RUSUDAN ASATIANI	
NATIA DUNDUA	
MARINE IVANISHVILI	
ETHER SOSELIA	
A COMPARISON OF EQUITY VALUATION MODELS: EMPIRICAL EVIDENCE FROM A SAMPLE OF UK COMPANIES.....	382
JA RYONG KIM	
LANGUAGE THROUGH COMMUNICATIVE ACTIVITIES IN UPPER-LEVEL STUDENTS (CASE STUDY: “TURGUT OZAL” HIGH SCHOOL TIRANE).....	398
İSA ERBAŞ	
MA XHENSIKA VENGO	
INTERCULTURE; CONCEPT, USE AND ETHICS BETWEEN EQUALITY AND DIFFERENCE.....	407
ANITA HOLM RIIS	
THE SCOPE AND LIMITATIONS OF LEGAL PROTECTION OF CHINESE FOREIGN INVESTMENTS IN LUSOPHONE MARKETS AND THE ROLE OF MACAU SOCIETY	413
M. P. RAMASWAMY	
CHANGES IN ATTITUDES TOWARDS ADVERTISING: 2007- 2018 EVIDENCE FROM THE NEW GENERATION BANGLADESHI CONSUMERS.....	423
MOHAMMED ABDUR RAZZAQUE	
INTEGRATING KNOWLEDGE SOCIETY: A SURVEY LED IN THREE UNIVERSITIES	434
AZZEDINE BOUDERBANE	
TEBOURA BENKAID KESBA	
NADJIA GAMOUH	
THE PRAGMATIC FUNCTIONS OF VAGUE EXPRESSIONS IN HILLARY CLINTON’S DEBATING DISCOURSE ON IRAQ.....	440
HUDA H. KHALIL	
THE NEED OF PROFESSIONAL SOCIAL WORK IN OVERCOMING SOCIAL PROBLEMS AND SOCIAL EXCLUSION OF CHILDREN IN THE PROCESS OF EDUCATION	447
SVETLANA TRBOJEVIK	
SUNCHICA DIMITRIJOSKA	
VLADIMIR ILIEVSKI	
MISCONCEPTIONS ABOUT INDIGENOUS AFRICAN MUSIC AND CULTURE: THE CASE OF INDIGENOUS BAPEDI MUSIC, ORAL TRADITION AND CULTURE	456
MORAKENG EDWARD KENNETH LEBAKA	
QUALITY AT NEWLY ESTABLISHED PRIVATE UNIVERSITIES: NEW STRATEGIES FOR LEADERSHIP MANAGEMENT	469
SKENDER BRUÇAJ	

BLACK SKIN, RED MASKS. RACISM, COMMUNISM AND THE QUEST OF SUBJECTIVITY IN RALPH ELLISON' INVISIBLE MAN	475
SIAVASH BAKHTIAR	
MODERN GREEK DRAMA AND THEATRE IN THE CRISIS PERIOD: MNEMONIC FLASHBACK OF THE PAST AS A DEFENSE MECHANISM IN THE PRESENT	484
THEODORE GRAMMATAS	
FISH CONSUMPTION IN THE AGE OF THE INFORMATION SOCIETY - THE EVOLUTION OF THE FISH SECTOR IN PORTUGAL	490
ANA OLIVEIRA MADSEN CATÓLICA PORTO BUSINESS SCHOOL, PORTUGAL VALENTINA CHKONIYA UNIVERSITY OF AVEIRO, PORTUGAL	
THE INFLUENCE OF PRACTICES THROUGH INTERRELIGIOUS DIALOGUE: TYPES OF PARTICIPATIONS, ISSUES, SOLUTIONS AND EFFECTS THAT ARISE	505
EKSIÖGLU CRISTINA-MIHAELA	
THE EFFECT OF CENTRAL BANKS 'MEETING DATES TO THE SHARE PRICES	514
ESER YEŞILDAĞ HAKAN KARAHAN	
CRAFTING SOCIABILITY IN FEMALE SPIRITUAL PRACTICES: THE CASE OF BOUTCHICHIYYAT	519
SARAH HEBBOUCH	
TOWARDS WHICH MODEL OF CAPITALISM ARE THE COUNTRIES OF CENTRAL AND EASTERN EUROPE GOING TO? COMPARATIVE ANALYSIS OF THIS TRAJECTORY AND ITS POST-TRANSITION ISSUES.....	527
ORIOLA MUSA	
PROFILE AND FEATURES OF ECONOMIC GROWTH IN ALBANIA DURING 1992-2018. WHAT IS THE BEST STRATEGY FOR ECONOMIC GROWTH?.....	535
ORIOLA MUSA	
EDUCATIONAL SITUATION IN THE PREFECTURE OF ELBASAN IN THE YEARS OF THE ALBANIAN PARLIAMENTARY REPUBLIC 1925-1928.....	546
RUDINA MITA ENKELEJDA BALLA	
FINANCIAL INSTITUTIONS INVOLVED IN THE BANKRUPTCY AND LIQUIDATION PROCESS IN KOSOVO	553
NAIM SPAHIU	
IMERETI REGION'S NATURAL - RECREATIONAL AND HISTORICAL - CULTURAL POTENTIAL AS TOURISM DEVELOPMENT FACTOR IN GEORGIA	563
DAVITULIANI TSITSINO MIKAUTADZE RUSUDAN KUTAISI AKAKI	
THE INNOVATIVE INTEGRATION OF SBIRT RAINING USING STANDARDIZED CLIENTS AND COMPUTER SIMULATION IN SOCIAL WORK EDUCATION	569

SHERI BOYLE
THAO PHAM

VISUAL COMMUNICATION THROUGH FEMALE BODY IN ART AND DESIGN	576
DOĞAN ARSLAN	
ANALYSES OF THE SUSTAINABLE PATTERNS AND BEHAVIOURS: THE CASE OF THE RESIDENTS IN THE MEDITERRANEAN REGION OF SLOVENIA	583
ŠPELA VEROVŠEK MATEVŽ JUVANČIČ TADEJA ZUPANČIČ	
ACTIVE AND QUALITATIVE LEARNING A CONSEQUENCE OF THE INTEGRATION OF NON-FORMAL METHODS IN TEACHING CONTENT AND THEIR IMPLEMENTATION IN THE TEACHING PROCESS	590
NAZYKTERE HASANI	
BUILDING TRUST IN THE SHADOW OF THE FUTURE	596
PETER HWANG	
MEMORY, FORGETFULNESS AND NARRATION: REMINISCENCE TO RECALL VICTIMS OF THE ARMED CONFLICT IN COLOMBIA	612
ALEJANDRO RIASCOS GUERRERO <i>CORPORACION UNIVERSITARIA MINUTO DE DIOS, CENTRO REGIONAL PASTO</i>	
TRAVEL AND DISEASE IN THOMAS MANN'S DEATH IN VENICE	621
RYSZARD W. WOLNY	
A COMPARATIVE ANALYSIS OF THE ALBANIAN AND BRITISH ENGLISH VOWEL SYSTEM	627
LENIDA LEKLI	
THE ISLAMIC CONCEPT OF SOCIAL JUSTICE AS A MEANS OF PEACE-BUILDING ATTAINMENT WITHIN THE FRAMEWORK OF HUMAN DIGNITY AND SOCIAL RELATIONS	632
ATAKAN DERELIOGLU	
WHAT KIND OF TEACHER OPENS FACILITATING WAYS FOR PURPOSEFUL LEARNING:?	638
LOKMAN COSKUN	
STATISTICAL PROCESS CONTROL (SPC) AND QUALITY MANAGEMENT SYSTEMS AS A SPECIALTY OF QUALITY MANAGEMENT AND CASE TURKEY	642
SEMIH DÖNMEZER	
DISPOSITIONS OF ADULTS WITH LOW EDUCATION LEVELS, AND WHO HAVEN'T RETURNED TO FORMAL EDUCATION, TOWARDS LIFELONG LEARNING	654
VANESSA CARVALHO DA SILVA	
MONETARY POLICY IN ALBANIA 2000 - 2017: A SHORT CRITIQUE	669
ALTIN ZEFI	
ROMAN-CATHOLIC PARISH REGISTERS OF THE NORTHERN-EASTERN PART OF THE FORMER POLAND UNDER THE RUSSIAN RULE (THE SECOND HALF OF THE SIXTH CENTURY)	680
LEONARDA DACEWICZ	

REBUILDING “FRONT-PORCH” COMMUNICATION AND FOSTERING DIVERSITY THROUGH ONLINE INSTRUCTION.....	682
LARRY W. RIGGS	
DR. BUTLER UNIVERSITY	
SANDRA HELLYER-RIGGS	
UN ADMINISTRATION OF JUSTICE IN THE POST ARMED CONFLICT SOCIETIES: UNMIK CASE IN KOSOVA 2000-2006	684
MUSA XH. DRAGUSHA	
FLORIM SHEFQETI	
ENTREPRENEURSHIP PROGRAM ON THE BLOCKCHAIN: A PROPOSED FRAMEWORK.....	686
AHMED GOMAA, PH.D	
SATYA P CHATTOPADHYAY, PH.D	
THE WEBSITE OF THE ORGANIZATION- THE OWN MEDIA ENTERPRISE-A LOGICAL CONSEQUENCE OF MEDIATIZATION OF COMMUNICATION.....	687
ANA-MARIA TEODORESCU	
INEQUALITY IN ACCESS TO ELITE HIGHER EDUCATION IN CHINA: AN EXPLORATION OF THE EXPERIENCES OF YOUNG PEOPLE FROM THE CITY OF HOHHOT	688
RAN QI	
COGNITIVE BIASES AND CULTURAL TRAINING	689
MARIE-THERESE CLAES	
ABSTRACT	
THE IMPACT OF COMPUTER / CONSOLE GAMES ON AUTONOMOUS LANGUAGE	690
TARIQ ELYAS	
ABDULRAHMAN ZAIDAN	
ISSUES CONCERNING OF FEMININE DOMESTIC VIOLENCE IN FORENSIC PSYCHOLOGY FIELD	691
MIKOŁAJ CUGOWSKI	
INTELLIGENCE SHARING IN FIGHTING TRANSNATIONAL ORGANIZED CRIME IN TAIWAN.....	692
CHUNG-YOUNG CHANG	
BIOACTIVE COMPOUNDS FROM THREE GREEN ALGAE SPECIES ALONG ROMANIAN BLACK SEA COAST WITH THERAPEUTICALLY PROPERTIES.....	693
R. SIRBU	
T. NEGREANU-PIRJOL	
M. MIREA	
B.S. NEGREANU-PIRJOL	
ANTIOXIDANT ACTIVITY CORRELATED WITH CHLOROPHYLL PIGMENTS AND MAGNESIUM CONTENT OF SOME GREEN SEAWEEDS	694
T. NEGREANU-PIRJOL	
R. SIRBU	
M. MIREA	

B.S. NEGREANU-PIRJOL	
EDUCATION, PERSON, SUFFERING	695
TIZIANA IAQUINTA	
IMPLEMENTING THE MAIN CONCEPTS OF MODERN RUSSIAN POLITICAL DISCOURSE IN THE PROGRAM DOCUMENTS OF POLITICAL PARTIES – LINGUISTIC ANALYSIS.....	696
ROBERT SZYMULA	
ELT SOPHOMORE’S EVALUATIONS ON THE APPROACHES AND METHODS COURSE	697
ÇAĞLA ATMACA	
THE RELATIONSHIP TO WRITING OF ELEMENTARY SCHOOL STUDENTS FROM DISADVANTAGED BACKGROUNDS.....	698
MIRELA MOLDOVEANU	
FRANCE DUBÉ	
MARIE-HÉLÈNE GIGUÈRE	
NAOMI GRENIER	
PRACTICAL EDUCATION MODEL WITH DISABLED DEAF ART STUDENTS IN COALESCENCE WITH OTHER FINE ART STUDENTS AS A SOCIAL RESPONSIBILITY PROJECT: CASE STUDY IN FINE ARTS EDUCATION	699
EZGI HAKAN VERDU MARTINEZ	
PAINS AND GAINS OF DESIGNING ONLINE LANGUAGE COURSES FOR LEGAL PROFESSIONALS	700
HALINA SIEROCKA	
SOMATIC LEXEMES IN THE KARTVELIAN LINGUISTIC SPACE.....	701
NATIA DUNDUA	
MARINE IVANISHVILI	
ETHER SOSELIA	
A MEDITERRANIAN HARBOUR TOWN; GALATA	702
NILGÜN ÇÖL	
DEVELOPING SELF-REGULATION AMONG ELEMENTARY SCHOOL STUDENTS FROM DISADVANTAGED BACKGROUNDS IN QUEBEC (CANADA): ANALYSIS OF THE IMPACTS OF THE CO-CONSTRUCTION AND EXPERIMENTATION OF DIFFERENTIATED PEDAGOGICAL PRACTICES.....	703
NAOMI GRENIER	
MIRELA MOLDOVEANU	
AN EXAMINATION OF THE ASSOCIATION BETWEEN PRO-ENVIRONMENTAL BEHAVIOUR AND CONTACT WITH NATURE IN CANADA	704
LAURA LAMB	
THOMPSON RIVERS UNIVERSITY	
ESP CLASSROOM AS PERCEPTUAL MODALITY LABORATORY	705
JELENA VUKIĆEVIĆ	
TRADITIONAL VS. MODERN TEACHING METHODS - CASE OF ALBANIA.....	706
ELONA LIMAJ	

MURALS FOR COMMUNITIES: EXTRALINGUISTIC CHALLENGES	707
SAULE JUZELENIENE	
SAULE PETRONIENE	
LEARNING ENGLISH AT SECOND CHANCE SCHOOLS: THE CASE OF THE GREEK MUSLIM MINORITY	708
ELENI FANI KAZANTZI	
MAKRINA NINA ZAFIRI	
IMPACT OF MARINE VESSELS PRODUCED WITH COMPOSITE MATERIALS IN THEIR PERFORMANCE AND REDUCTION OF CO₂ EMISSIONS.....	709
MIRELA KOCI	
TEACHING IN THE MULTICULTURAL CLASSROOM: LESSONS FOR THE "MONOCULTURAL" TEACHER	710
SARA FINE-MELTZER	
MAKING ECONOMIC SCIENCE A NATURAL ONE: A POSITIVE ECONOMIC SCIENCE SHOULD BE BASED ON UNIVERSAL NATURAL LAWS.....	711
PAUL FUDULU	
RESEARCH ON THE RISK OF CHINESE ENTERPRISES OFDI IN THE COUNTRIES ALONG "ONE BELT AND ONE ROAD"	712
BINGJIE LI	
THE INTERACTION BETWEEN LITIGATION RISK AND CORPORATE GOVERNANCE.....	713
GUOPING LIU	
JERRY SUN	
NURSING STUDENTS' OPINIONS ON SKILL LABORATORY PRACTICES: A PHENOMENOLOGICAL STUDY	714
LEYLA MUSLU	
COMPETITIVE TRADE SECTORS IN THE CZECH REPUBLIC: COMBINED GROSS TRADE AND VALUE-ADDED ANALYSIS	715
TEREZA DE CASTRO	
JANA VLČKOVÁ	
ONDŘEJ ŠANKOT,	
CRISTINA PROCHÁZKOVÁ ILINITHCHI	
CRAFTING SOCIABILITY IN FEMALE SPIRITUAL PRACTICES: THE CASE OF <i>BOUTCHICHIYYAT</i>.....	716
SARAH HEBBOUCH	
TEACHERS AS DIGITAL CITIZENS	717
GUVEN CAGDAS GUNDOGDU	
BAHIA'S <i>RÁDIO AFRICA</i>: WORLDING AFRICAN SOUNDSCAPES AND DIASPORIC IDENTITIES, TRANSLATION AND MACUMBAIZATION	718
LYOTA BONYEME	
PUBLIC SPENDING AND THE BUDGET TRANSPARENCY OF THE ALBANIAN GOVERNMENT.....	719
MARSIDA ASHIKU	
NADA TAPIJA	

OPERATION OF SPORTS FACILITIES: IS THERE A HEALTH-PROMOTION FUNCTION? 25 CASES FROM HUNGARY AND THE WORLD.....	720
TÜNDE MÁTÉ	
TAMÁS GYÖMÖREI	
ELDER PEOPLE AS BURDENS: AN OVERVIEW OF NEGATIVE REPRESENTATIONS OF OLD AGE IN CONTEMPORARY ANGLOPHONE SOCIETIES	721
DANIEL TEGHE	
STRENGTHS, WEAKNESSES, OPPORTUNITIES AND THREATS OF MODIFIED MOSQUITOES FOR DISEASE PREVENTION – PERCEPTIONS OF SCIENTISTS AND ACTIVISTS	722
ALANNY FERREIRA MOUTINHO	
TERESA LOBO MACHADO SOUSA NAZARÉ	
ISABEL MARIA RODRIGUES CRAVEIRO	
LUZIA AUGUSTA PIRES GONÇALVES	
ROSA MARIA FIGUEIREDO TEODÓSIO	
CARLA ALEXANDRA GAMA CARRILHO DA COSTA SOUSA	
SUSTAINOENTREPRENEURSHIP: A COMPREHENSIVE BIBLIOMETRIC ANALYSIS AND FUTURE AGENDA	723
EDUARDO TERÁN-YÉPEZ	
GEMA MARÍA MARÍN-CARRILLO	
MARÍA DEL PILAR CASADO-BELMONTE	
MARÍA DE LAS MERCEDES CAPOBIANCO-URIARTE	
THE ASPECTS OF CONFLICT BETWEEN FATHER AND CHILD IN FORENSIC PSYCHOLOGIST EXPERTS' EXAMINATIONS.....	724
KRISZTINA TARNOKINE TÖRŐ	
RITA F FÖLDI	
ANDREA KÖVESDI	
ZSÓFIA BOROSTYÁNKŐI	
LUCA ADÁMY	
ÉVA HADHÁZI	
NURSING STUDENTS' METAPHORICAL IMAGES ON SKILL LABORATORY PRACTICES.....	725
ILHAN GUNBAYI	
THE STORY OF THE JEWS SAVED IN ALBANIA	726
ALBAN MALIA	
PISA AND TEACHERS PROFESSIONALISM: THE CASE OF MALAYSIA EDUCATION SYSTEM.....	727
MUHAMMAD ASYRAF BIN ABDUL RAHMAN	
EdD CAND. UNIVERSITY OF BRISTOL	
PRISON AS AN INEQUITABLE PUBLIC POLICY	728
MARCO RIBEIRO HENRIQUES	
FDUNL	

THE (ESSENTIAL) CRITERION FOR A DECISION OF THE EUROPEAN COURT OF HUMAN RIGHTS IN PRISON LABOUR MATTERS.....	729
MARCO RIBEIRO HENRIQUES	
DANIELA SERRA CASTILHOS	
IVANA PEŠO	
NIKOLA MARANGUNIĆ	
HAVE YOU EVER SEEN THE VOID? INTEREST GROUPS CONCERNS TOWARD THE WEAKENING REPRESENTATIONAL ROLE OF POLITICAL PARTIES IN EUROPEAN COUNTRIES	731
CHIARA FIORELLI	
INTERCULTURAL PEDAGOGY: A METHODOLOGY FOR CONTEMPORARY SOCIETY	732
GIOVANBATTISTA TREBISACCE	
THE CREATION OF THE CONVENIENT INVESTMENT STRATEGY IN FOREX	733
DANIELA MAJERČÁKOVÁ	
MICHAL GREGUŠ	
THE EURO IN HISTORICAL COMPARISON TO THE RUBLE AND THE INFLUENCE OF OVERCONFIDENCE.....	734
SEBASTIAN HOFFMANN	
GOVERNMENT EXPENDITURES AND ECONOMIC GROWTH: A NONLINEAR CAUSALITY INVESTIGATION FOR THE UK	735
STELLA KARAGIANNI	
MARIA PEMPETZOGLOU	
ANASTASIOS SARAI DARIS	
THE RURAL DEVELOPMENT AND EMPLOYMENT IN ALBANIA	736
MANUELA MEÇE	
ARTUR RIBAJ	
TOWARDS A DEMOCRATIC LABORATORY SCHOOL	737
SIMONA PERFETTI	
GLOBAL EMPIRE? THE CONCEPT OF A NEW WORLD ORDER AND THE POWER OF THE LIBERAL SYSTEM..	738
ALEKSANDRA SPALIŃSKA	
STEP BY STEP FOR SOCIAL INNOVATION WITH NEURO-FUZZY MODELLING	739
MARIANN VERESNÉ SOMOSI	
KRISZTINA VARGA	
GYÖRGY KOCZISZKY	
SOCIAL BUSINESSES WITH AN EXPORT PROFILE AS A MECHANISM TO PROMOTE ENTREPRENEURSHIP AND IMPROVE WELFARE	740
IGNACIO ORTIZ BETANCOURT	
MARÍA DEL CARMEN MEZA TÉLLEZ	
JORGE SAMUEL BERDÓN CARRASCO	
LEIDY MARGARITA LÓPEZ CASTRO	

PATRICIA MARGARITA VILLAR SÁNCHEZ

ARMS UP, GUNS DOWN. ANALYZING THE CLASH BETWEEN THE NARRATIVES OF STATE AND MEDIA ACTORS ON LIGHT WEAPONS CONTROL IN ALBANIA (2017)	741
LEIDA RUVINA	
THE SOURCES OF ECONOMIC GROWTH IN NIGERIA: A GROWTH ACCOUNTING APPROACH	742
EMEKA NKORO	
AHAM KELVIN UKO	
DETERMINANTS OF ORGANIZATIONAL COMMITMENT IN EMERGING MARKET: KOREAN EXPATRIATES IN INDIA	743
HYEONG-DEUG KIM	
SCIENCE AS INTERDISCIPLINARY ANALYSIS OF TEMPORARY AND UNSTABLE FEATURES, AND NOBERT ELIAS' RELATIONAL PERSPECTIVE OF FEAR, VIOLENCE AND STATE	744
LEIDA RUVINA	
PROFESSIONAL PROFILE AS LIFE REFLECTION STORY	745
GINA CHIANESE	
INTERGENERATIONAL MANAGEMENT SUCCESSION: SPECIFICITIES OF THE PORTUGUESE FAMILY BUSINESS	746
ANA PAULA MARQUES	
ANA ISABEL COUTO	
EDUCATIONAL ASSOCIATION CHILDREN'S LIBRARY PUBLISHING: THE CASE OF FAIRY TALES	747
ALEXIA ORFANO	
NEW TRENDS IN THE TEACHING OF THE INTERCULTURAL COMPETENCE AS PART OF THE PROCESS OF TEACHING FOREIGN LANGUAGES IN THE CONTEXT OF HIGHER EDUCATION IN SPAIN.....	748
YOLANDA GARCÍA HERNÁNDEZ	
DIFFERENTIATED INSTRUCTION AND PUPIL MOTIVATION IN LANGUAGE TEACHING	749
DR. ANGELIKI MARKOGLOU	
ECONOMIC CONTRIBUTION OF ECOTOURISM, MOTIVATIONS AND SATISFACTION: THE CASE OF PUERTO EL MORRO (ECUADOR)	750
SULEEN DIAZ-CHRISTIANSEN	
UNIVERSIDAD CASA GRANDE – ECUADOR, ANNABELLE FIGUEROA LIZARZABURU	
UNIVERSIDAD CASA GRANDE – ECUADOR	
ABSTRACT	
MANAGEMENT ACCOUNTING MATURITY LEVELS CONTINUUM MODEL: A CONCEPTUAL FRAMEWORK.....	751
PAVEL LEBEDEV	
LOW COST PRIVATE SCHOOLS: 'HELPING' TO REACH EDUCATION FOR ALL THROUGH EXPLOITING WOMEN	752
ROY CARR-HILL	
SHELLEY SAUERHAFT	

THE CONSTRUCTION OF IDENTITY: READING AND WRITING THE WAY INTO UNDERSTANDING THE WORLD	753
PAULA ANDREA BECERRA	
POSITIVE IMPACT OF COMPUTER CONFERENCING IN DISTANCE EDUCATION	754
GBENGA MICHAEL ADEYEYE	
ENVIRONMENTAL AND SOCIAL SUSTAINABILITY IN UK CONSTRUCTION INDUSTRY: A SYSTEMATIC LITERATURE REVIEW	755
FOTIOS MISOPOULOS	
VICKY MANTHOU	
ZENON MICHAELIDES	
AYOMIDE ADEBAYO	
TOWARDS CRITICAL THINKING AND ITS PERCEPTION IN GEORGIA	756
(TBILISI OPEN TEACHING UNIVERSITY CASE).....	756
SOPHIO MORALISHVILI	
KHATIA SHEVARDNADZE	
RUSUDAN TKESHELASHVILI	
THE DARK SIDE OF THE LEADERSHIP: THE EFFECTS OF TOXIC LEADERS ON EMPLOYEES.....	757
MERT KILIÇ	
AYŞE GÜNSEL	
PATHWAYS OF PROFESSIONAL IDENTITY DEVELOPMENT: A GROUNDED THEORY OF FEMALE SCHOOL PRINCIPALS.....	758
LINA BAIRAŠAUSKIENĖ	
HIGHER EDUCATION IN VUCA-WORLD: NEW METAPHOR OF UNIVERSITY	759
TATIANA V. KORSAKOVA	
TENDENCIES OF VISITING THE CINEMA AND WATCHING TELEVISION: STUDENTS OF THE CINEMA AND TELEVISION DEPARTMENT AT AFYONKOCATEPE UNIVERSITY	760
SENA COŞKUN,	
ASSOC. PROF. DR., FACULTY OF FINE ARTS, UNIVERSITY OF AFYON KOCATEPE, TURKEY	
SINAN SARAÇLI	
ASSIST. PROF. DR., FACULTY OF SCIENCE AND LITERATURE,, UNIVERSITY OF AFYON KOCATEPE, TURKEY	
THE CONCEPT OF TRUST IN SOCIO-ECONOMIC LIFE	761
ERCAN ÖZEN	
TOWARDS CULTURALLY RESPONSIVE EDUCATION: A QUALITATIVE APPROACH	762
DILEK KAYAALP	
NEW LEGAL SOLUTIONS IN THE HUNGARIAN CRIMINAL LAW WITH REFERENCE TO THE FIGHT AGAINST THE IRREGULAR MIGRATION	763
ROBERT BARTKO	
KAFKA “SHANGHAI-ED”: ORIENTALIST CHINA IN KAFKA’S FICTION AND KAFKAESQUE PHENOMENA IN CHINA	764

PRIMOŽ MLAČNIK

STRIKE IN PORTUGAL: PERCEPTION DIFFERENCES BETWEEN PUBLIC AND PRIVATE SECTOR EMPLOYEES765

DIAMANTINO RIBEIRO
EVA DIAS DA COSTA

EXPLORING TEACHING PROFESSION CHALLENGES IN GEORGIA766

MAIA AKHVLEDIANI
SOPHIO MORALISHVILI

IMPACT OF DELAY ON COST OVERRUN IN CONSTRUCTION PROJECTS IN ALGERIA.....767

SALHI ROUMEISSA

MEMORY OF THE LANDSCAPE AND ETHICAL DWELLING.....768

VERENO BRUGIATELLI

THE EFFECT OF PERCEIVED INTEREST AND PRIOR KNOWLEDGE ON L2 READING COMPREHENSION VIA SEVERAL ASSESSMENT METHODS IN A HIGHER EDUCATION CONTEXT769

ANA CRISTINA LAHUERTA MARTÍNEZ

EFFECTS OF MOBILE ASSISTED LANGUAGE LEARNING ON DEVELOPING LISTENING SKILL TO THE DEPARTMENT OF ENGLISH STUDENTS IN COLLEGE OF EDUCATION FOR WOMEN AT AL IRAQIA UNIVERSITY770

ABEER HADI SALIH

AN ALGORITHM DESCRIBING THE VERB VALENCE CHANGES IN THE KARTVELIAN LINGUISTIC SPACE771

RUSUDAN ASATIANI

THE DELINQUENT WITH ATTENTION DEFICIT HYPERACTIVITY DISORDER (ADHD)772

ALBERTO PINTADO ALCÁZAR

ETHICS IN TCE: AN APPLICATION OF TCE TO THE CASE OF THE INTERNAL OVERSIGHT AT THE UNITED NATIONS773

MARIA DO ROSÁRIO DA VEIGA

A New Paradigm in Croatian Higher Education: Non – Formal Foreign Language Learning

Ljubica Kordic

Associate Professor, Faculty of Law, University of Osijek, Croatia

Abstract

Knowledge of legal English, with English as lingua franca of international communication has become an essential precondition for communication of legal professionals worldwide. That is the reason why law students and legal professionals in Europe, especially those working in new member states of the EU, are interested in widening their knowledge in legal English within different forms of non-formal foreign language education. In this paper, the author presents a new paradigm of foreign language teaching at Croatian universities that was introduced due to recent changes in professional communication, the intensive development of IT, and growing importance of English in international context. The objective of the paper is to present examples of good practice and innovation in teaching LSP in Croatian higher education. The challenges of professional communication in the field of law are presented and discussed in the introduction of the paper. In the main part, the types of non-formal education are presented that were developed at the Faculty of Law Osijek, Croatia as a response to requirements of the EU labour market and the professional communication between lawyers. The first non-formal type of education presented in the paper is the Lifelong Learning Programme for Lawyer Linguists, and the second one the course Legal English for Civil Servants developed within the European cross-border project CATCH, organized by Croatian and Hungarian units of local and regional self-government. In the conclusion, the author discusses the achievements of the two programmes and offers her vision of the future developments in foreign language teaching at European higher education institutions.

Keywords: higher education, non-formal foreign language learning, lifelong learning, community projects

Introduction

In the Strategy for the period 2010-2020, the Josip Juraj Strossmayer University of Osijek, among other goals, expressed its commitment to promote lifelong learning programmes as non-formal ways of education (Strategy, 2011: 54), directed at the acquisition of additional knowledge, competences, and skills by students, academic community and wider civil community. According to the European Recognition Manual, non-formal learning is defined as "(...) learning which takes place through planned activities (in terms of learning objectives, learning time) where some form of learning support is present (e.g. a learner - teacher relationship). Very common cases of non-formal learning include in-company training, structured online learning and courses organized by civil society organizations."¹ In the past twenty years, the European Commission has been promoting both non-formal and informal learning as the evolution of what in the 1980s was called continuous training. The Commission has defined non-formal learning as a specific type of learning activity, which is structured in terms of learning objectives, learning time, and learning support, and intentional from the learners' perspective (European Commission 2001: 33). Under conditions of constant changes and developments in information technologies, which influence every sphere of human activity, informal learning is also highly recommended. "Informal learning concerns learning resulting from daily life activities related to work, family or leisure. It is not structured (in terms of learning objectives, learning time or learning support) and typically does not lead to certification. It may be intentional of the basis, but in most cases, it is non-intentional" (European Commission 2001: 33).

In this paper, the author aims at presenting two different programmes within non-formal ways of teaching and learning foreign languages as examples of good practice in FLT. The programmes are presented as illustrations of a new paradigm of non-formal teaching and learning in the higher education system of Croatia. The first programme presented in this paper

¹www.enicnarc.net/fileusers/8220_European%20Recognition%20Manual%20Second%20Edition%20FIN.pdf accessed on 10. December 2018, at 14:10

is the Lifelong Learning Programme for Lawyer Linguists developed at the Faculty of Law, University of Osijek, and the second is an in-company training organized in cooperation with the local Public Administration Office within a wider interregional European project. Both programmes are in line with the commitment of the Faculty of Law, University of Osijek, to provide its students and the wider local community with knowledge and skills which would help them meet the challenges of modern society. The programmes were organized by the Department of Foreign Languages of the Faculty. As the author has already presented the Lifelong Learning Programme for Lawyer Linguists and the methodological approach to its delivery in detail in previous publications (Kordić: 2015a; 2016), the Programme will be shortly presented here only as an illustration of the specific type of non-formal education at the tertiary level.

Lifelong Learning Programme as a Non-Formal Type of Foreign Language Teaching

In accordance with the Strategy of the University of Osijek and the Strategy of the Faculty of Law, the Chair of Foreign Languages of the Faculty has launched in academic year 2012/13 a non-formal education programme in the period of accession of Croatia to the EU. The programme was developed within the lifelong learning aspect of education and was titled "Lifelong Learning Programme for Lawyer Linguists". It was launched in the first year of the accession of the Republic of Croatia to the European Union when new employment chances have been opened to Croatian lawyers and linguists on the EU labour market. The European Personnel Selection Office of the EU Commission published on its website job announcements for lawyers, legal administrators, legal translators and a new profession: lawyer-linguists. The goal of the Programme was to equip students with new skills and abilities, which would enable them to meet the challenges of the changing economic and political environment and the requirements of the European market. That goal could be achieved by introducing a new paradigm into a traditional approach to higher education: a non-formal way of teaching practical skills focussed on European law and European legal terminology in the three working languages of the EU: English, German and French.

The programme is comprised of seven courses: Introduction to the EU Law, Introduction to the Theory of Legal Translation and Terminology, Exercises in Legal Translation – English Language, Exercises in Legal Translation – German Language, Introduction to the French Language of Law, Croatian Language for Lawyer-Linguists, and Online Translation Tools and EU Vocabulary. All the courses were allocated 22 ECTS credits. Since December 2012, the Programme has been delivered every winter semester. It has lasted for three months and encompassed altogether 160 teaching hours. As for the target group of participants, the programme was intended for senior year students of the Faculty of Law and for graduate lawyers from the wider local community. The structure of participants varied from one year to the other and included unemployed graduate lawyers, lawyers practicing law in private law firms, and young legal advisors employed in local courts. The precondition for the enrolment was that they had achieved the best possible grades in English or German as their first foreign language and acquired an A or B level in the second foreign language (either German or English), which must be proven by corresponding certificates. According to the tradition of foreign language learning in the region Slavonija and Baranja where the University of Osijek is situated, the prevailing first foreign language is English and the second German. As a rule, French is not instructed in primary and secondary schools in the region. That is the reason why French has been instructed as the third foreign language from its basics. Based on the certificates of the FL level achieved in English and German, participants have been organized in two groups according to their first foreign language and have been instructed simultaneously in two groups for Exercises in Legal Translation in the first foreign language and for Exercises in Legal Translation in the second foreign language. All other courses have been attended by all participants together. Apart from Translation Exercises in the three languages, the participants were also instructed in other contents that should be mastered by a translator of EU law texts: Introduction to EU Law, Introduction to the Theory of Legal Translation and Terminology, Online Translation Tools and EU Vocabulary and Croatian Language for Lawyer-Linguists. After passing all exams, participants obtain certificates signed by the Dean of the Faculty. All courses have been delivered by using modern teaching methods and electronic teaching tools, especially PowerPoint presentations and the Internet. Internet sources represent at the same time the main source of information and the object of instructions within the course Online Translation Tools and EU Vocabulary. In this course, computer technologies are implemented to equip participants with the ability to independently approach all the original sources, databases and documents available at the official online platforms of the EU necessary for a professional, reliable and accurate translation of EU legal texts.

Teaching English in Local Community Units - a New Type of Non-Formal Higher Education

About the CATCH Project

Cooperation with the local community in the implementation of the international (interregional) EU project CATCH represents a new aspect of non-formal foreign language teaching at the tertiary level of education in Croatia. The CATCH Project ("Cooperation between Public Administration Offices in Cross-Border Areas of Croatia and Hungary to Provide Better Services to Citizens") was developed within the Interreg V-A Project Hungary-Croatia 2014-2020, which belongs to the network of European Territorial Cooperation (ETC) programmes. The overall aim of the programmes is "contribute to the overall economic, social and territorial cohesion of the European Union by tackling issues which cross the borders between countries and regions"¹. The project was launched by the Government office of the Somogy County in Hungary with the purpose of "reinforcement and expansion of the existing co-operative networks and contributing to the establishment of a sound basis for a dynamic and lasting co-operation across the border". Managing authorities of the Programme were the Hungarian Prime Minister's Office, Budapest and the Ministry of Regional Development and EU Funds of the Republic of Croatia, Zagreb. The CATCH Project within this Programme was implemented in the period from 1 June 2017 to 30 September 2018. Its overall goal was fostering better bilateral relations between public administrations of the Republic of Croatia and Hungary, which was strongly supported by the Prime Minister of Hungary and the Minister of Administration of the Republic of Croatia. The Programme was initiated by the Somogy County (Hungary) as the Lead Beneficiary, and the Public Administration Offices of the Osijek-Baranja County and the Međimurje County were beneficiaries on the part of Croatia. The specific goal of the project was to facilitate administrative procedures in cross-border territories and enable both the local citizens and the citizens from both sides of the border quicker and more efficient administrative processes in their local administrative offices with the minimum of costs. Professional knowledge of civil servants was widened by exchanging experience with Hungarian colleagues, the courses in web-programming and web-design of e-documents were organized, with the aim of increasing the quality and efficiency of the civil service. In the context of better cross-border co-operation in civil service issues, the knowledge of English as lingua franca of professional communication represented an indispensable precondition. That is why a tender in the local newspaper and on the webpage of the County was published for offers by local educational institutions to develop and carry out courses in English and Hungarian. Due to a long experience of teaching Legal English in formal and non-formal types of education at the Faculty of Law Osijek, the offer of the Chair of Foreign Languages of the Faculty was accepted as the best. As a non-formal way of teaching foreign languages demanded a different approach from that in formal teaching law students in English, the following section will be focussed on presenting the steps of development of the new course, the factors that were taken into consideration in that procedure, and the methodical approach to the delivery of the course.

Teaching Standards and Pre-Teaching Activities

As the Foreign language teacher was not familiar with the target group of students, with their needs and expectations in English language and the level of their mastery of English, several pre-teaching activities had to be performed prior to developing the course. These are the following activities: collecting basic data about the target group, the needs analysis, and placement test. In accordance with the ISO standard 9000 related to quality management principles, the following principles of European quality standards had to be taken into consideration in developing the course: 1. The needs and expectations of the learners should be considered and understood, 2. The target of the course should be defined in accordance with the learners' needs and expectations, 3. The initiators (here the project holders) should be informed about the needs and interests of the learners, 4. Learner groups should be kept in systematic order, and 5. The satisfaction of the participants with the programme and the achieved goals should be measured. Accordingly, the following standards referring to the teacher's activities in his/her approach to non-formal teaching had to be considered: 1. Setting up challenging targets, 2. Creating trust and removing fears, 3. Offering reliable and decent resources for teaching, and 4. Encouraging students and recognizing their achievements².

Before collecting the necessary data on the target group and their needs in English and before developing the course, a meeting was held with the project representatives in the Public Administration Office of the County. The goals of the project were discussed, and the number of teaching hours planned for the course as well as the place and the schedule of the

¹ <http://www.huhr-cbc.com/en/about-the-programme> , accessed on 20 February 2019, at 23:18

² <https://asq.org/quality-resources/iso-9000>, accessed on March 29, 2019, at 22:10

delivery of the course have been agreed. It was agreed that the course should be delivered in an intensive course of 40 hours starting from March 2018, carried out by the dynamics of four hours twice a week. It was also agreed that in the meantime the necessary pre-teaching activities would be carried out by using electronic mail, for which purpose the e-mail addresses were exchanged with the coordinator of the Osijek team of the CATCH-Project.

Collecting Basic Data about the Target Group and the Needs Analysis

In correspondence with the coordinator, contacts were established with 35 participants- the future participants of the course. All of them were civil servants in public administration offices of the County of Osijek-Baranja. A questionnaire was created for the purpose of the needs analysis, i.e. collecting the necessary data on the needs and interests within the English language for the legal profession. The results of the questionnaire were used as a foundation for the course development. Needs analysis is generally perceived as a necessary step in any serious and responsible course development. It is a systematic collection and analysis of the target group needs, its aim being to point at the desired destination of the course and syllabus design (Hutchinson and Waters 1987: 54). In teaching foreign languages for specific purposes, the needs analysis is observed by many scholars as the necessary foundation for the development of a foreign language course in a specific professional field (Swales, 1990; Robinson, 1991; Dudley – Evans and St. John, 1998).

The questionnaire, which was produced by Sierocka and conducted in its original form in wider international research (Sierocka, Chowancova, Kordić, 2018), encompassed the following areas: 1) age, sex, and education level of the candidates; 2) the reasons for their learning Legal English; 3) attitudes about the most useful language element in learning Legal English; 4) what they wish to achieve from a Legal English course in speaking, writing, reading E[and listening skills; 5) the skills they consider most useful in their respective professional domains; 6) attitudes towards the role of grammar in teaching Legal English, and 7) legal domains that are most useful in their professional life. The questionnaire was conducted by e-mail, and served as a foundation for the course development and the teaching material development. Altogether 35 participants joined the course, while 29 answered the questionnaire. Most questions could be answered by multiple choice. The needs analysis has resulted in the following findings:

All respondents were graduate lawyers, mostly women (altogether 6 men), with an average age of 35 – 45 years.

The prevailing reason for their learning Legal English was the wish to communicate with other people in their profession (23/29), and to exchange information with colleagues from abroad (15/29).

Asked about most useful language element in learning Legal English (the choice between four elements was offered: a) grammar, b) vocabulary, c) pronunciation, d) something else), most respondents (24) have highlighted vocabulary.

As for achievements in the four language skills, in the field of *speaking* most respondents have chosen expressing opinions – agreements and disagreements (24/29) and negotiating (19/29). In *writing*, they preferred formal correspondence (23/29) and writing applications, pleadings, requests (17/29); in the field of *listening* they preferred listening for details (22/29) and listening (and understanding) public announcements, instructions, warnings, etc (19/29). In the sphere of *reading*, as most useful activities the respondents equally assessed the understanding of original English texts (finding specific information, understanding details in the text) and widening legal vocabulary based on reading authentic materials, chosen by 22 respondents each (22/29).

As the most useful skills for their profession, the respondents have chosen listening (19/29) and speaking (18/29). The writing was assessed as third in the rank of importance (13/29) and reading as least important (10/29).

The intention was also to find out whether the participants wanted a) to repeat English grammar thoroughly, b) to discuss only grammar structures frequently used in Legal English c) not to include any grammar items in the Legal English course (only one answer had to be chosen). Most respondents (20/29) were of the opinion, that the grammar structures frequently used in Legal English should be addressed in the course.

As for the legal domains that teaching within the course should be focussed on, they were ranked in the following order: 1. European law (25), 2. administrative law (23), while three branches were equally ranked in the third (3.) position: sources of law (e.g. constitutional law), contract law, and civil law (each chosen by 20 respondents).

Determining Teaching Goals and Preparing Teaching Environment and Teaching Tools

The findings of the needs analysis have shaped the scope and the direction of course development within the cross-border cooperation project of Croatian and Hungarian public administration. Due to the fact, that civil servants of the Public Administration Office of the Osijek-Baranja County were the target group of students, the course was entitled "English for Civil Servants". Based on the needs analysis results, the following directions for course development have been established and goals of the course determined:

- 1) the course should enable students to master Legal English in their professional field of public administration to be able to communicate with their colleagues and clients from Hungary (and other countries) in their respective field of professional activity;
- 2) it should enable them to learn professional vocabulary in preferred legal fields and to use it in communicating with colleagues and clients from abroad;
- 3) as participants wanted to improve their listening and speaking skills – they should be trained in listening for details and understanding public speeches, lectures, announcements, while in the field of speaking they should be trained in expressing opinions and negotiating (reading and writing were not considered very important);
- 4) the course should thematically focus on authentic texts in English in the fields of European law, administrative law, contract law, constitutional law and civil law;
- 5) the course should also contain grammar structures, especially those important for the language of law and frequently used in English legal texts.

Before developing the syllabus of the course, the teaching materials and tools to be used, the contact person of the project was contacted to get precise information on the teaching environment and teaching tools at the disposal of the Public Administration Office. It offered two suitable County halls that could serve as classrooms as well as the use of their computers and LCD projector necessary for course delivery. Before starting with course delivery, it was also necessary to write the final version of the syllabus, prepare copies of the teaching materials and handouts for attendants, prepare the electronic version of teaching materials on CD, agree with the project representatives on the dynamics of teaching and timetable, etc. It was also agreed with the project holders that all materials had to be submitted to them along with the needs analysis questionnaires, placement tests, the teacher's report upon the delivery of the course, and the contract on the course delivery within the CATCH project based on public tender.

The Development of the Course *English for Civil Servants*

Focus, Ideas, Principles, and Pedagogical Standards of Teaching

In developing the course, the pedagogical standards of communicative foreign language learning and factors of teaching are taken into consideration, especially the target learners, their specific needs, goals of the course and the specific professional context of teaching English as the language for specific purposes. This approach is founded on the principles described by Brown as modern pedagogical trends in foreign language teaching, "(...) upon which teachers can choose particular designs and techniques for teaching a foreign language in a specific context. Every learner is unique. Every teacher is unique. Every learner-teacher relationship is unique, and every context is unique" (Brown, 2006: 28). The teacher's main task is to understand those relationships and contexts and to achieve the goals resulting from the needs analysis by a communicative approach.

According to the results of the needs analysis, the course content should be focussed on the texts dealing with European law, administrative law, civil law (with some branches of law of interest like family law, property law, etc.), constitutional law, and contract law. In developing the course, the principal idea was to ensure the quality of teaching appropriate to the target group of students who were graduate lawyers with remarkable professional experience, some of them in highly ranked administrative and/or political positions. For the first meeting with the participants, the placement test was planned to establish the average knowledge level of the group, with the purpose of establishing the appropriate teaching approach and most striking weaknesses in their mastery of English language. The idea was also that the introductory lecture should be dedicated to presenting linguistic features of the language of the law to develop the awareness of the participants of structures, phrases, grammar items and stylistic features that distinguish legalese from other technical languages. The

chosen texts had to be relevant, up to date, well structured, clear and involving legal terminology and phrases from the chosen fields of law. The topics had to be interesting and discussion provoking, in which students could apply phrases and structures suitable for expressing agreements and disagreements and elaborating on their personal opinions. At least one text had to be appropriate for developing negotiating skills, and the first idea was that it could be the one concerning contracts. The focus was to be placed on speaking exercises in connection to each legal text planned in the syllabus. Presenting grammar structures, especially those frequently used in legal texts was also planned as a part of the course. Instruction had to be based on the legal text that students are familiar with and the illustrative examples had to be related to legal topics. Students' needs and interests being the principal criterion of structuring the course, an audio-visual material had to be incorporated in the teaching plan as well. As in English courses within the formal Law Studies, the HBO documentary "Hot coffee case" is used to illustrate the term *tort* in common law system, the idea was that this video material could be used in the course English for Civil Servants as well. This material could serve as an excellent example of the differences in scope, meaning, and interpretation of the concept *tort* between the common law system and the civil law system to which the Republic of Croatia belongs. By this specific HBO documentary, the problems and challenges of translating legal texts from English into Croatian and vice versa can be well illustrated. As the translation problems in the language of law have been explored by the author of this paper in several previous publications, the plan was to present the most interesting findings from her scholarly research concerning differences in legal concepts and terms in different legal systems (Kordić, 2015, 2016) within this course as well. The intention was also to put special emphasis on the examples of relative equivalence of legal terms (Sandrini, 1999) in the English and the Croatian languages of law as two languages stemming from different legal traditions and cultures.

Choice and Development of Materials

In developing teaching materials, several elements have been considered. Firstly, as the participants were graduate lawyers, most of them were familiar with the legal texts in the textbook "English for Lawyers" that was applied at Croatian law faculties in the past two decades. Although it was updated, most texts were kept for years. Because of that and the fact, that a new course should be focussed on specific legal topics chosen by participants, it was necessary to develop a completely new teaching material. Luckily, a new textbook in English for law students was in the publication procedure, so upon the agreement with the authors of the book (colleagues teaching Legal English at the Faculty of Zagreb), a few texts have been chosen from that book, shortened and adapted to the purpose of the course English for Civil Servants. Articles from the EU Newsletter, an EU journal available online, have been used as a source of the texts related to the European law and the Croatian membership in the EU. Parts of scientific articles in respective legal fields available online have been chosen and relevant chapters from the teacher's own books and papers have been excerpted and adopted. Additionally, to the purpose of learning legal terminology and phraseology in their professional fields and of dealing with problems in translating legal texts, specific chapters of laws on public administration in English language and their translation into the Croatian language have been downloaded from the official platforms of the Croatian and British Ministries of Public Administration. As mentioned in the previous section of this paper, the HBO documentary *Hot Coffee Case* was also introduced in the programme of teaching with the purpose of developing listening skills and understanding the original communication of native speakers. Grammar units were attached to each textual unit based on the PowerPoint presentations used by the teacher in her formal lectures at the faculty. Grammar units and the illustrating examples have been chosen in compliance with the needs and interests of the target group and in accordance with the predicted outcomes of the course.

Syllabus Development

Before collecting and organizing teaching materials, a draft teaching programme of the course was prepared (draft syllabus), but the limited approach to appropriate legal texts in the chosen fields of law and the copyright issue have influenced introducing slight changes in the programme. Because of that, the final version of the syllabus for the course English for Civil Servants was developed after all teaching materials had been collected and prepared (Appendix). The following step was to organize the material in 40 hours of teaching and copy them on the CD. As the first session was dedicated to presenting the course and the quick placement test with the purpose of establishing the average knowledge level in English of the students, the remaining 39 hours have been divided in 13 units of three hours. Each unit was comprised of a specific legal text from the fields of law suggested by the students, followed by oral exercises focussed on developing speaking skills in that specific professional field, and the third hour within the session was dealing with grammar structures typical of the language of law and the corresponding exercises. Legal texts included the topics like *Accession*

of the Republic of Croatia to EU, EU Institutions, The Reform of Croatian Public Administration, The Local and Regional Self-Government Act, Marriage and Divorce, Private International Law, Contract, etc.

The teaching material was organized according to the planned syllabus, printed out, and tied in a teaching manual for students, and submitted to the project representatives in the print and electronic versions. The representatives of the CATCH project have prepared copies of these materials for all participants. Handouts and online sources have also been prepared for use in specific lectures.

Course Delivery

As discernible from the syllabus, during the first meeting with participants, the results of the needs analysis were presented and the planned organization of the course according to those results was explained in detail. After that, a quick placement test was conducted as a ground for future implementation of the teaching approach that would be most appropriate for the target group, and to establishing the weaknesses in their mastery of English language that should be in focus while teaching grammar and/or legal vocabulary. The placement test, which was developed by Macmillan Inside Out editions, was downloaded from their web page¹, printed out in 35 copies and submitted to the participants for solving in 15 minutes. Due to the possibility of a quick correction and delivery of results, the results were analysed during the same introductory hour of the course. The average score was 39 points. According to The Quick Placement Test Conversion Table, the range of 30-39 points refers to the intermediate level (B1). As the scores were very close to 40 points ascribed to the upper-intermediate level, the average result was satisfactory. Several participants with the lowest score claimed to have forgotten a lot of their English knowledge as many years had passed after their graduation in law, so it was agreed that in grammar sessions tenses should be briefly repeated as well. It was also agreed that the course should be delivered in sessions of three hours twice a week. The delivery of the course started in the second week of March and was carried out in sessions of 3 hours twice a week. Teaching was organized in a way that the first hour within each session was dedicated to legal texts and introducing new terminology in the respective field, the second to implementation of new terms and phrases in oral exercises of different types and the third to review of grammar units frequently used in the English language of the law.

Apart from mastering new vocabulary and legal phraseology in the fields of European law, administrative law, family law, constitutional law and the law of contract, some units were focussed on differences between common law system and the civil law system (Conflict of Laws, The Law of Torts) and on the specific features and terminology of international law. In practicing legal terminology and phraseology, the emphasis was put on typical linguistic structures like legal phrases and idioms, phrasal verbs, legal doublets and triplets, etc. Pair work, group work, and discussions on professional topics were the prevailing types of teaching discourse focussed on developing speaking skills. Participants were also trained in using terms and phrases expressing agreements and disagreements in discussions on specific legal topics, e.g. reform of public administration in Croatia, Croatian membership in the EU, benefits of European projects, marriage and divorce, the cases of conflict of laws under the jurisdiction of Croatian courts, etc. They were also taught how to negotiate on terms and conditions in concluding contracts. As for grammar, the focus was on structures frequently used in the language of law and their application in different types of oral exercises related to relevant legal topics. The content of teaching was adjusted to the needs and preferences of the participants. This fact may be perceived as the main reason for their evident advancement in English, and for their pleasure with their own achievements at the closure of the project.

Trends and Perspectives

Modern means of communication worldwide, along with the increased intensity and various models of political, economic and educational cooperation within the European Union, have given rise to new models and types of non-formal education. This especially refers to teaching foreign languages, which has always been open to international cooperation and novelties in the teaching approach. In Croatian higher education institutions, apart from formal foreign language teaching within accredited formal studies, different kinds of non-formal education have been introduced, particularly after Croatia has become a full Member State of the European Union. This new paradigm in education has been presented here on the example of the Faculty of Law, University of Osijek. At this faculty, different models of non-formal teaching have been developed: lifelong learning programmes, international projects within Jean Monnet programmes, Erasmus + projects, national projects financed by the Croatian Science Foundation. The Department of Foreign Languages has developed one lifelong learning programme that has been carried out since 2012 and participated in the interregional European project

¹ <http://insideout.net/new/resources/placement-test> accessed on 28 March 2019 at 12:30

CATCH launched by the local Public Administration Office. Possibilities of new models of non-formal education in the field of foreign languages have not been exhausted by this. One of the novelties in developing non-formal ways of learning Legal English is the participation of our students in an international virtual Legal English course. The project called *Virtual Erasmus* has been launched in 2016 by Dr. David Best from the University of Brussels. He gathered students of the 1st and 2nd year of studies at the law faculties of Brno, Krakow, and Brussels and in the year 2018 four students from the Faculty of Law Osijek. The international team is comprised of 16 students (four from each of the four law faculties) who attend the virtual Legal English course and work together in international teams of four students on solving one legal case. Virtual cooperation by means of electronic media resulted in four essays delivered by four international teams on how to solve a specific legal case. The essays are available on the Moodle platforms of the four faculties and are currently in the assessment procedure. As new developments of informational technologies enable closer cooperation between educational institutions, teachers, and students on national and international levels, new models and programmes of non-formal education can be expected in the future.

Concluding Remarks

Rapid changes and intensive developments in IT sector and the possibilities of easier contacts and cooperation between higher education institutions worldwide have strongly influenced teaching processes. Students' learning habits are changing, their proficiency in English is improving and their expectations from foreign language courses are more demanding, so foreign language teachers are faced with new challenges and demands. Due to Croatian Membership in the EU as a conglomerate of different nations, cultures, languages and national policies, Croatian lawyers are also faced with the necessity of constant updating and refreshing their professional knowledge and skills in different lifelong learning programmes and other types of non-formal learning in the field of the legal profession. In this paper, two models of non-formal higher education carried out by the Faculty of Law Osijek have been presented. The first is the Lifelong Learning Programme for Lawyer Linguists, launched and delivered by the Department of Foreign Languages of the Faculty, and the second is the course English for Civil Servants, developed within the international cross-border project between Hungary and Croatia, in which the Faculty of Law was a contractual partner of the local Public Administration Office. New courses within the lifelong learning programme as well as the course English for Civil Servants have been developed with an overall idea of enabling all interested parties from the wider community to acquire knowledge, competences, and skills in the field of Legal English. In the EU context, communication in English as lingua franca of international communication represents an important factor of non-formal education in the legal profession. The question whether the prospect of Brexit will bring any changes in the choice of the language of political and legal cooperation within the EU is to be answered in the near future.

References

- [1] Brown, H. Douglas (2006). *Principles of Language Learning and Teaching*. New York: Pearson Education.
- [2] Dudley-Evans, T. & St John, M. J. (1998). *Developments in English for Specific Purposes*. Cambridge: Cambridge University Press.
- [3] Hutchinson T. & Waters, A. (1987). *English for Specific Purposes: A Learning-centred approach*. Cambridge: Cambridge University Press.
- [4] Kordić, Lj. (2015). *Pravna lingvistika – sinergija jezika i prava. /Legal linguistics – A Synergy of Language and the Law*. Osijek: Sveučilište J. J. Strossmayera u Osijeku, Pravni fakultet Osijek.
- [5] Kordić, Lj. (2015a). Education Challenges and Developments in Foreign Language Teaching in Croatian Law Schools - Education Challenges and Developments for the Future. *Journal of Educational and Social Research* MCSER, Rome –Italy, 5, 87-96.
- [6] Kordić, Lj. (2016). Developing Translation Competence within the Lifelong Learning Programme for Lawyer-Linguists in the Republic of Croatia. *Studies in Logic, Grammar and Rhetoric* 45 (58), 97-110.
- [7] Rudinon, P. (1991). *ESP Today: A Practitioner's Guide*. Hemel Hempstead: Prentice Hall International.
- [8] Sandrini, P. (1999). (Ed) *U Tübingen bersetzen von Rechtstexten – Fachkommunikation im Spannungsfeld zwischen Rechtsordnung und Sprache*. Tübingen: Gunter Narr Verlag.
- [9] Sierocka, H., Chowancová, B., Kordić, Lj. (2018). Addressing the Needs of Lawyers in Legal English: A Comparative Study in Four European Union Countries. *Comparative Legilinguistics, International Journal for Legal Communication*, vol 3/2018, 57-88.
- [10] Swales, J. M. (1990). *Genre Analysis*. Cambridge: Cambridge University Press.

Online Sources

- [11] European Commission. (2001). *Communication from the Commission: Making a European area of lifelong learning a reality*. Directorate-General for Education and Culture, Directorate-General for Employment and Social Affairs. Retrieved March 29, 2019 from [http://www.europarl.europa.eu/meetdocs/committees/cult/20020122/com\(2001\)678_en.pdf](http://www.europarl.europa.eu/meetdocs/committees/cult/20020122/com(2001)678_en.pdf)
- [12] The European Recognition Manual for Higher Education Institutions, Second Edition FIN, 2016, retrieved March 29, 2019 from www.enicnarc.net/fileusers/8220_European%20Recognition%20Manual%20Second%20Edition%20FIN.pdf
- [13] ISO 9000: 2015 Principles of Quality Management, retrieved March 29, 2019, from <https://asq.org/quality-resources/iso-9000>
- [14] The Interreg V-A Project Hungary-Croatia 2014-2020, retrieved February 20, 2019 from: <http://www.huhr-cbc.com/en/about-the-programme>
- [15] The Inside Out Quick Placement Test, retrieved March 28, 2019, from <http://insideout.net/new/resources/placement-test>

Endnotes

¹www.enicnarc.net/fileusers/8220_European%20Recognition%20Manual%20Second%20Edition%20FIN.pdf accessed on 10. December 2018, at 14:10

²<http://www.huhr-cbc.com/en/about-the-programme> , accessed on 20. February 2019, at 23:18

³ <https://asq.org/quality-resources/iso-9000>, accessed on March 29, 2019, at 22:10

⁴ <http://insideout.net/new/resources/placement-test> accessed on 28 March 2019 at 12:30

Analysis of Team Work Efficiency with a Special View of Kosova

Driton Fetahu

PhD. Candidate at European University of Tirana, Albania

Abstract

Recently, modern organizations have seen everything the introduction of team work to increase the efficiency of the entire organization. These work was attempted to contribute to the understanding of the team work efficiency phenomena the factor influencing her and checking the ways of her measurement. The test was carried out at the bank in Kosova, the four-member team of the Service Department companies and their clients. By analyzing the work efficiency of these four teams statistically determined teams do not differ by self-assessments work efficiency as well as satisfaction ratings of their clients' service which were taken as measures of operational efficiency by these four teams. Also, tall and consistent the results of self-assessment of efficiency and customer service satisfaction estimates are provided to high work efficiency for all four teams. In this paper efficiency is defined in the terms of productivity, the satisfaction of workers and clients, and the managers' rating as well it recommends monitoring all these criteria in order to get as complete a picture of the work as possible efficiency of teams in organizations.

Keywords: teams, efficiency of timal work, landscape, clients with usage.

1. Introduction

1.1 Teams in Organizations

Still in 1911, American engineer Taylor first tries to rationalize human work

achieving the maximum workflow in as short a time. Taylor's is the foundation the idea that better organization of work and management can increase efficiency. People should be considered part of the organization and should be treated accordingly as to how much are useful for organization (Rot, 1983). Taking the best and most enjoyable way to work workers, raise the rational organization of movement and production tools to maximum Taylor managed to reduce the required number of workers and increase productivity.

What he has been justifiably criticized today is too much to take into account the role of a man in work, and as much as he took, was far less in favor of the worker, and much more the benefit of the employer. There has been a rise in unemployment, for workers who are the rest of the business earnings increased at a minimum compared to the increase in productivity and used for the employer (Petz, 1985).

The turn of the man's role in the organization took place after the so- Hawthorne experiment. Between 1924 and 1930 Elton Mayo and Fritz Roethisberger made the Hawthorne plants from Western Electric from Chicago a series of studies aimed at answering questions about how physical activity works worker environment. The results showed that the work force of the workers included in the experiments have grown steadily regardless of the favorable or unfavorable conditions of the physical

environment. Intense interviews with workers have shown behavior and feelings

worker in close relationship, that groups have a strong influence on individual behavior and are grouped the standards are very effective in setting up a workforce. It was found that money in to a lesser extent it determines work performance in relation to group standards and individual a sense of worker safety (Robbins, 1992). One of the most important benefits of this he experimented with what he - albeit unintentionally - pointed to the role the groups have in organizations. It has also stimulated the avalanche of later research in this area they focused on studying an individual in a group and a group of organizations (Petz, 1985).

Psychological characteristics of working organizations and its parts, working groups, in detail have been studied as the main area of social psychology at work, within the framework psychology of work and organizational psychology.

The working group represents a structure with special characteristics and not just a sum individuals. According to the definition of a working group provided by Schein (1965) "a psychological group there are a number of people who are in mutual interaction, aware of each other and themselves they perceive themselves as a group "(according to Petz, 1985, p. 195).

It is characteristic for small workgroups in organizations that their goal is there is the production of social goods. The interaction of the members is based on a co-operation in activities that are aimed at task execution and production. Along with orientation towards the goal goes to the need to meet the social-emotional ties and needs of members. These are, among other things, the need for affiliation, achievement, self-confirmation making. Social relations are linked to the goal of work, but they can develop and maintain after working time. These small working groups are formal groups with certain and established obligations and defined rights of members. They always have a formal leader who has a certain mo- and rights to other workers. Standards are relate exclusively to the task of the group and relate to how and how much to work and at what pace. Integrated systems from multiple workgroups organization.

By conducting an organization with a psychological, as well as other approaches, it is necessary to guide the case that the organization consists of working groups and that the members of the organization always and members of smaller working groups. As small group relationships depend on the characteristics organization, and the characteristics of the organization as a whole depend on the situation and the atmosphere in small groups (Rot, 1982). Organization of companies today is no longer pyramidal, vertical, ve? is horizontal and "flattened". Until now, organizations are, in particular, big enterprises, had a "narrower range of control" and "deeper organizational pyramid", by contrast of the latest trends favored by computerization of companies and organizations all "fold" and with a wider range of controls. The organization is transformed from that vertical in horizontal. In the horizontal organization there is no class hierarchy, knows? there are expert teams for specific jobs (Sikavica and Novak, 1999).

In such circumstances, the working group model becomes overwhelming and inadequate requires switching from group model to team work model. The reason for moving to a new one model is not operational developmental, creative nature. Transforming a group into a team It is part of the process of learning in organizations and, more appropriately, the result of organizational development (according to Storge, 2002). While working groups are clearly defined obligations and defined roles of members from the "top", with teams already larger emphasizes the individual characteristics of the members and their creativity. Real the team would be a jazz orchestra. Everyone improves creatively on their instrument, but the whole thing sounds harmoniously. The enjoyment of such a play (or work in the top team) starts from finds self-control rather than "command" coming from a conductor or someone outside team.

There are many benefits of introducing teams to organizations. Teams can make it easier expanding the company and enabling faster information flow, leading to an increase flexibility (Mohrman, Choen and Mohrman, 1995; Yancey, 1998). That's it is achieved through the increase of communication and through the involvement of employees in making decision. Horizontal communication is increased relative to the vertical. Also, productivity gains, job absenteeism, and increase are reduced quality of service, safety and employee satisfaction (Yency, 1998).

Guzzo (1986, according to Yancey, 1998) defines the team as a group of individuals to be seen they are seen from the environment as a social entity, who are excited about the work they are doing as members of the group. They are included in the larger social system and perform tasks that affecting others, within and beyond that social system. The key is to be independent and this differentiates them from workgroups. Team members are many times over members of the group. The ability of a team's staff is intense and constantly evolving, and he has them opportunity to show and prove. The working group is denying it because of the clearly defined roles and small opportunities to change in a predefined structure. This results so that team members recognize their share in the team result while the team member is working I can mostly see only what I'm doing. Also, in teams it is, unlike working groups, the role of leader is reduced to the minimum. Executives and managers cease be separated by a hierarchical gap between the worker and the knowledge of the manager complement the knowledge of specialists and referents (Tudor & Sri, 1998). Basically every one, team is a working group, and the working group becomes the team when it is organized so successfully fulfills the purpose of existence. So this is a better edition of a working group. When your group work with the necessary features - identifying members with purpose, comfortable working motivation, motivation, creativity, participation in leadership jobs, etc. - becomes a team.

Most of the managers in a good team look like the paddles in the eighth. To accomplish goal, everyone must be "as one". No one should chew myself or lower, faster or slower than others not to endanger the overall success. Oscar is perhaps a good metaphor for a group of people who does some well-planned job, but in the team members are different mutually complement. Instead of a homogeneity similar to that, that government a difference that enables flexibility and heterogeneity, but also a quality performance joint work. They are more like a racket that will win if everyone is well-off but not all of them must do the same. The team is being watched by individuals who possess three basic groups of knowledge and skills. The first are technical (functional) knowledge which are based on education and profession. It is desirable to team different individuals a profession that can act interdisciplinary and so every common problem to look at is to handle a variety of different angles. The following are the problem solving skills and making decisions and social skills (listening, verbal and nonverbal speech, assertiveness, conflict resolution and the like) (Tudor and Sri Lanka 1998). Teamwork, therefore, represents a form of coordinated activity performed by a deliberately organized group people so the division of labor is based on immediate cooperation and competence different experts, and not in their position in the formal hierarchy (according to Petz, 1992).

We differentiate between two types of teams: an administrative and an entrepreneurial team. Administrative the team is also called bureaucratic and represents a transition from the working group to the team. It's here formal selection of members still exists, authoritarian leadership, non-respectable organizational rules and distribution of jobs by specialized units, but the team open to innovations and gives its members, albeit cautiously, the ability to develop and of learning. The entrepreneurial team aims to develop, members of the problem approach the research and creative, leadership is a liberal and democratic, multi - disciplinary discipline in member organizations, organizational rules are flexible and dynamic, the team is open for the environment and innovation. However, to make the team enterprising, with all this the systematic work of the manager and his associates, members, is required to establish a quality foundation for joint work. Team Building Requires systematic approach in all team development periods: from the concept through decision to the next the first team meeting. Each of the procedures that will take place at the earliest stage later • Irrevocably, positively or negatively, affect the overall work of the team. If it is from the start does not lead to the knowledge required by the team, its size, representation and balance of team and private roles of individuals, differences in team, the desirable characteristics of the membership of the members, their appropriate inclusion in the team tasks, structuring team roles, decreasing the ability to achieve an effective, efficient and pleasant team - efficient team (Tudor & Sri, 1998).

1.2 Factors Affecting Teamwork Efficiency

Organizations are constantly looking for ways to help them compete with the competition complex in new ways of working. Increased dynamics in economic and social Sociological circles have influenced many organizations to analyze work strategies as well there are new ways of improving the quality of work (Ingram et al., 1997). Never before in the history of the work process The team work model was no longer important for functioning successful organizations like today. Research results show that the introduction of teams the organizational structure leads to an increase in efficiency and quality of work (Applebaum and Batt, 1994; Macy and Izumi, 1993; Levine and D 'Andreas-Tyson, 1990; according to West et al., 1998). Hence, there is a great deal of interest in identifying factors that Impact on teamwork efficiency.

What do we mean by the term efficiency? In Business Solution Efficiency is a strategic concept related to the research of profitable potentials in organization. Hofer and Schendal (1986, according to Ingram, 1997) argue that efficiency is important because it represents the determinant of organizational success and refers to satisfaction organizational environment. They start from the fact that efficiency is the degree of connectivity between actual and desired results. Drucker (1974, according to Ingram, 1997) defines efficiency as "the degree to which the desired result is achieved". Blake and Mouton (1964, according to Ingram, 1997) emphasize that organizational efficiency is most prominent when Management at the same time succeeds in orienting both production and people.

There is no single measure to determine the effectiveness of teamwork. According to a model suggested by Schermerhorn (1995, according to Ingram, 1997) can be measured through individual and group results that are the product of the process of formation and internal processes in groups that lead to results. The process of forming the most are influenced by team-building managers, while in-house processes one of the most influential determinants of greater timely efficiency. They belong to them orientation to the common goal, cohesion, communication, decision-making, work tasks and conflict resolution. According to Hackman (1987) and Sundstrom (1990, cf Guzzo and Dickson, 1996) Efficiency can be traced through: team results (qualitative or quantitative, speed, customer satisfaction, etc.), through the influence of the group on

it or through the ability to make progress in the team's efficiency in the future. A similar definition and Guzzo et al. (1993), which puts a special emphasis on the motivational factor which called the potency, but more about it later.

Sundstorm (1990, according to Draft, 2000) emphasizes the effectiveness of teamwork based on the ultimate result of the work and satisfaction of the team members. The end result is determined through a qualitative and quantitative achievement team defined through teams goals. Satisfaction is based on the team's ability to meet the personal needs of the members and to increase the loyalty of the team. Factors such as types of teams, structure, composition, then homogeneity or team heterogeneity in with respect to age, gender, skills, knowledge and attitudes, influences on internal processes in teams that ultimately determine the satisfaction of the members and the end result.

Employee attitudes and customer perception of service quality have been shown significantly associated with profitability organizations (Schneider, 1990; Jonson, 1996, Rucc et al., 1998; according to Newman, 2001), and according to Campion, Mederser and Higgsu (1993, according to Yancey, 1998) Efficiency is defined in terms productivity, employee and client satisfaction, and manager ratings. According to this to authors of the nature of work, the perseverance of members, team composition, organizational context and the processes in the team are linked to the stated efficiency criteria. Teams should have a common goal that members only work together and combine knowledge with capabilities from different areas can be achieved. Each member will also have the opportunity to give your contribution to solving the problem. Feedback on common successes, or failures, knowledge of the common outcome and the rewarding system that evaluates the team, not the individuals in it, encourages motivation for common work, that's important.

The role has the support of their manager who provides feedback on the results work the whole team. He also encourages communication between teams and so on the development of a competitive spirit within them. Processes in teams such as conflict, developing group norms, cohesion, and belief in the team's efficiency as well have a great impact on the team's efficiency (Yancey, 1998). In accordance with the criteria efficiency mentioned by Champion et al. (1993, according to Yancey, 1998) in this paper.

The criteria for testing the team's work efficiency were their manager's estimate financial performance indicators of teams, their self - assessment of efficiency and their customers satisfaction ratings service. In the introductory part, the review is on some of the most important factors influencing the effectiveness of teamwork, which are the size teams, team roles, team development stages, cohesiveness, team standards and potentials.

The size of the team

Since researching the characteristics of small groups in the organizational environment it was found that the group is most effective when it has 7 members. Teams have the most 3 to 20 members. Increasing the number of members reduces the possibility of interaction and with a mutual influence. We differentiate small teams (2-4) and big teams (12+). Small teams are more comfortable, members ask questions and exchange more experiences. In a little the team is more satisfied with the satisfaction of the members, before the relations are established.

Members are much more trying to be in good relationships, more difficult informal relationship and having minimum requirements for the manager. Misunderstanding and dissenting opinions arise will be in teams that have more than 12 members. A large number of members favor forming a subgroup and making conflicts easier. It is also characteristic of leaving the team and absenteeism. Poor communication and reduced access to work lead to low satisfaction of members (Draft, 2000). So, small teams from 4 to 12 people are optimum for a quality and efficient teamwork.

The ranks of the team

Many experts have been watching organizations trying to answer why some the teams succeed, and others fail. Studies in this area instruct you to teams work much more efficiently if the correct combination of team roles is present. "The role is a set of exemplary types of behavior attributed to someone who takes the days position in a social unit "(Robbins, 1992, p. 93) It is known that team members they should have adequate skills and ability to do the job. Besides, Torrington (1985, according to Prichard and Stanton, 1999) emphasizes that it is efficient team functioning requires the team to be equally oriented to the task as well as on social emotional behavior of members. There is a need for each team different team roles. A team of people who are different to each other, if they are affected to deal with such a mark, will always give better results than the team they are in all members likewise. The team certainly needs roles that care for the team task, but also the roles which cares about people. Belbin (Belbin 1981, according to Tudor and Sri, 1998) differs 8 team roles: creator,

researcher, promoter, coordinator, evaluator, developer, builder and builder of the team. A compelling sum of all team roles is provided by an ideal team, ie a team that It really does have great prospects for success. Everyone hides more traits and tendencies, me where two or three prevail. That is why the composition of only four can be cover all eight roles. Each member, in accordance with their own characteristics and preferences, will be taken in such a case and in several roles (Tudor and Sri, 1998). Although best known, Belbin's questionnaire for established roles in the team is unsuccessful psychometric validity. Also, it is not a fully certified model by which

Efficiency depends on the proper timing of these 8 team roles (West et al., 1998).

In addition to the combination of various roles, Guzzo (1996) states that team work efficiency is high positively influences and heterogeneity with respect to the line of personality, sex, attitudes, and attitudes previous experience.

However, these differences also threaten the problems. People are by their nature is closer to those who are similar to them, rather they co-operate with the same people. How to code teams are valid for the versatility of members, interdisciplinary and diverse, it is big the likelihood of subgroup emergence and misunderstandings and conflicts appear (Tudor et al Sri, 1998). It is therefore important to conclude that efficient teams must have people oriented, as well as those with social-emotional roles. With proper the balance of these types of role team will be successful, and the team members happy (Draft, 2000).

Team development stages

Team development is a dynamic process. Most teams are in constant state change. To make the team as efficient as possible, it must first become a team. Still in 1970 Tuckman is identified the 4 stages through which the team must work to be successful. These are the formation, orientation, growth and the final stage in which the team is developed. Each stage is the same worthwhile, as part of the planned path to team maturity, and only the one in which it is bad is bad the team develops insufficiently or holds too long (Tudor and Sri, 1998).

The first stage of team development is **formation**. Members are also introduced to each other they are trying to get close, but also for the right place in the group structure, while they are the leader try to present and explain team goals and try to determine individual work roles in the team. Group cohesion is just in the making. The comrades have determined that the interlocutors in the first team period listen to each other very superficially are lacking in interest in the moods and inner states of their colleagues. Therefore the team it works scattered. The joint work of specialists of various professions has not yet begun.

Different knowledge does not intertwine and no new com- munity is created. Work is not yet effective, and internal team relations are underdeveloped.

The second stage is **orientation**. After gathering, dating and dating on work together, the group of individuals begins to gradually take on the team's features. Group it is more efficient to work and invest more in yourself. At this stage of the majority trying to engage in joint activities, more care for associates, and so on group connectivity. But most people still feel that the results are severely and slowly.

The first semi-rigging gun appears due to inefficiency. As a result, it will be reported

mood swings, frustration and helplessness. Negative reactions can also occur - members of the manager and colleagues. The final group completes the second stage of formation internal hierarchy. Find out who's in the group. Tim enters his second phase with more ambition. Only when the head and members simply decide to consider theirs of the current methods of work and to improve them, a crucial second phase of the team begins work.

The third stage is **growing**. After a successfully overdue period of working crisis had to lose due to the lack of expected results, by forming a hierarchy, the team is happy and in a harmonious whole. Communication is much more effective and there is a strong cooperation to the members. The team's standards are high, high connectivity and growing use a number of different new skills and methods of work. The working group is undergoing its third phase (normative), trying to complete "agreements" about the roles they belong to, o status, norms of behavior. Team Building Begins When Creating Communication And constructive criticisms are primarily given meaning in team atmosphere. Word is about a period in which the methods of teamwork are improved, but also different characteristics

The fourth stage is the **stage of a team developed**. Common goals become the most important ones the goals of each thread. The moral team is very high, the members are satisfied, they turn to work because their interrelationships stabilized in the right way. Everyone fills its team role, the individual debts are well-integrated into the team, the work of everyone with each one is harmonized, the whole team is facing a common business goal. The members express themselves with confidence, they are all aware of team strength, everyone is satisfied because his work in the team provides a multitude of ways and opportunities for satisfying both personal and collective need. At this stage, the team is highly efficient with minimum and discrete support Leader (Tudor & Sri, 1998).

These stages describe the processes in the development of each small group and, although highly criticized, the Tuckman model depicted until today (Rot, 1983).

Cohesiveness

Cohesiveness Team cohesion is defined as the cohesiveness of each group so it represents "the complex dimension of the group expressed as the attractiveness of the group of members and their mutual attraction, group connectivity, and disengagement resistance, loyalty and affection of members of the group, goals and ideals of the group" (Petz, 1992).

Cohesion of some authors such as Newcomb (1965) or Cartwright (1968, according to Rot, 1983) they also give an important and central place in explaining the functioning of the group. They emphasize that cohesion is the result of the action of numerous factors and represents The basis for many phenomena important for the functioning of the group. Cartwright (1968) (according to Rot, 1983) distinguishes 4 groups of conditions that are justified to be considered sources cohesiveness. These are

- (1) motives, ie the motivational basis of the group member;
- (2) characteristics Groups such as group goals, action, reputation, and others;
- (3) expectations of members and estimates that this expectation is realized;
- (4) comparing satisfaction and the benefits that can be gained in the assessment group can benefit from membership in others identical groups. Coach team will regularly be consistent with the way it is experienced by its members. If they are attracted to team work and people in it whether they feel attached to the group and its goals, and if they are experiencing group "with your", the degree of cohesion will be high. If people are in the mood Conversely, we say that cohesion is low and as such disrupts the team's actions and can lead to its collapse (Tudor and Sri, 1998).

The result of team cohesion we can look through morale and team efficiency. It is known that morality is already in highly cohesive teams due to increased communication among members, friendly climate in the team, loyalty to the team and the participation of members in decision making and activities. Hence, high cohesiveness positively affects pleasure and morality team member. As far as efficiency is concerned, research results show that it is cohesive Teams have the potential to be more productive, but the degree of effectiveness depends on more

factor (Draft, 2000). In Seashore research (1954, according to Rot, 1982) has been established is that the efficiency of some cohesive groups was significantly less than efficiency nonkoheziv. The explanation finds that in cohesive groups efficiency depend on the standard agreed upon by the members of the group. They can adopt either High or Low Efficiency Standards and Depends on High or Low Efficiency. The latest finds in Mullen and Copper (1994, by, West and sur., 1998) point to a significant link between team efficiency and cohesion and that direction of influence is good when it comes from we conclude on the results of cohesion but when it comes from cohesion we conclude the efficiency. Therefore, cohesion does not necessarily lead to greater efficiency the team, and to bring it, it is necessary to monitor and work on its orientation (Tudor & Sri, 1998).

Conflict

According to Robbins (1974), conflict is antagonistic interaction in which one the stranger tries to block the intentions or goals of the other. Competition for team members, according to some authors, it can have a healthy effect because it gives the energy to the members for to achieve better results. Conflicts within the team can improve decision-making because leading to multiple opinions. Research shows that the level is low conflicts with top management teams associated with bad decisions. Likewise too the conflict is destructive, destroys relationships and interferes with the exchange of information and ideas (Koehler, 1984). According to the Draft (1992) there are several factors that lead to conflict:

limitation of material for work, undefined team role and work tasks, noise in communication, interpersonal disagreement, differences in power and status of members, and other goals set (according to Draft, 2000). We are watching conflicts from the point of view their impact on team success, we share them with constructive and destructive ones helping work and those who move away from the work and life of the team. Like you already? conflict, conflict helping to see problems from all sides, to explore all the possibilities solutions and eventually apply it better. After a positive solution, one sometimes feels an increase in mutual understanding and openness among the members. They're fixed relationships with us, growing trust and team cohesion. The end result of the positive conflict solutions are to increase team creativity, enhance organizational stability, faster fixing and problem solving, encouraging change instead of stagnation and profiling the identity of a group and an individual. Negative influences of conflict will still be about? more obvious. The appearance of negative emotions - anger, aggression, non-operability, absurdity, dissatisfaction - and overcoming them in team atmosphere soon block any successful action. Characteristic is the rapid decline of group and individual motives, weakening of inner connection, disabling effective communication, lack of willingness to cooperate, animosity growth, dissatisfaction.

Since every conflict arises under special circumstances and on a regular basis reflects the peculiar situation in which the team at a particular time found, even two we must not solve the simplest conflicts by the same pattern and by equal means (Tudor & Sri, 1998). Draft (2000) suggests several techniques for resolving conflicts

I'm in people in teams and in teams. The first is setting up a superior goal There are some other important factors influencing the effectiveness of teamwork As the last feature of a team that influences its efficiency, we are announcing it the aspect of motivation quoted by Guzzo et al. (1993) in recent group theories efficiency, which is of key importance for understanding the design of this research.

Many of the experts were concerned with the study of human motivation. But no theory did not give a simple answer to the question of how to motivate a team (Tudor and Sri, 1998). Recently, more research into motivation in the group approaches more theoretically rather than empirically. Guzzo et al. (1993, according to Guzzo and Dickson, 1996) introduce the concept of the potency of a group that represents a common belief in efficiency team. The power structure represents, unique, measurable and significant (practical and theoretically), a psychosocial phenomenon that is not contained in existing motivational group-related models. They state the power of this motivational conviction may be a significant predictor of efficiency (Sayies, 1958; Hackman, 1990; Larson et al LaFasto, 1989; according to Guzzo et al., 1993) in service activities and others area? them. Guzzo (1993) defines efficiency as measurable results of group work, the influence the group has on its members and the opportunities that the group has to do well in the future. He cites the potential of the group as one of the most important efficiencies team. Potency is a belief group that can be efficient and describes it through the conviction of members to be able to cope with their abilities (Guzzo et al., 1993). Potential influences feedback on team work results, indoor and outdoor external group factors. The feedback on performance results refers to the criteria evaluation of the workflow (managers' ratings, customer satisfaction, satisfaction other members of the organization working with the team). Internal group factors are linked for knowledge, skills and abilities of members, size groups, fatigue and stress. External factors include the available work material, linking the team's goals with the goal of organization, the influence of the manager and the reputation that the team has in the organization. Guzzo and Champbell (1990, according to Guzzo et al., 1996) indicate that those groups exhibit strong sense of potential their groups are more difficult and more efficient. If teams receive feedback about the results of the joint work and the control of internal and external group factors, levels Team Team Potential can be a good predictor of Teamwork Efficiency (Guzzo i sur., 1993).

2. OBJECT OF THE INVESTIGATION

The growth of organization and the increasing complexity of the organizational structure occurs there is a need to introduce teams in which people work together to achieve the common goal of the organization. There are many reasons for this. One has established connectivity between teamwork and the overall performance of the organization. So, changes in efficiency teams have consequences and changes to a much larger system because when they grow up team efficiency, increase efficiency and the entire organizational system. Therefore in Contemporary organizations see the increased efforts of the executives in creation competent teams, necessary for developing new business solutions, motivating motivation people for the desired work environments and increasing the efficiency of work in general. Accordingly, The purpose of this research was to contribute to the understanding of team work phenomena efficiency, factors that influence it and check some of its measurement methods.

3. PROBLEM OF RESEARCH

Investigate the differences in work efficiency - four compliant team of Privredna banka u Kosova, based on self-assessment of the team's efficiency and performance measures.

HYPOTHESES

Before the survey, at the request of the author, senior team manager rated it each team according to the objective financial measures of the workplace. Criteria for assessment The efficiency of the teams was the benefit the Bank has of the contracts that have been concluded by each individual team. It should be emphasized that it has only been taken as an efficiency measure the value of the individual contracts and the number of clients with whom contracts have been concluded. The analysis The senior team manager ranked the teams and gave a qualitative description each team with respect to business results. The ranking of teams is shown in Table 1.

Table 1.- Rank the ranking of teams according to the senior manager score

Rank	Tim
1	A
2	B
3	C
4	D

These senior team assessments were taken as the basis for the posting the following hypothesis:

Teams are differentiated by self-assessments of work efficiency and estimates of their customers about service satisfaction. The results of earlier research have shown that there is a high correlation between attitudes of employees and their clients (Bowen, Schneider, 1988, 1980, 1985, according to Adist et al., 1996) and is expected to: There is compliance in self-assessment of the work efficiency of team members and satisfaction ratings of their clients' service.

4. METHODOLOGY

4.1 Respondents

Two groups of respondents participated in this study. The first group employees of the Business Services Department of Privredna banka * in Zagreb and the other their clients are grouped.

There are 16 people in the Department of Business Administration who are deployed in four generations team. In each team there are two client relationship managers, one credit analyst and a person in charge of credit administration. Relation Managers clients contact customers and, depending on their requirements, offer products Bank. They formulate a loan proposal that along with the required Documentation on the business of a legal person (enterprise) analyzes credit analysts ar Once it is determined whether the legal entity is creditworthy, the loan is granted or granted the request refuses. If the loan is approved, the person from the credit administration is preparing final, administrative part of the job related to the submission of reports, preparation of contracts etc.

This job in three stages before the team was introduced was performed by one person, most likely client relationship manager and senior managers decide to restructure this sector by introducing team work. Each team should be covered by an expert knowledge for these three levels of work. The City of Prizren is then divided into four parts and it is each team got its part of the city that it covers. This distribution was made to be made it easier for managers to choose clients and to make clearer differences me in teams. All four teams are formed by the same criteria, they have the same individual goals, work in equal conditions, and work experience are valued at the same way. It can be said that members are in line with some basic characteristics (age, sex, education). In this research team we named teams A, B, C and D.

Literature often states that customer satisfaction with the service can be good the predictor of the success of the service activity and as a measure of the work of everybody Each team took their customers' assessment of service satisfaction.

Clients in This research was the people who represent companies and are in contact with to your team's representatives. The condition for completing the questionnaire was to make a person longer

4.2 Instruments

Teamwork Efficiency Questionnaire

To measure self-assessment of team work efficiency, the Questionnaire was used to analyze the efficiency of team work. This questionnaire was compiled by Bateman, Wilson and Bingham (2002) to determine the needs of teams working in service activities.

The questionnaire in the original version consists of six categories of questions related to the team teams evaluated by team members. The results show the efficiency of each category as well can be used to improve teamwork as well as to compare teams.

The categories in the questionnaire are:

1. Team synergy - sense of belonging shared by team members.

2. A common goal - the existence of clearly defined goals set team and whose execution is constantly monitored.

Skills - training of team members, competence in performing their own part of the job and flexibility within the workplace.

Use of working material - all work materials, including buildings and equipment, are used to maximize the power of the plug.

5. Innovations - Finding ways to improve productivity and ways work.

6. Quality - degree of familiarity with client needs and standards listening to their satisfaction.

The authors of the questionnaire indicate that when analyzing the internal consistency of the questionnaires reliability ranges from 0.97 to 0.98. Cronbach's alpha coefficient for all estates of the questionnaire is 0.98, which indicates a high internal consistency of response respondents. The sample consisted of 400 participants deployed in 37 teams. All these teams working in service activities related to health care and social care in the Down Lisburn H & SS Trust from Lisburn (UK) and consists of members of various vocabulary (from managers, psychologists, therapists, senior managers, information staff, staff companies, etc.). The research involved only teams that are at least six months old.

Prior to the research itself, a pilot - research was carried out on a group of managers and staff working in the company. Evaluation of pilot studies has shown that it is necessary clearer and more specific use of some terms to ensure the applicability of this questionnaires for teams working in different working conditions.

In this paper, the categories are combined with the common goal and the use of working materials because it was estimated that given the nature of the work carried out by the members of the examination teams of these categories would not be discriminatory. Questions from other categories were translated with the expert translator (APPENDIX 1). In the final version, the questionnaire is questioned consisted of 32 questions, 8 questions in each of the categories. The questionnaire consists of a scale Likert type responses and subjects on scales 1 to 5 indicate the degree concordance or disagreement with a particular statement (1 - I strongly disagree, 5 - very explicit

I agree). Claims in the questionnaire were formulated so that the team evaluated the efficiency your team, not personal efficiency. On a sample of 16 respondents of respondents in 4 teams Reliability by Question Categories, expressed as Cronbach's Inner Coefficient consistency, ranging from 0.77 to 0.87, and for all questionnaires, = 0.876.

Customer satisfaction survey service

The customer satisfaction survey questionnaire was drawn up on the basis of the analysis jobs are team members for all three levels of work and in accordance with the categories Teamwork Teamwork Questionnaire. The questionnaire consists of 16 questions put together according to predefined categories. The categories are: communication, skills, trust and quality. These categories in the literature are some of the criteria forevaluation of service quality (Peter and Donnelly, 1991,

according to Churchill, 1995). And in this questionnaire of the response scale is Likert's type and the respondents give grade estimates stacking with a single statement on a scale of 1 to 5 (from 1 - I strongly disagree with 5- I strongly agree). Cronbach coefficient of internal consistency by categories The questionnaire applied to 83 clients ranges from 0.511 to 0.776 and for all Questionnaire amounts? = 0.884.

4.3 Procedure in

September 2002, the Management Board of the Privredna banka in Kosova approved the authorship conducting research in the Business Services Department. The research was conducted in October 2002. Team members are divided into questionnaires at the beginning of the worktime and are asked to pause them. The instructions pointed out that it was a test anonymously and you only need to write the name of the team to which they belong. Also, it has been emphasized that the estimates relate to the efficiency of the team they belong to, and not to their personal efficiency. Client statements were collected at the client reception office. After meeting with his manager, the client was asked to fill out the questionnaire in the waiting room. In the note emphasized that the satisfaction of the Service in the Department of Labor was assessed enterprise has. Clients filled out the questionnaire anonymously and were just supposed to write who are contacted by a person in the Business Services Department

5. RESULTS AND DISCONTINUES

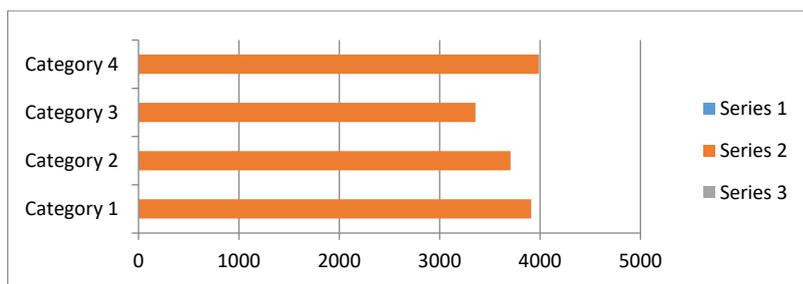
5.1 Examining Teamwork Efficiency

Within the context of the problem we are concerned, what kind of relationship is between us to work efficiency teams based on self-assessment of efficiency and measures of the workmanship.

First of all, we have to look at the team's estimates given by their senior manager, which were used as a basis for the research hypothesis of this paper. From Table 1. it can be seen that the most efficient team on the score of senior manager team B is the second place occupied Team A, Team 3, while Team D is the worst team. How is Team Senior Team evaluated the teams differently according to the quantitative criteria of the job, interesting whether the teams are different from self-assessments of efficiency. The results that were obtained using the Teamwork Efficiency Questionnaire are presented in Arithmetic mean estimates and standard deviations for results in Team Team Efficiency Questionnaire for 4 Teams

Table 2 and Figure 1.

	N	M	SD
Team A	4	3.096	0.287
Team B	4	3.703	0.774
Team C	4	3.352	0.454
Team D	4	3.984	0.538



The overall score for each team is shown as the arithmetic mean of the estimate of a particular team. The results are also presented graphically for easier reading of the relationship between the mouse teams.

Table 2 - Arithmetic mean estimates and standard deviations for results in

Team Team Efficiency Questionnaire for 4 Teams

Rang	Tim	Average sumrankings
1	D	10.50
2	A	9.50
3	B	9.25
4	C	4.75

Due to the small number of groups and the small number of respondents in the groups (N = 4), for determining differences between teams was inappropriate to use the Variant Analysis that is most likely to be used when analyzing relationships between groups. In cases where it is like this small N, it is recommended to use nonparametric tests. Adequate replacement for the analysis of variance in nonparametric statistics is the Kruskal-Wallis test. By testing the significance of the difference in the rank of rank, it has been determined that the teams are statistically do not differ significantly in the overall result in the questionnaire ($\chi^2 = 3.473$, $df = 3$, $p > 0.05$).

As can be seen from Table 2, Figure 1 and Table 3 of the teams' order according to self-assessments of efficiency differ from the ranking of their superior managers. According to the manager's assessment Team B is most effective while Team D is rated as worst. According to self-assessments of teams it is apparent that Team D is evaluated as most efficient, while Team B is only three times self-assessed. Different direction of the manager's rating and self-assessment of efficiency can be attributed to the different aspects that were taken as efficiency measure. A Senior Quality Manager is based only on objective quantitative team performance results, while team members evaluated the effectiveness of the teams related to the characteristics of team work.

There is no difference between the teams in the overall result of the Efficiency Questionnaire Teamwork can be explained through the same aspect of motivation as a team member Guzzo (1993) calls the potency. Champion and associates state that the potency group belief that it can be efficient (according to Yancey, 1998). From the results in the Table 3. It is obvious that the average estimates range from 3.35 to 3.98 on a scale of 1-5, which is shows that members of all teams of teams evaluate their teams as overlapping efficient in all examined aspects. The authors state that the potency is influenced management support, knowledge of past achievements of the team (feedback on results of work), perceptions of members of the knowledge and skills of colleagues. How is it the introduction of teams in this Service has led to many positive changes the Bank's management even closer to the employees themselves, the assumption is that they are the teams had their support. Also, this survey was conducted in October, and The annual report on the work of teams is at the end of the year, so the teams are not they had insight into the final business results and the work of their team was evaluated on the basis subjective business estimates. How Power Is Influenced by Knowledge of the Past achievements can make the results different than the survey was made after reviewing the team's results in the results. Furthermore, all four teams were formed by highly qualified people who have a long-standing experience in working with credit so it is the assumption that the members of the team are perceived to be competent, that is high value the knowledge and skills of other team members.

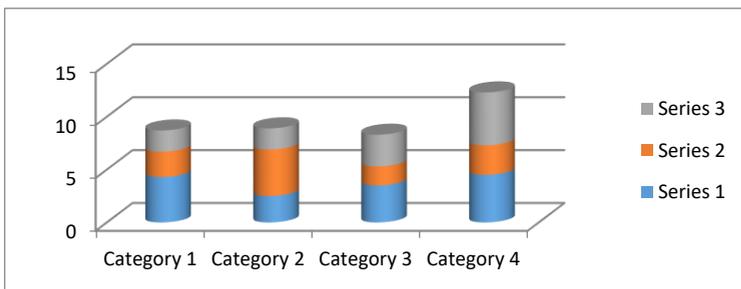
Continuous work on education and development existing teams are greatly influenced by increasing their efficiency. That is why it is important to recognize the area to which it is more emphasis needs to be placed on team development. Results displayed by questionnaires (synergy, skills, innovation, and quality) give insight into functioning of the teams by the mentioned categories and enable interventions on areas are key to improving organizational efficiency. The results are shown in table 4.

	SYNERGY	SKILLS	INNOVATION	QUALITY
M	3.945	3.555	3.7266	3.719
SD	0.593	0.584	0.614	0.756

Wilcoxon's test of equivalent pairs tested mixed differences Estimates by N = 16 Classes of Teamwork Efficiency Questionnaire, and not a statistically significant difference between the estimates of team members by categories was found questionnaire. This shows that employees of the Service Department work with companies that work in these the teams evaluate all four categories of questionnaires equally. How mediocre the estimates for each of the overproduction

categories (as can be seen in Table 4) it can be said that team members highly evaluate the efficiency for each of the categories Teamwork Questionnaire. Further, we were interested in how the relationship between teams was by category questionnaire. Results of basic statistical parameters for each team by category of the questionnaires are presented in Table 5 and in Figure 2.

Category		SYNERGY		SKILLS		INNOVATION		QUALITY	
Team	N	M	SD	M	SD	M	SD	M	SD
A	4	4.063	0.564	3.969	0.157	3.781	0.373	3.813	0.297
B	4	4.094	0.695	3.344	0.976	3.719	0.695	3.656	0.780
C	4	3.656	0.563	3.156	0.329	3.469	0.695	3.125	0.974
D	4	3.696	.695	4.750	0.270	3.938	0.793	4.281	0.524



View self-assessment of Teamwork Efficiency for Four Teams by question categories

Hence, these results show that the teams do not differ statistically by category of questionnaire, but from the results presented in Tables 5 and 6 and in Figure 2, we see that Team C in all question categories had the lowest score. If it does let's look at both Figure 1 and Table 2. We can see that according to the overall result the team has lowest result by self-assessments. How is the statistical analysis of the obtained results?

CATEGORY	TEAM	Average sum rankings	X ²	df	p
SYNERGY	B	10.38	2.062	3	0.560
	A	9.13			
	D	8.75			
	C	5.75			
SKILLS	A	12	5.843	3	0.120
	D	9.63			
	B	8.25			
	C	4.13			
INNOVATION	D	11.13	2.300	3	0.512
	B	8.75			
	A	8			
	C	6.13			
QUALITY	D	12.5	4.669	3	0.189
	A	8.38			
	B	7.75			
	C	5.38			

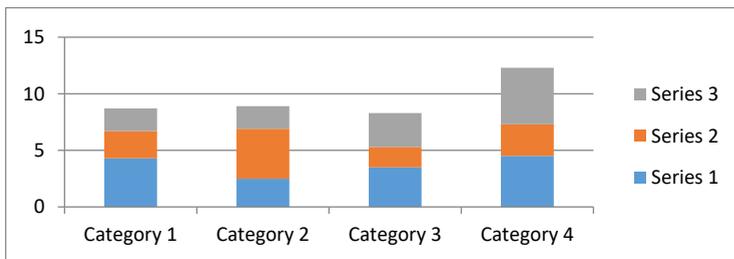
It showed that teams can not be distinguished, it is not justified to make conclusions about it that Team C is the worst of these teams, but we can see the trend of the results obtained which suggests that perhaps more attention could be paid to monitoring the work and processes in team C.

The results of this questionnaire can be used by team managers as valuable feedback from team members about processes in a team that is sometimes due to scale jobs are put in another plan. Also, using this questionnaire members of the team had an opportunity to analyze your current functioning and eventually identify the domain which should be done more.

5.2 Customer Satisfaction Testing Service.

As a measure of the efficiency of team work in this paper, the client's estimate was taken satisfaction with the service they receive from a particular team and we were curious about where they were relationship teams with regard to their clients' estimates. By simple analysis variants tested differences in overall client evaluation score and were not found statistically significant difference between teams according to client estimates ($F = 2.424, df = 3/79, p > 0.05$). Table 7 and Figure 3 show the results obtained. Table 7. - Overview of basic statistical customer evaluation parameters on the Questionnaire

	N	M	SD
TEAM A		4.312	0.394
TEAM B	23	3.991	0.589
TEAM C	17	3.094	0.627
TEAM D	24	4.198	0.967



Thus, statistical analysis of results has shown that teams do not differ statistically notably by self-assessments, but not by customer reviews. However, they are analyzing graphs (Figure 1, Figure 3) and Tables 2 and 7 can be seen in this the questionnaire team C has the worst result, team A and team D have high scores while team B takes the third place. Though Team A has a self-assessment score of 0.08 lower than the team's score D, while at client estimate A has the highest score, there is a similar trend the relationship between team results. This trend of results is consistent with the findings in where the same is true of the perception of employees coincides with the real perception of quality of service by their clients (Newman, 2001). In research related to banking services it was established that there is a high correlation between employee attitudes and their clients (Bowen,

Schneider, 1988, 1980, 1985; according to Adist et al., 1996). From Table 7 it is seen that the service satisfaction estimates ranged from 3.094 to 4.312 (on a scale of 1 to 5) which shows that clients are generally satisfied with the service. How are the members of the team Assessing your team's work very efficiently, we can conclude that they are in this case Employee attitudes are consistent with the perception of their clients' services. It signals it the conclusion that team clients in the Sector of Business recognize the efforts of team members for by providing quality services.

Results displayed by categories of Service Satisfaction Quiz (skills, communication, trust, and quality) provide an insight into what aspects of the service you are providing are received from a particular team, clients are more or less satisfied with the Service enterprise has. They are shown in Table 8.

CATEGORY		SKILLS		COMUNICATION		CREDENCE		QUALITY	
TEAM	N	N	SD	M	SD	M	SD	M	SD
A	19	4.445	0.445	4.513	0.460	3.961	0.522	4.329	0.486

B	23	4.010	0.759	4.152	0.730	3.761	0.596	4.044	0.660
C	17	3.397	0.749	3.794	0.686	3.735	0.693	4.118	0.606
D	24	4.260	0.597	4.322	0.583	3.896	0.466	4.313	0.613
TOT	83	4.175	0.666	4.211	0.662	3.840	0.564	4.202	0.602

5.3 Final Considerations

More and more, the importance of systematic analysis has become increasingly apparent lately trained and educated employees in the skills and knowledge needed to make the most effective the way it works. For this reason, many companies are introducing ongoing training that is meaningful they increase employee satisfaction, and thus their effectiveness. Training staff combined with corresponding changes in attitudes increases self-esteem company staff, increase their membership of the organization and improve their knowledge and skills skills. Likewise, it ensures the shared sharing of knowledge and experience, it helps the same level of professionalism and the achievement of a high level of organizational culture.

Also, in the organizations involved in monitoring service activities Customer Satisfaction is a great way to determine the quality of the service you are doing the organization provides in relation to its clients' expectations. That way they get information that can be used as a means to determine how to improve processes in the organization, as a means of motivating workers and as a means controls for performance evaluation.

The results of the questionnaires used in this research may be helpful in returning Information to managers about some of the most labor-efficient aspects are put in another plan, and the emphasis is placed on quantitative monitoring performance indicators. If we compare rankings of teams ranked, ranked by senior manager according to the quantitative criterion of work efficiency, we see that he is not in consistent with the results obtained by examining other aspects of operational efficiency. How is it efficiency defined in terms of productivity, satisfaction of workers and clients and rating of managers, it is recommended to follow all of these criteria in order to get what more complete picture of worker's work efficiency.

Finally, it is important to emphasize the importance of co-operation between managers and organizational psychologists in the identification of problems and factors that affect the efficiency of team work. For unlike class working groups, teams "require" work on ongoing education of members, the development of potential members, maximum use of the full range of their knowledge and skills, developing creativity and, ultimately, critical approach to teamwork and processes in him. Knowledge of organizational psychologists (theoretical and methodological) and possibilities managers to apply this knowledge are the best way to contribute to understanding the phenomenon of the team's mode of operation and thus improves the efficiency of the whole organisations.

6. CRITERIA AFFECT THE IMPLEMENTED RESEARCH

The limitations of this research arise from the characteristics of the questionnaires used customer satisfaction and the time period in which the survey was conducted.

The first limitation is related to the Customer Satisfaction Questionnaire that is the author the same formed and there are no data to compare the results obtained. How is it the questionnaire used for the first time in this research is re-applied to validate this questionnaire and examine its content, criterion and constructive validity. It is also necessary to combine the direction of the claim because it is all claims in the questionnaire positively directed, which leads to the respondents (clients) are more satisfying than in the case when questions are asked in the same way ratio - satisfaction / dissatisfaction.

The authors of Teamwork Efficiency Questionnaires constructed a questionnaire for purpose recognizing the needs of team members working in their organization and work on their improvement. The article in which the questionnaire is attached is not theoretical the model on which a questionnaire was prepared, so it was decided before applying the questionnaire in this to explore two categories of questionnaire (common goal and use of the job) material). These two categories were excluded because it was considered, based on work analysis places, it would be non-discriminatory, ie, that these four teams do not differ by that categories. After studying literature related to team effectiveness checks the work has shown that the results in these two categories are useful information in the analysis team work efficiency. In APPENDIX 2 there is

a translation of the original version of the questionnaire and it is recommended that future research be included in these two categories analysis.

Given that self-assessment of teamwork efficiency is reversed information managers and clients, the assumption is that the examination is self-assessment should be done once the team members receive annual business reports. Insight the objective indicators of the work force would have influenced the more criticality of team members when analyzing teamwork.

7. CONCLUSION?

By analyzing the work efficiency of the compliant teams of the Service Department the companies of the Privredna banka in Zagreb found that the teams did not differ statistically significant in the overall outcome of the Teamwork Efficiency Questionnaire ($F = 3.473$, $df = 3$, $p > 0.05$) as well as by categories of questionnaire ($F = 2.062$, $df = 3$, $p < 0.05$; $F = 5.843$, $df = 3$, $p > 0.05$; $F = 2.300$, $df = 3$, $p > 0.05$; $F = 4.669$, $df = 3$, $p > 0.05$) and there is no confirmed hypothesis that teams will differ in self-assessments. According to the overall result self-assessment is seen to be average the ratings of the members of each team ranged from 3.35 to 3.98, which indicates that the members of the team are their teams are evaluated more efficiently.

As a measure of the work of these teams, the evaluation of their clients was taken about the satisfaction of the service they receive from a particular team. Determined difference between the two to the teams according to the overall result of service satisfaction estimates did not show statistically significant ($F = 2.424$, $df = 3/79$, $p > 0.05$), so no hypothesis that Teams will differentiate according to their clients' estimates. Estimates of individual clients Teams ranging from 3.094 to 4.312 show a high level of satisfaction with the service earned by teams in Privredna banka, and hence high work efficiency evaluated teams. Teams are equally evaluated by their clients and by categories of customer satisfaction survey questions. It is determined that the clients statistically significant lower ratings are given in the "trust" questionnaire category relative to other categories of questionnaire.

Based on the results of previous research, it was thought to be self-assessment

The team's work efficiency efficiency will be consistent with service satisfaction estimates of their clients, which partially and confirmed. The statistical analysis of the results showed is that teams statistically do not differ by self-assessments of work efficiency as well as their clients' estimates (which were taken as a measure of their work) efficiency), but comparing Figure 1 and Figure 3 there is a similar trend in the relationship between the mouse team results so that team C in both questionnaires has the lowest score, while teams A and D they have high scores both in self-assessment and in customer evaluation. This is considered it is justified to confirm the hypothesis that there will be conformity self-assessment work teams' effectiveness and the evaluation of their clients.

Literature

- [1] Adsit, J. D., London, M., Crom, S. and Jones, D. (1996): Relationships between
- [2] employee attitudes, customer satisfaction and departmental performance. *Journal of Management*, Vol. 15, No.1, 62-75
- [3] Blanchard, R.F. and Galloway, R.L. (1994): Quality in retail banking. *International Journal of Service Industry Management*. Vol. 5, No. 4, 5-23 3) Bateman, B., Wilson C.F and Bingham, D. (2002): Team Effectiveness - development of an audit questionnaire. *Journal of Management Development*, Vol. 21, No. 3, 215-226
- [4] Churchill, G. A. Jr. and Peter, P.J. (1995): *MARKETING - Creating value for*
- [5] *customers*. Irwin & Austen Press
- [6] Draft, R. (2000): *MANAGEMENT*. The Dryden Press, Orlando 6) Gilbert, R. (2000): Measuring internal customer satisfaction. *Managing Service Quality*, Vol. 10, No. 3, 178-186
- [7] Guzzo, R. A., Yost, P.R., Campbell, R.J., and Shea, G.P. (1993): Potency in
- [8] groups: Articulating a construct. *British Journal of Social Psychology*, 32, 87- 106
- [9] Guzzo, R. A. and Dickson M.W. (1996): *TEAMS IN ORGANIZATION: Recent*

- [10] research on performance and effectiveness. *Annual Review of Psychology*, 47, 307-338
- [11] Ingram, H., Teare, R., Scheuing, E. and Armistead, C. (1997): A system model of
- [12] effective teamwork. *The TQM Magazine*, Vol. 9, No. 2, 118-127
- [13] Newman, K. (2001): Interrogating SERVQUAL: A Critical Assessment of
- [14] service quality measurement in a high street retail bank. *International Journal of*
- [15] *Bank*, 19/3, 126-139
- [16] Petz, B. (1985): *Psychology of Work*. Školska knjiga, Zagreb
- [17] Ana Kuni? I? -Posinkovi ?: ANALIZA ISTRAŽIVANJA DJELATNOSTI 42
- [18] Petz, B. (1992): *Psychological Dictionary*. Prosvjeta, Zagreb
- [19] Prichard, J. S. and Staton N. A. (1999): Testing Belbin's team role theory of effective groups. *The Journal of Management Development*, Vol. 18, No. 8 652-665
- [20] Robbins, S.P. (1992): *Essential Elements of Organizational Behavior*. Mate, Zagreb
- [21] Rot, N. (1983): *Psychology Group*. Department for Textbooks and Teaching Resources, Belgrade
- [22] Sikavica, P. and Novak, M. (1999): *Business organization*. Informator, Zagreb
- [23] Storge, A. (2002): *ORGANIZATION*. Thomson Learning
- [24] Tudor, G. and Sri, V. (1998): *Manager and winning team*. MEP Consult i Croman, Zagreb
- [25] Vraneševi ?, T. (1996): *Managing Customer Satisfaction*. Golden Marketing, Zagreb
- [26] Yancey, M. (1998): *Work teams: three models of effectiveness*. Center for
- [27] *study of work teams*, University of North Texas
- [28] West, M. A., Borrill, C.S. and Unsworth, K.L. (1998): *Team effectiveness in*
- [29] *organizations*. *International Review of Industrial and Organizational Psychology*, Vol. 13, 1-48
- [30] Wisniewski, M. .: *Using SERVQUAL to asses customer satisfaction with public*
- [31] *sector services*. *Managing Service Quality*, Vol.11, No. 6, 2001, 380-388

A Linear and Non-Linear Causality Analysis between Military Expenditures and External Debt in NATO Member Countries

Stella Karagianni
Maria Pempetzoglou

Abstract

This paper deploys the linear and non-linear Granger causality methods in order to determine the causal relationship between military expenditures and external debt in NATO countries for the time period 1960-2015. Its innovative feature lies in the empirical application of the Francis et al. (2010) nonlinear causality test. To our knowledge, this is the first study to employ the specific test in order to explore the existence of potential nonlinear links between military spending and debt. The empirical results indicate the existence of linearity in the cases of Greece, Italy, UK and USA and the existence of nonlinearity in the cases of Turkey and USA. The paper aims to provide valuable input to the regulators and decision makers.

Keywords: military expenditures, external debt, NATO countries

1. Introduction

The relationship between military expenditures and external debt has attracted the interest of many economists and policy makers. The significance of the topic lays to the impact of military expenditures on the indebtedness of both developed and developing countries. Especially, nowadays, with the advent of the economic crisis and the need for shrinking public spending, the issue has become more relevant than ever. Military expenditures burden the level of external debt in a threefold manner (Shahbaz et al. 2013; Günlük-Senesen, 2004; Wolde-Rufael, 2009); they cause pressure for borrowing (internal and especially external), increase imports of defence equipment or technologically advanced intermediate goods - to internally produce defence equipment. In all previous cases, countries resort either to foreign borrowing or to the reduction of their foreign exchange reserves.

The causal relationship between military expenditures and debt can be classified into four categories: a unidirectional causality running from military spending to debt, a unidirectional causality running from debt to military spending, a bidirectional causality between military spending and debt and the complete absence of causality. Since the late '80s, researchers have conducted causality tests to explore the presence and direction of causality between military spending and external debt either in country groups or in individual countries. The empirical investigation has yielded mixed results on the direction of causality, which are mainly attributed to differences in data sets, leading to different policy implications.

The aim of the present paper is to investigate the relationship between military expenditures and external debt by employing linear and non-linear causality methodologies in the NATO member countries during the time period 1960-2015. The innovative contribution of the study is the implementation of one of the most advanced econometric methods, the nonlinear Granger causality test developed by Francis et al. (2010). The potential existence of nonlinearity will reveal a far more complex relationship between these two variables that has never previously been recognised and it will push economic and defense policy makers to revise their military spending decisions for internal and external security purposes.

The remainder of the paper is organized as follows: Section 2 reviews the literature on the military expenditures-external debt nexus, Section 3 provides an overview of the empirical methodology, Section 4 presents the data and the empirical results of the study and section 5 provides the concluding remarks and suggestions for future research.

2. Literature Review

The topic of a potential causal relationship between the military expenditures and external debt was initially introduced by Brzoska (1983), who primarily acknowledged the significance of military spending to the external debt of many indebted

developing countries. Subsequently, Looney and Frederiksen (1986) explored the relationship in resource-constrained and resource-unconstrained countries. Since then, many researchers examined different countries or groups of countries, in different time periods, using different explanatory variables and different empirical methodologies in order to determine the causality flow of the relationship.

Among the multi-country studies, Alexander (2013) was the one that applied a dynamic panel model in a sample of high-income OECD/NATO countries, over the period 1988-2009 and found that the defence burden is a statistically significant and economically important determinant of public debt. There is a number of other multi-country studies that employed panel data analysis and investigated the military spending-debt nexus in EU or OECD countries. Zhang et al. (2016) examined a panel of 11 OECD countries and found a unidirectional flow running from military spending to external debt for the US and the opposite flow for Canada and the UK. Caruso and Di Domizio (2017) explored 13 EU countries and US and validated the fact that US military spending affects European sovereign debt. Similarly, Paleologou (2013) concluded to a large positive impact on the share of general government debt in the 25 EU countries.

Our analysis, though, focuses individually on each country, shaping more with the country-specific studies. Kollias et al. (2004) found that military expenditure adversely affects central government debt and external debt in the case of Greece. In the same spirit lays the study of Dimitraki and Kartsakias (2017), that determined military spending as a primary cause of debt growth in Greece. Karagol (2005, 2006) acknowledged a unidirectional causal flow from defence expenditure to external debt for Turkey, whereas Sezgin (2004) found no clear evidence of the defense–debt relationship for the same country. Norrlof and Wohlforth (2016) ended up with the fact that military spending is not a significant determinant of public debt in the US.

3. Methodology

In this section, the definitions of the linear and the non-linear Granger causality tests are discussed. In the first part, we briefly describe the traditional linear Granger causality approach and in the second part, we present the statistical technique for non-linear Granger causality, developed by Baek and Brock (1992), modified by Hiemstra and Jones (1994) and revised by Francis et al. (2010).

3.1 The Linear Granger Causality Test

A time series X_t causes another time series Y_t in the Granger sense (Granger, 1969) if present Y can be predicted better by using past values of X than by not doing so, considering also other relevant information, including past values of Y . If this exists, X_t is said to linearly Granger cause Y_t . Bidirectional causality exists if Granger causality runs in both directions.

The test for linear Granger causality between military expenditures and external debt involves the estimation of the following equations in a vector autoregression (VAR) framework:

$$R_{1,t} = \sum_{i=1}^{\theta_1} \alpha_i R_{1,t-i} + \sum_{j=1}^{\theta_2} \beta_j R_{2,t-j} + \varepsilon_{1,t} \quad (1)$$

$$R_{2,t} = \sum_{i=1}^{\theta_3} \delta_i R_{2,t-i} + \sum_{j=1}^{\theta_4} \phi_j R_{1,t-j} + \varepsilon_{2,t}$$

(2)

$R_{1,t}$ and $R_{2,t}$ indicate, respectively, the military expenditures to GDP and external debt to GDP in the year t ; α , β , δ , and ϕ indicate the parameters to be estimated; $(\varepsilon_1, \varepsilon_2)$ are zero-mean error terms with a constant variance–covariance matrix. With the use of the Bayesian information criterion (BIC), we determine the optimal lag lengths.

Equations (1) and (2) identify the linear causal relationships. By examining the statistical significance of the individual β and ϕ coefficient estimates, we test for linear Granger non-causality at specific lags. By testing the null hypothesis that $\sum \beta = 0$ in Equation (1) or $\sum \phi = 0$ in Equation (2) using a T-statistic, we check for cumulative linear Granger non-causality (Francis et al., 2010).

3.2 The Non-Linear Granger Causality Test

Baek and Brock (1992) propose a non-parametric statistical method for detecting non-linear causal relations that cannot be uncovered by equivalent linear tests. Their approach employs the correlation integral, which provides an estimate of spatial dependence across time. Consider two stationary and weakly dependent time series $R_{1,t}$, that stands for military expenditures to GDP and $R_{2,t}$ that stands for external debt to GDP. Let the m -length lead vector of $R_{1,t}$ be designated by $R_{1,t}^m$, and the $Lr1$ and the $Lr2$ be the lag vectors of $R_{1,t-Lr1}^{Lr1}$ and $R_{2,t-Lr2}^{Lr2}$ of $R_{1,t}$ and $R_{2,t}$, respectively.

For given values of m , $Lr1$, and $Lr2 \geq 1$ and for $d > 0$, $R_{2,t}$ does not strictly Granger cause $R_{1,t}$ if:

$$\Pr \left(\left\| R_{1,t}^m - R_{1,s}^m \right\| < d \mid \left\| R_{1,t-Lr1}^{Lr1} - R_{1,s-Lr1}^{Lr1} \right\| < d, \left\| R_{2,t-Lr2}^{Lr2} - R_{2,s-Lr2}^{Lr2} \right\| < d \right) \\ = \Pr \left(\left\| R_{1,t}^m - R_{1,s}^m \right\| < d \mid \left\| R_{1,t-Lr1}^{Lr1} - R_{1,s-Lr1}^{Lr1} \right\| < d \right), \quad (3)$$

where $\Pr(\cdot)$ denotes probability and $\left\| \cdot \right\|$ denotes the maximum norm for vector $X \in (X_1, X_2, \dots, X_k)$ and $s, t = \max(Lr1, Lr2) + 1, \dots, T - m + 1$.

The probability on the left hand side of Equation (3) is the conditional probability that the two arbitrary m -length lead vectors $R_{1,t}$ are within a distance d of each other, given that the corresponding $Lr1$ -length lag vectors of $R_{1,t}$ and two $Lr2$ -length lag vectors of $R_{2,t}$ are within d of each other. The probability on the right hand side of Equation (3) is the conditional probability that two arbitrary m -length lead vectors of $R_{1,t}$ are within a distance d of each other, given that their corresponding $Lr1$ -length lag vectors are within a distance d of each other.

If we express the conditional probability in terms of the ratios of joint and conditioning probabilities, the test in Equation (3) takes the form of Equation (4):

$$\frac{CI(m + Lr1, Lr2, d)}{CI(Lr1, Lr2, d)} = \frac{CI(m + Lr1, d)}{CI(Lr1, d)} \quad (4)$$

The correlation-integral estimators of the joint probabilities, which are discussed in detail by Hiemstra and Jones (1994), are given in Equation (5):

$$CI(m + Lr1, Lr2, d) \equiv \Pr(\|R_{1t-Lr1}^{m+Lr1} - R_{1s-Lr1}^{m+Lr1}\| < d, \|R_{2t-Lr2}^{Lr2} - R_{2s-Lr2}^{Lr2}\| < d),$$

$$CI(Lr1, Lr2, d) \equiv \Pr(\|R_{1t-Lr1}^{Lr1} - R_{1s-Lr1}^{Lr1}\| < d, \|R_{2t-Lr2}^{Lr2} - R_{2s-Lr2}^{Lr2}\| < d),$$

$$CI(m + Lr1, d) \equiv \Pr(\|R_{1t-Lr1}^{m+Lr1} - R_{1s-Lr1}^{m+Lr1}\| < d),$$

$$CI(Lr1, d) \equiv \Pr(\|R_{1t-Lr1}^{Lr1} - R_{1s-Lr1}^{Lr1}\| < d).$$

(5)

In order to test the condition in Equation (4), we use the correlation-integral estimators of Equation (5). Supposing that $R_{1,t}$ and $R_{2,t}$ are strictly stationary, weakly dependent and satisfy the mixing conditions of Denker and Keller (1983), under the null hypothesis that $R_{2,t}$ does not strictly Granger cause $R_{1,t}$, the test statistic T is asymptotically normally distributed and it is determined by Equation (6):

$$T = \left[\frac{CI(m + Lr1, Lr2, d, n)}{CI(Lr1, Lr2, d, n)} - \frac{CI(m + Lr1, d, n)}{CI(Lr1, d, n)} \right] \sim N \left(0, \frac{1}{\sqrt{n}} \sigma^2(m, Lr1, Lr2, d) \right) \quad (6)$$

where, $n = T + 1 - m - \max(Lr1, Lr2)$ and $\sigma^2(\cdot)$ is the asymptotic variance of the modified Baek and Brock test statistic. The test statistic in Equation (6) is applied to the two estimated residual series from the VAR model in Equations (1) and

(2), $\varepsilon_{1,t}$ and $\varepsilon_{2,t}$, respectively. Therefore, if the null hypothesis of Granger non-causality is rejected, the detected causal relationship between the two variables must necessarily be nonlinear.

4. DATA AND EMPIRICAL RESULTS

4.1 Data

The present analysis has been carried out using annual data for NATO member countries¹ for the time period 1960-2015. The data concerning debt to Gross Domestic Product (GDP) ratio is obtained from the *Historical Public Debt Database* published by the International Monetary Fund (IMF, 2019). Military expenditures as percentage of GDP data are obtained from the *SIPRI Military Expenditure Database* (SIPRI, 2018). All data used are expressed as percentage of GDP and in current prices. The implementation of non-linear causality tests requires the use of current prices, in order to avoid the filtering caused by the transformation of time-series in constant prices.

4.2 Results of the Linear Granger Causality Test

Before we proceed to the implementation of the linear Granger causality test, stationarity tests should be performed for each of the relevant variables. Unit roots need to be removed, in order to obtain stationary series. For this purpose, in the present study, the augmented Dickey-Fuller (ADF) test procedure (Dickey and Fuller, 1979) was employed. The findings from the ADF test suggest that the series have been proved to be stationary in the first differences at 10% significance level. The Schwartz Info criterion rule has been employed for the selection of the lag parameters. Subsequently, we carry out the linear Granger causality test. The null hypothesis suggests that no Granger causality exists between military expenditures and debt. The alternative hypothesis declares that a linear Granger causality exists. If the probability is greater than the critical value, the null hypothesis is considered as significant and we accept it as the true case. If the critical value is greater than the probability, the null hypothesis is not considered to be significant and we accept the alternative hypothesis. Table 1 provides a view of the linear Granger causality results.

The findings indicate the existence of a unidirectional causality running from military expenditures to external debt in the UK and the USA as well as a unidirectional flow running from debt to military expenditures in the cases of Greece and Italy. No causality is observed in all other cases. Overall, the results indicate that, in some countries, as military expenditure grows there is a tendency for external debt to grow and vice versa. The results of the study are comparable to the study of Sezgin (2004), that found no signs of linear causality for Turkey, but contradictory to the study of Karagol (2005, 2006), that determined defence burden as a statistically significant and economically important determinant of external debt. Our findings also contradict to the findings of Kollias et al. (2004) and Dimitraki and Katsaklas (2017) for Greece, that indicated a positive effect of military spending on sovereign debt in Greece. Additionally, Norrlof, and Wohlforth (2016) found that military spending is not a significant determinant of debt in the USA, in contrast with our conclusions that declare the existence of a unidirectional flow from military expenditures to debt. These opposing results could be attributed to the fact that different studies have focused on different time periods, proxy variables and alternative econometric methodologies to elaborate the external debt and defense spending relationship.

Table 1: Linear Granger causality test results

Countries	Null Hypothesis	Probability	Results
Belgium	DEBT does not Granger Cause ME	0.6545	
	ME does not Granger Cause DEBT	0.3362	
Canada	DEBT does not Granger Cause ME	0.0965	
	ME does not Granger Cause DEBT	0.7400	
Denmark	DEBT does not Granger Cause ME	0.6720	
	ME does not Granger Cause DEBT	0.8216	
France	DEBT does not Granger Cause ME	0.6518	

¹ NATO consists of 29 independent member countries. In our study, we have included 14 of the NATO member countries (namely, Belgium, Canada, Denmark, France, Germany, Greece, Italy, Netherlands, Norway, Portugal, Spain, Turkey, UK and USA), since for the rest of the countries, the data was incomplete and the time series required for the implementation of the specific methodology were limited.

	ME does not Granger Cause DEBT	0.6826	
Germany	DEBT does not Granger Cause ME	0.1400	
	ME does not Granger Cause DEBT	0.8845	
Greece	DEBT does not Granger Cause ME	0.0140	DEBT → ME
	ME does not Granger Cause DEBT	0.8407	
Italy	DEBT does not Granger Cause ME	0.0420	DEBT → ME
	ME does not Granger Cause DEBT	0.3838	
Netherlands	DEBT does not Granger Cause ME	0.0947	
	ME does not Granger Cause DEBT	0.1332	
Norway	DEBT does not Granger Cause ME	0.5097	
	ME does not Granger Cause DEBT	0.3449	
Portugal	DEBT does not Granger Cause ME	0.1832	
	ME does not Granger Cause DEBT	0.2623	
Spain	DEBT does not Granger Cause ME	0.7213	
	ME does not Granger Cause DEBT	0.6027	
Turkey	DEBT does not Granger Cause ME	0.7821	
	ME does not Granger Cause DEBT	0.8109	
UK	DEBT does not Granger Cause ME	0.0592	
	ME does not Granger Cause DEBT	0.0003	ME → DEBT
USA	DEBT does not Granger Cause ME	0.6583	
	ME does not Granger Cause DEBT	0.0345	ME → DEBT

Notes: 1) Debt stands for external debt as percentage to GDP and ME for military expenditures as percentage to GDP. 2) The critical value is 0.05

4.3 Results of the Non-Linear Granger Causality Test

Given that the existence of linearity does not rule out the existence of nonlinearity (Kyrtsou and Labys, 2006), our study goes one step further and applies the nonlinear causality test developed by Francis et al. (2010). To begin with, we remove any potential linear dependence by applying a Vector Autoregression (VAR) model. We, then, use the estimated residual series as inputs to the nonlinear test. The test has been applied in both directions and a common lag length of 1 to 5 lags has been used ($Lx=Ly=1, \dots, 5$ and lead length $m=1$). The study also uses common scale parameter of $e=1.5\sigma$, where σ denotes the standard deviation of the standardized time series. The analytical results of the p -values of the nonlinear test are reported in Table 2.

Table 2: NonLinear causality test results

Countries	Lx=Ly	p-value		Results
		ME → DEBT	DEBT → ME	
Belgium	1	0.41	0.02*	
	2	0.08*	0.07*	
	3	0.11	0.42	
	4	0.18	0.61	
	5	0.36	0.44	
Canada	1	0.55	0.47	
	2	0.61	0.43	
	3	0.48	0.47	
	4	0.12	0.22	
	5	0.28	0.26	
Denmark	1	0.36	0.48	
	2	0.05*	0.65	
	3	0.05*	0.46	
	4	0.24	0.07*	
	5	0.45	0.23	

France	1	0.03*	0.98	
	2	0.28	0.82	
	3	0.30	0.69	
	4	0.09*	0.55	
	5	0.45	0.67	
Germany	1	0.46	0.09*	
	2	0.59	0.09*	
	3	0.26	0.15	
	4	0.23	0.49	
	5	0.60	0.45	
Greece	1	0.43	0.35	
	2	0.32	0.17	
	3	0.56	0.50	
	4	0.30	0.58	
	5	0.49	0.72	
Italy	1	0.06*	0.50	
	2	0.04*	0.51	
	3	0.29	0.28	
	4	0.50	0.08*	
	5	0.74	0.37	
Netherlands	1	0.88	0.15	
	2	0.94	0.45	
	3	0.47	0.42	
	4	0.59	0.88	
	5	0.46	0.49	
Norway	1	0.46	0.14	
	2	0.03*	0.30	
	3	0.04*	0.17	
	4	0.13	0.58	
	5	0.26	0.40	
Portugal	1	0.54	0.27	
	2	0.60	0.19	
	3	0.51	0.31	
	4	0.44	0.45	
	5	0.48	0.31	
Spain	1	0.33	0.67	
	2	0.34	0.38	
	3	0.19	0.60	
	4	0.10*	0.60	
	5	0.07*	0.66	
Turkey	1	0.69	0.25	ME → DEBT
	2	0.08*	0.24	
	3	0.03*	0.35	
	4	0.05*	0.25	
	5	0.12	0.81	
	1	0.08*	0.17	

UK	2	0.21	0.10*	
	3	0.38	0.30	
	4	0.39	0.30	
	5	0.20	0.17	
USA	1	0.30	0.01*	DEBT → ME
	2	0.21	0.05*	
	3	0.43	0.02*	
	4	0.59	0.18	
	5	0.23	0.18	

Notes:

The null hypothesis suggests that ME does not cause DEBT and DEBT does not cause ME, respectively.

* denotes p -value statistical significance at 10% level.

The findings support the existence of a strong unidirectional nonlinear causality running from military expenditure to external debt in Turkey and the existence of the opposite nonlinear flow in the USA. The first finding denotes that a shock in military spending is expected to have disproportionate effects on external debt, due to the existence of nonlinear causality. This fact indicates that an abrupt change in military spending is expected to affect debt in a non-proportionate way and policy makers cannot ex ante detect the results of this shock in the state budget. The results also indicate the existence of a unidirectional nonlinear flow running from external debt towards military spending in the case of USA. This finding indicates that an abrupt change in debt is expected to disproportionately affect military expenditures and policy makers are unable to know ex ante the results of a shock they may cause in the economy. Although, the specific non-linear methodology cannot determine the magnitude of the engendered change, yet it reveals that the presence of nonlinearity decreases predictability in the co-movements of the variables and raises sensitivity of variables responses to economic shocks. In the rest of the countries, there are no signs of nonlinear causality either because non-linear flows cannot be detected or because such flows do not exist in these specific set of countries. The results of the non-linear test cannot be compared to any other studies, since the specific non-linear technique has never been applied before.

A summary view of the empirical findings from both linear and nonlinear tests is displayed on Table 3. Greece and Italy have a significantly strategic geographical position. The fact, though, that they are highly indebted countries, determines, to a large extent, the level of their military spending, which is predictable due to the existence of linearity. Turkey also occupies a strategic geographical position and its military spending may well be used for both internal and external security purposes. The existence of non-linear causality suggests that policy makers are unable to forecast the exact size of the debt change due to a modification in the military expenditure level. Therefore, military expenditures cannot be used as means of policy making, since their impact on external debt cannot be detected. UK is the third highest-spending NATO member, and its defence expenditure comes right behind Greece and the US. In the UK, military spending is a major contributor to the volume of external debt, but the magnitude of its change is predictable. USA is an exceptionally big defence spender and it could be characterized as one of the most militant countries with a strong presence in warfare all around the world. Its military spending affects its external debt in a predictable and proportional way, but simultaneously the level of its debt its policy makers are unable to forecast the exact size of the debt impact on the modification of the military expenditure level.

Table 3: Linear and NonLinear causality test results

Countries	linear		non-linear	
	ME→DEBT	DEBT→ME	ME→DEBT	DEBT→ME
Belgium	-	-	-	-
Canada	-	-	-	-
Denmark	-	-	-	-

France	-	-	-	-
Germany	-	-	-	-
Greece	-	√	-	-
Italy	-	√	-	-
Netherlands	-	-	-	-
Norway	-	-	-	-
Portugal	-	-	-	-
Spain	-	-	-	-
Turkey	-	-	√	-
UK	√	-	-	-
USA	√	-	-	√

5. Conclusions

In the present study, we investigate the nexus between military expenditure and external debt in the NATO member countries for the time period 1960-2015. The linear causal analysis has been conducted with the use of the traditional linear Granger causality test, whereas the non-linear with the implementation of the non-linear Granger causality technique, developed by Baek and Brock (1992), modified by Hiemstra and Jones (1994) and revised by Francis et al. (2010).

The findings of the linear causality test provide signs for the existence of a unidirectional causality running from military expenditures to external debt in the UK and the USA and a unidirectional causal flow running from external debt to military expenditures in Greece and Italy. The empirical results of the non-linear causality test indicate the presence of a strong unidirectional causality flow from military spending to external debt in Turkey and the existence of the nonlinear flow from external debt to military spending in the USA.

The presence of non-linearity should raise the concern of economic and defence policy makers regarding the expansive or restrictive policies they intend to apply in the field of defense spending, in conjunction with budgetary considerations. Future research can be pursued by determining the sign and the magnitude of the relationship between these two variables. Yet, this purpose escapes from the potential of this non-linear test.

References

- [1] Alexander R. 2013. The Defence-Debt nexus: Evidence from the High-Income Members of NATO. *Defence and Peace Economics*, 24:2, 133-145
- [2] Baek, E., and Brock, W. 1992. A General Test for Non-linear Granger Causality: Bivariate Model. *Working Paper*, Iowa State University and University of Wisconsin, Madison.
- [3] Brzoska, M. 1983. The military related external debt of third world countries. *Journal of Peace Research*, 20:3, 271-277.
- [4] Caruso, R. and Di Domizio, M. 2017. Military spending and budget deficits: the impact of US military spending on public debt in Europe (1988-2013). *Defence and Peace Economics*, 28:5, 534-549.
- [5] Denker, M., & Keller, G. 1983. On U-statistics and von-Mises statistics for weakly dependent processes. *Zeitschrift für Wahrscheinlichkeitstheorie und Verwandte Gebiete*, 64, 505-522.
- [6] Dickey, A. and W.A. Fuller, 1979. Distribution of the estimators for autoregressive time series without unit root. *Journal of the American Statistical Association*, 74, 427-431.
- [7] Dimitraki, O. and Kartsaklas, A. 2017. Sovereign debt, deficits and defence spending: the case of Greece. *Defence and Peace Economics*, forthcoming
- [8] Francis, B., Mougoué, M. and Panchenko, V. 2010. Is there a symmetric nonlinear causal relationship between large and small firms? *Journal of Empirical Finance*, 17, 23-38.

- [9] Granger, C. W., 1969. Investigating causal relations by econometric models and cross-spectral methods. *Econometrica*, 37, 424–438.
- [10] Günlük-Senesen, G. 2004. The role of defence on external indebtedness, an assessment of Turkey. *Defence and Peace Economics*, 15:2, 145–156.
- [11] Hiemstra, C. and Jones, J. 1994. Testing for linear and nonlinear Granger causality in the stock price-volume relation. *Journal of Finance*, 49, 1639–1664.
- [12] IMF 2019. *Historical Public Debt Database* [<https://www.imf.org/external/datamapper/datasets>]
- [13] Karagol, E. 2005. Defence expenditures and external debt in Turkey. *Defence and Peace Economics*, 16:2, 117-125.
- [14] Karagol, E. 2006. The Relationship between External Debt, Defence Expenditures and GNP Revisited: the Case of Turkey'. *Defence and Peace Economics*, 17:1, 47-57.
- [15] Kollias, C., Manolas, G. & Paleologou, S.-M. 2004. Military expenditure and government debt in Greece: Some preliminary empirical findings. *Defence and Peace Economics*, 15:2, 189-197.
<http://www.tandfonline.com/doi/abs/10.1080/1024269032000110559>
- [16] Kyrtsov C. and W. Labys, 2006. Evidence for chaotic dependence between US inflation and commodity prices. *Journal of Macroeconomics*, 28:1, 256-266.
- [17] Looney, R. E. and Frederiksen, P. C. 1986. Defense expenditures, external public debt and growth in developing countries. *Journal of Peace Research*, 23:4, 329–337.
<http://journals.sagepub.com/doi/pdf/10.1177/002234338602300403>
- [18] Norrlof, C. and Wohlforth, W. 2016. Is US grand strategy self-defeating? Deep engagement, military spending and sovereign debt. *Conflict Management and Peace Science*, 1-21.
- [19] Paleologou, S.- M. 2013. A Dynamic Panel Data Model for Analyzing the Relationship between Military Expenditure and Government Debt in the EU. *Defence and Peace Economics*, 24:5, 419-428.
- [20] Shahbaz , M. Shabbir, M. S. & Butt, M. S. 2013. Does Military Spending Explode External Debt in Pakistan? *Defence and Peace Economics*, 27:5, 718-741.
- [21] Sezgin, S. 2004. An empirical note on external debt and defence expenditures in Turkey. *Defence and Peace Economics*, 15:2, 199-203.
- [22] SIPRI 2018. *SIPRI Military Expenditure Database*. [<https://www.sipri.org/databases/milex>]
- [23] Wolde-Rufael, Y. 2009. The Defence Spending – External Debt Nexus in Ethiopia. *Defence and Peace Economics*, 20:5, 423-436.
- [24] Zhang, X. Chang, T., Su, C.-W., Wolde-Rufael, Y. 2016. Revisit causal nexus between military spending and debt: A panel causality test. *Economic Modelling*, 52, 939-944.

From Railway to Cycling Routes. Opportunities for Developing Trails in Greece

Charalampos Kyriakidis

Abstract

Cycling and walking are among the most sustainable means of transportation and as a result, a lot of attention was drawn by potential European funding in order to get cities and rural areas to be converted into more sustainable ones. In that context, cycling mobility and cycle tourism tend to become established as a new department of scientific research able to act as a developmental mechanism in the midst of the recession. In Greece, the existent cycling infrastructure is restricted only in the cities, thus the need to examine the way through which a policy of cycling tourism arises in the future. If the existence of unused railways is taken into account, there are many questions raised regarding the means through which these surfaces could be put to good use in the framework of a cycling strategy. For this reason, case studies of such rail-trails are examined throughout Europe and good strategies are gathered so as to develop ideas according to which a uniform cycling infrastructure and cycling tourism strategy in Greece will be planned.

Keywords: abandoned railway, rail-trails, good practices, cycling.

Introduction

In recent decades, a new type of recreational area has come to the fore: the revitalized abandoned sections of railroad tracks that offer a range of activities such as leisure hiking and cycling (Siderelis and Moore, 1995). These routes are known as rail-trails and have contributed to the popularity of environmentally friendly routes (Betz, et al., 2003), which contributed to the revitalization of the areas crossed by the railway lines, found to be out of use due to a change in route planning or economic decline, depending on the case (Athanasopoulos and Vlastos, 2013), promoting the economy of leisure and tourism and maintaining open public spaces (Betz, et al., 2003).

The spread of rail-trails has resulted in the development of many of them in a short period of time (Siderelis and Moore, 1995; Betz, et al., 2003), with the result that cycling tourism is gaining ground as a popular alternative tourism model (Ritchie, 1998). Although the phenomenon appeared to be booming significantly in America, even in Europe, the positive effects in the tourism industry were evident, since according to a 2013 study by the European Cycling Federation (Kuster and Blondel, 2013), it was demonstrated that Europe's cycling industry employs more people than mining and quarrying and almost twice as many as the steel industry. Nearly 655,000 people work in the cycling economy – which includes bicycle production, tourism, retail, infrastructure and services. The same study suggests that the lion's share of jobs in the new free-wheeling economy are in bicycle tourism – including accommodation and restaurants – which employs 524,000 people, compared to 80,000 in retail, the second highest sub-sector. In addition to the benefits of accommodation and restaurants, benefits are also recorded for hiking and horse-riding businesses, which are mainly activities of agro-tourists (Lane, 1994), since the rural and extra-urban areas have been significantly associated with the development of rail-trails around cities and cycling.

The issue of the conversion of abandoned rail networks in the rural areas is also a common practice in Europe. Organizations such as Sustrans and the European Cyclists Federation (Ritchie, 1998) have pioneered the design and construction of such routes. A typical example is the Great Southern Trail (GST) in Ireland, which was created with robust support from the public, since the project was based on volunteering. The route managed to bring out the cultural and natural landscape of the region just as it happened in the case of the Valdresbanen route in Norway. The case of this particular route is different from others, as a different use of abandoned railways is applied. Instead of removing the rails and replacing them with asphalt or other materials, the line was maintained and railbikes were placed on it, preserving the identity of the place, which usually is not the case, as Athanasopoulos and Vlastos (2013) emphasize. Similar developments have taken place in Germany where the routes are fairly organized, as is also the case in Spain through the creation of

“Green Routes” (Via Verdes). A typical example of a green route that is part of the Spanish network is Via Verdes de la Sierra de la Demanda, which was combined with the promotion of cultural heritage in order to boost tourism.

These points raise questions about the usage of abandoned railways in Greece as well as the extent to which such projects will contribute to the increase of income from alternative tourism activities. In order to answer these questions, the examination of the aforementioned three rail track conversion studies was preferred. Through the above analysis, conclusions will be drawn regarding the regeneration process, the designs as well as the results expected from such interventions. Based on these findings, a guide of good practice is organized to transfer knowledge into Greek reality and implement interventions whose economic and social outcomes will be calculated. Based on these findings, a guide of good practice is organized to transfer knowledge into Greek reality and implement interventions whose economic and social outcomes will be calculated.

Method

This research paper is methodologically based on the consideration of case studies, which, according to Yin (1984), are empirical studies of a phenomenon or real life issue and are used for the understanding of plans and actions, calculation of results and acceptance from the public in order to anticipate, if necessary, the possible reactions in the event of their application. The case studies that have been selected are located in Europe. The main consideration was that the cultural characteristics of the reference areas should be closer to the Greek ones; thus, the transfer of knowledge in Greece would not be different from the expected results, which may be due to the examination of areas with significant differences (Kyriakidis, 2016; Bakogiannis, et al., 2018).

Case Studies

In this section, the information collected about the three case studies (Figure 1) is summarized. The first route to be studied is the Great Southern Trail (GST) in Ireland. It extends between West Limerick and North Kerry and has a total length of 96 km (60 miles) (GST (b), 2012). The route was developed on the basis of the Limerick-Tralee railroad that was abandoned in the 1970s (A silver voice from Ireland, 2014), motivated by the success of a similar route, the Great Western Greenway (The Journal, 2014). The route is open to the public in a 40 km section and guests can indulge in activities such as cycling and hiking, in areas of natural beauty that have not been influenced by human activity.

In recent years, the Great Southern Trail Action Group, the non-profit organization, has undertaken the extension of the route and has started additions of small departments (GST (a), 2012). There has been an increase in tourists from abroad who are interested in hiking by 40%, which results in a 35% increase in local income. The respective numbers are the same about cyclists and the cycling tourism sector (Limerick Post, 2013). Thus, the weight for the promotion of the route is placed on cycling and hiking, while the economic returns are expected to be similar to those of the Great Western Greenway (Limerick Post, 2012), i.e. approximately 7.2 million Euros, on an annual basis.

Another recreational route, designed in a section of the namesake railway line, is the 31 km long Valdresbanen trail in Norway and is suitable for hiking or cycling on a railbike, and a car rental option is provided as well (Geocaching, 2012). During the winter months, this route is also available for activities such as skiing. This issue is especially significant because the weather conditions are such that snow is a key component of the winter landscape. The route is maintained by the proceeds of its use. According to the figures displayed on the Official Website (Valdresbanen, n.r.), the annual revenue, on average, is 44,040 NOK¹. During the most recent 12 years of operation, the total amount amounted to 528,490 NOK, minus any income from other sources and revenues from the local community as a result of the increase in tourist activity. It is particularly noteworthy that even the above revenues are spent only on the purchase of necessary equipment and specialized work since volunteers have undertaken the cleaning of the route (Valdresbanen, n.r.) showcasing the degree of social acceptance of the project. The participation in the maintenance, management and the operation of the route makes the work a part of public life, which is considered to be a successful intervention.

¹ NOK: norsk krone.



Figure 1. The Great

Southern Trail in Ireland (a-e); The Valdresbanen Trail in Norway (f-h); The Via Verdes de la Sierra de la Demanda in Spain (j-k).

Lastly, a third route is the 54 km. Via Verdes de la Sierra de la Demanda in the province of Burgos in Spain, known for its unique natural cape (Manu and Bea, 2009), the archaeological site where there are significant fossils and its low industrialization (Flores, 2009). The conversion of the railway line into a green route cost 2.7 million euros. However, the number of tourists in the region has been raised, while a combined tourist model of natural and cultural tourism is being promoted. However, significant problems have been encountered in maintaining the route regarding matters such as the accessibility of the tunnels and the cleaning of the route. No operator has been established, local authorities refuse to handle management responsibilities (Diario de Burgos, 2009) and public participation is limited in comparison to the aforementioned case studies. Further awareness on the issue could have spectacular results in the coming years, given that there is already an extensive network of bicycle-green routes (2,100 km) and 6,000 km of unused rail lines at country level.

	Features	Great Southern Trail	Valdresbanen Trail	Via Verdes de la Sierra de la Demanda
Pre-Intervention Period	Main features of abandoned railways	Commercial-Passenger	Commercial	
	Local society reaction upon the cessation of railway operation	Public acceptance & support of the action	Delayed reaction	
Route Features	Elements showcased	Landscape	Landscape - Historical Features	Landscape-Archaeological Sights
	Route Length	40 km	31 km	54 km
	Route Type	Open routes – Tunnels - Bridges	Open routes -Tunnels	
	Aesthetic Design	Material lining after rail removal	Rail preservation	Material lining after rail removal
	Historical Memory	-	Reuse of public buildings	-
	Operator	Yes	-	
	Activities	Cycling-Hiking	Cycling-Hiking - Ride with railbikes - Skiing	Cycling-Hiking

Assessment	Financial Benefits	7.2 million/year – 40% of tourists are interested in hiking	44,000 NOK/year derived from the use of cycle trails	Significant increase in tourists' activity
	People Target Groups	Cyclists/Hikers/Horseback riders/Families		

Table 1. History, main characteristics and assessment of the three case studies examined.

The above are summed up in Table 1, which illustrates both the history of the routes and their characteristics and includes a brief assessment of the interventions in each case.

The situation and the potentials arising from the Greek railway system

The railways in Greece appeared at the end of the 19th century, with the first line being completed in Athens, with Thiseio station as the start (1869) (Pandis and Spanos, 1998). However, a comprehensive planning for the development of a railway line came to the forefront during Charilaos Trikoupis' term as Prime Minister (Mihala, 2012; Skayannis and Kaparos, 2013), which supported the construction of railway lines with technical characteristics adhering to international technical specifications, linking the Greek network to the Balkan and European ones (Mihala, 2012).. At the time, the political decision was to determine the development of the railways, since only a few modifications have been made since then. Most of these were related the abandonment of sections such as that of the metropolitan railway in Athens and the cessation of its further development (Skayannis and Kaparos, 2013).

The current railway network works in a linear fashion, observing, to a large extent, the development of the national highway with the logic of "S" (Skayannis, 2009) in its southern part. In the northern part of it, the route observes the course of the road to the Evros Regional Unit. According to Boulougaris (1986), the "grid" shape is only apparent in Thessaly and the Peloponnese. For most of the route, the line is single, with some sections being divided with a double line. The percentage of all lines that are crossed through electrical means of transport is small and there is considerable room for improvement of the existing infrastructure (Verani, 2007). In addition to the necessity of upgrading the network, it is noteworthy that 368.5 km of railway line is underused (Bakogiannis, et.al., 2014). In fact, 85 km are located in the metropolitan area of Athens (Bakogiannis, et.al., 2014), resulting in unnecessary occupation of space and the waste of income that could result from the utilization of the network in a manner analogous to the above, in case studies.

Such a proposal for the use of the network is a realistic one, as tourism plays a significant role in the Greek economy, being one of the leading sectors in the country, consisting 18-20% of the national GDP (World Travel and Tourism Council Data, 2016). Indeed, although financial crisis has affected the various economic sectors, the future of the Greek touristic sector has remained stable and it is even predicted that it will grow in the next few years. However, tourism development in Greece is mainly based on islands in which conventional tourism consists of the main touristic model (Spilanis and Vayanni, 2004). On the contrary, resources such as unused railways are not being used by the parallel emergence of a new alternative tourism model that will stimulate entrepreneurship and tourist traffic in areas that are not currently highly developed. In these cases, the abandoned lines in Thessaly are included, according to a proposal made in a recent survey by Athanasopoulos and Vlastos (2013).

In the same vein, a coherent initiative in northwest Greece involves the development of four cycling routes in the Preveza Prefecture (Figure 2), passing by landmarks of a great significance and attraction sites in urban, agricultural, mountainous and forest landscapes. In this context, an initial list of the nearby hotels, restaurants and health related facilities has been created (Bakogiannis, et.al., 2016). These interventions, though, are small scale ones, and their significance is local.

The most important initiative is the Attica Rail-Trail in the Athens metropolitan area (Figure 3), studied by the Sustainable Mobility Unit, NTUA. This area, which is one of the most important territories in Greece, provides a key prefecture for pilot railway transformation, aiming at reclaiming derelict open spaces such as the linear land of the rail line and the abandoned station buildings and facilities around it, like in the case-studies presented above. It is noteworthy that an intervention like this will affect even the cycling urban mobility as the proposed infrastructure is related to the complementary local bicycle networks of the neighboring urban areas. Thus, the Attica Rail-Trail will be the backbone of the whole cycling network of the Athens metropolitan area. Through this project, economic and social benefits could be detected, as cyclist tourists interact with the urban and rural environment and with the local stakeholders. This intervention is particularly significant

due to the fact that Athens is the start / end of the two EUROVELO routes that cross Greece: 8 and 1. Route 8 is called the Mediterranean Route running from Cádiz to Athens and Cyprus for a total of 5,888 km and Route 11 called the East Europe Route runs from the North Cape to Athens for a total of 5,984 km. Such an intervention in this particular unit could be a starting point for intensive work on the completion the aforementioned routes and the development of a large bicycle network in Greece. It is worth noting that while other small countries across Europe have a cycling network of more than 2.500 kms (Sverigeleden, 2014), in Greece, only a network of 150 kms is dedicated to cyclists (Bakogiannis, et.al., 2014).



Figure 2. The cycling route map in Preveza Prefecture.

Such implementations can contribute to the promotion of cycling tourism in Greece. Certainly, ten years after the first approach on a national cycle tourism strategy for Greece was formulated through the CYRONMED project, it is time to reap the benefits in terms of economic, environmental and transportation terms. It is quite important that in this day and age, Greek society feels readier than ever to accept cycling as a touristic product as well as a means of transport, as Sustainable Urban Mobility Plans (SUMP) are discussed and implemented in many urban areas across Greece. Moreover, modern bike sharing systems are integrated in several Greek cities enforcing the potential growth for cycling mobility and providing tourists with alternative transportation means. Furthermore, there are campaigns and private marketing strategies for cycle tourist destinations; cycle tourism packages and organized cycling tours that tend to attract the various individuals wanting to experience cycling holidays in a sustainable environment. Thus, cycle tourism tends to be integrated in other forms of tourism, conventional or alternative ones, transforming the existing touristic model.

The aforementioned points permit the characterization of such interventions as part of a new developmental policy that will contribute to the development of entrepreneurship. International experience showcases how unused infrastructure contributed to the revival of areas and the acquisition of a new identity, both of which Greek tourism really needs, today. In addition, through the examination of the case studies the methodological issues of development can be researched and any arising issues can be easily solved.

Figure 3. Attica Rail-Trail passing through urban and regional territories in the Athens Metropolitan Area.

Helpful Hints

Infrastructure abandonment is a crucial reason behind the loss of capital. Through this consideration, many countries throughout the world have started programs of building reuse in order to attract investments. In the same vein, there is the

railway reuse strategy with the aim of development of ecological routes for walking and cycling. Apart from the infrastructure used in a creative way, another motivation is the enhancement of the countryside.

This particular practice is a rather popular one throughout the globe. Especially in Europe, there are several rail-trails' case studies, particularly in countries with a longstanding railway tradition. Some important point that arose through the case study examinations can be summed up thus:



- The routes worked positively for the economic activity of the extra-urban areas in which they were implemented. In two of the three routes, the travel receipts are listed, while the revenues of the local businesses resulting from the tourist activity are included. Indeed, since these routes can also be used in the winter, as in the case of the Norwegian rail-trail, tourist revenue can be distributed during the year, increasing touristic traffic during the winter in areas that are not usually used for tourism.
- High construction costs are offset by the economic and financial benefits of the interventions. A typical example is the case of Ireland, where the construction of the route cost 7 million euros, an amount that was amortized in one year.
- Revitalization of the real estate market, as along the reusable lines, the demand for real estate and development activities contribute to this.
- Contribution to environmental protection. The case of Via Verdes de la Sierra de la Demanda in Spain, a route developed in an area of special natural beauty, has shown that human activity has little or no impact on the natural environment. On the contrary, such routes serve as a demonstrative policy of informing the public about the use of bicycles as a means of recreation and transportation, with the result of reducing pollution by reducing the use of motorized vehicles.
- Route management is important for their success. As it is apparent from the examination of Via Verdes de la Sierra de la Demanda, where its management was not satisfactory, problems arose, which limited its use and gave a negative picture to visitors regarding these activities.
- The participation in the design can act as a guarantor for the success of rail-trails. The public's contribution to the materialization of the studies and the maintenance of the route can help increase the number of visitors. The example

of Norway is a typical case where residents, as volunteers, preserve the route and the railbikes, resulting in savings for new investments. At the same time, through this process, a community spirit develops.

On the one hand, the aforementioned points showcase the existence of considerable benefits from the reuse of abandoned rail ways; on the other hand, they show the importance of the public's participation and the existence of an operator for the success of this undertaking. The case study examination contributed not only through the recording of the good practices but also through the reference to the problems that arose to the verbalization of predictions regarding the enactment of such an intervention program in Greece. Given the current existing potential in the tourism sector and the awareness for untapped possibilities, such interventions can only be regarded as developmental ones, as they widen the employment options through an era of economic recession, a change which is direly needed by the Greek market. In any case, the decision for the materialization of such an intervention should be taken in a cohesive manner and holistic planning, with the public's participation, so as to aid the project in not only becoming accepted, but also in making it perceived by the public consciousness as a familiar aspect of the social realm.

References

- [1] Athanasopoulos, K. and Vlastos, Th. (2013). A methodology on utilization of railway infrastructure for the development of a sustainable transportation system in rural land. *11th Tactical Scientific Conference ERSA-GR*, Patras, Greece, 14-15 June 2013.
- [2] A silver voice from Ireland. (2014). *A walk on the wild side: Ireland's Greenways*. Retrieved from: <http://thesilvervoice.wordpress.com/2014/05/25/a-walk-on-the-wild-side-irelands-greenways/>
- [3] Bakogiannis, E., Kyriakidis, C., Papagerasimou, E. and Kourmpa, E. (2018). Promoting low-cost sustainable urban mobility interventions. *16th Tactical Scientific Conference ERSA-GR*, Athens, Greece, 22-23 June 2018.
- [4] Bakogiannis, E., Siti, M. and Christodouloupoulou, G. (2014). *From railway to cycling: Lost chance or future expectation?* *Revista Turismo and Deservo – vimento*, 21/22, 409-419.
- [5] Bakogiannis, E., Siti, M., Kyriakidis, C. and Christodouloupoulou, G. (2016). Research review on cycle tourism and the potential promotion of sustainable mobility. Initial implemtations in Greece. *International Conference on Global Tourism and Sustainability*, Lagos, Portugal, 12-14 October 2016.
- [6] Betz, C., Bergstrom, J. and Bowker, J. (2003). A contingent trip model for estimating rail-trail demand. *Journal of Environmental Planning and Management*, 4691, 79-96.
- [7] Boulougaris, G. (1986). *Theoretical and practical investigation of the concept of sustainability, as well as the sustainability index, for the stations of the Greek Railway Network and the relation with the passangers' movement*. Ph.D. Thesis, Thessaloniki: AUTH.
- [8] Diario de Burgos. (2009). *Urgen 250.000 euros para evitar que la Vía Verde se cierre en 2 años*. Retrieved from: <http://www.diariodeburgos.es/noticia.cfm/Provincial/20090314/urgen/250000/euros/evitar/via/verde/cierre/2/a%F1os/021E3DEA-1A64-968D-59E6182460F3A56A>
- [9] Flores, J. (2009). *Vía Verde de la sierra de la Demanda*. Retrieved from: <http://www.mundo-geo.es/viajes-y-expediciones/viajes/via-verde-de-la-sierra-de-la-demanda>
- [10] Geocaching. (2012). *Valdresbanen Powertrail – Stratpunkt*. Retrieved from: http://www.geocaching.com/geocache/GC3YKZX_valdresbanen-powertrail1-startpunkt
- [11] GST (a) (2012). *Southern Trail: Walking, Cycling or Hiking*. Retrieved from: <http://www.southerntrail.net/>
- [12] GST (b). (2012). *Trail Information: Information for potential and current users of the trail*. Retrieved from: http://www.southerntrail.net/trail_information.html
- [13] Kuster, F. and Blondel, B. (2013). *Economic benefits of cycling in EU 27*. Retrieved from: https://ecf.com/sites/ecf.com/files/ECF_Economic-benefits-of-cycling-in-EU-27.pdf
- [14] Kyriakidis, C. (2016). The function of urban public space in relation to local parameters: Comparative study between Larisa and Nottingham. *Aeichoros*, 24, 67-85.
- [15] Lane, B. (1994). What is Rural Tourism? *Journal of Sustainable Tourism*, 2 (1-2), 7-21.
- [16] Limerick Post. (2012). *Plans to increase 'Cycling Tourism'*. Retrieved from: <http://www.limerickpost.ie/2012/10/03/plans-to-increase-cycling-tourism/>
- [17] Limerick Post. (2013). *Minister Varadkar officially opens Great Southern Trail*. Retrieved from: <http://www.limerick.ie/minister-varadkar-officially-opens-great-southern-trail/view>
- [18] Manu and Bea. (2009). *Via Verde de la Sierra de la Demanda en bicicleta*. Retrieved from: <http://www.enbici.eu/Viajes-y-rutas/Via-Verde-Sierra-de-la-Demanda.php>

- [19] Mihala, A. (2012). *Fixed-track public transport from the 19th century to 1974* - Ph.D. Thesis, Athens: Panteion University.
- [20] Newcastle Cycleways Movement Inc. (2011). *Fernleigh Track* Retrieved from: <http://newcastlecycleways.org.au/on-your-bike/fernleigh-track>
- [21] Pandis, N. and Spanos, D. (1998). *Greek rail stations of the previous century* – Dissertation, TEI of Peraeus.
- [22] Ritchie, B. (1998). Bicycle tourism in the South Island of New Zealand: Planning and management issues. *Tourism Management*, 19 (6), 567-582. [https://doi.org/10.1016/S0261-5177\(98\)00063-6](https://doi.org/10.1016/S0261-5177(98)00063-6)
- [23] Sidereilis, C. and Moore, R. (1995). Outdoor Recreation Net Benefits of Rail-Trails. *Journal of Leisure Research*. 27(4), 344-259. <https://doi.org/10.1080/00222216.1995.11949754>
- [24] Skayannis, P. (2009). From 'S' to 'Sigma': Towards a New Development of the Greek Space. In: Petrakos, G., Beriatos, H., Kokkosis, C. and Kotzamanis, V. (eds). *25 papers for Planning and Development*, Volos: University of Thessaly Publications, 69-118.
- [25] Skayanis, P. and Kaporos, G. (2013). The infrastructure projects in Greece and the presence of Mega Transport Infrastructure Projects (MTIPs): Changing paradigms and priorities. *Aeichoros*, 18, 12-65.
- [26] Spilanis, I. and Vayanni, H. (2004). Sustainable Tourism: Utopia or Necessity? The role of new forms of tourism in the Aegean Islands. In: Bramwell, B. (ed) *Coastal mass tourism: Diversification and sustainable development in Southern Europe*, Clevedon, UK: Channel View Publications, 269-291. ISBN: 1873150687.
- [27] Sverigeleden. (2014). Sverigeleden by bike: Svenska Cykelsällskapet – Discover Sweden along Sverigeleden. Retrieved from: <http://www.svenska-cykelsallskapet.se/images/sveledeng.pdf>
- [28] The Journal. (2014). *Great Southern Cycleway to open in Limerick*. Retrieved from: <http://www.thejournal.ie/great-southern-cycleway-805836-Feb2013/>
- [29] Valdresbanen. (n.r.). Bompengsaksjonen 2014: Kr 16.300 til Bompengsaksjonen 2014. Retrieved from: <http://valdresbanen.no/tremeny/dresinutleie/>
- [30] Verani, E. (2007). *Modern strategies for rail transportation in Greece and France. The case studies of the Regions of Centre (France) and Central Macedonia (Greece)* – Dissertation, University of Thessaly.
- [31] Yin, R.K. (1984). *Applications of case study research (Applied Social Research Methods)*. California: Sage Publications.
- [32] World Travel and Tourism Council Data. (2016). Greece-Travel and Tourism Total Contribution to GDP – Travel and Tourism Total Contribution to GDP. Retrieved from: <https://knoema.com/atlas/Greece/topics/Tourism/Travel-and-Tourism-Total-Contribution-to-GDP/Total-Contribution-to-GDP-percent-share>

Initial Teacher Education: Appropriate Models for a Knowledge Society?

Snježana Močinić

Juraj Dobrila University of Pula (Croatia)

Elvi Piršl

Faculty of Educational Sciences, Faculty of Interdisciplinary, Italian and Cultural Studies

Abstract:

Teacher education and professional development of teachers are a crucial issue for any country, since the quality of the teaching staff is one of the main factors influencing the level of students' academic achievements. The conditions in which teachers work today are drastically different from the ones of the early 20th century, whereas the structure and organization of initial teacher education has not changed significantly. Although the course content, the duration of study, and learning and teaching strategies have changed, the main teacher training models, regardless of the differences between them, still include course content related to individual professions, course content from pedagogy and psychology, didactic and methodology training, and in-service teacher training. This paper analyses initial teacher education models with regard to the presence of the said elements and the manner in which they are distributed in the structure and organization of the study programme. On the basis of a conducted analysis, the authors conclude that there is not a single initial teacher education model which proposes a paradigm shift that would yield more successful results in comparison with other models in the preparation of teachers for work in a postmodern era. To navigate the complex social requirements, the most suitable initial teacher education model is the one which integrates different types of knowledge and skills, and produces teachers who are capable of research and reflection – a model which would allow teachers to become critical intellectuals capable of acting autonomously and competently.

Keywords: teacher, teacher education models, initial teacher education, structure, organization ,study programmes

Introduction

Education and professional development of teachers¹, their initial education and training in particular, are a crucial issue for the education policy of any country which strives to raise the level of quality of its education system and make it more accessible and flexible. One of the main factors for the improvement of an education system is the quality of the teaching staff, which largely affects the level of students' academic achievements. Therefore, teachers' competences should be the main focus of education policies at all levels of formal and informal education, both in our country and globally (Diković, Piršl, 2014: 226).

It is a known fact that the efforts to identify structural and organizational requirements of a successful teacher education programme and to define the knowledge and skills which a teacher requires have been ongoing since the late 19th century, when the level, structure and duration of teacher education studies gradually started to change (Babić, Irović, Kuzma, 1999; Strugar, 1999; Vizek Vidović, 2005; Hrvatić, Piršl, 2007). However, in the past three decades, there have been very intense debates on the concept of teacher education throughout Europe (Domović, 2009: 12), which is indicative of a deeper understanding of the importance of a professional training for teachers in accordance with the challenges posed by the postmodern society. The era of intense and sudden changes created a need for more frequent revisions of curricula than was previously the case. However, such revisions are usually perceived as mere modifications of the programme structure, limited to course content and training objectives, dynamics of achieving the said objectives, and assessment of the achieved results, accompanied by innovations of teaching methods and didactic tools and the change of focus of the education process from teaching to learning, etc. All that, however, is not sufficient with regard to complex changes affecting the modern world, as well as Croatia. The complexity of the modern society forces all professions to face insecurity,

¹ In this paper, the plural form "teachers" is used instead of the singular, as it encompasses both male and female teachers.

unpredictability, risk and value conflict, which cannot be tackled by applying predefined behaviour patterns (Korthagen et al., 2001: 2-5; Schön, 1987, 2006: 31-32; Mortari, 2011: 25; Montalbetti, 2005: 50). Therefore, modern age requires not only a curricular change, but also a paradigm shift in initial teacher education (Morin, 2001: 41; Baldacci, 2009: 9-10), i.e. an overall revision of the structure and organization of teacher education studies. This implies building an extensive foundation of scientifically grounded insights on learning, teaching and research methodology, as well as empirically tested procedures which foster the learning process and high-quality use of teaching strategies, as well as the ability to reflect on personal experience and generalize and expand the acquired knowledge and insights.

One of the crucial issues of both Croatian and European education systems are the initial teacher competences. When we speak of teacher competences, it is important to define which are the key competences, since they can vary from rather broad, general competences to narrow, specific and professional ones. It is precisely because of this that the Council of Europe and the European Commission decided to define key competences as one of the most important priorities of the 21st century in which teachers will play (or already play) a crucial role in preparing students to become future European citizens and in training them for an active participation in the modern-day democratic and pluralistic society. Therefore, key competences in teacher education¹ are one of the crucial issues of the majority of European strategic documents and projects (Piršl, 2014).

The introduction of the Bologna process in both national and international education systems gave rise to certain issues, some of which are still being discussed. They are the following: Have the key competences of future teachers been redefined, and to which extent? To what extent are the key skills and knowledge from pedagogy-, psychology-, didactics- and methodology-related disciplines and professional practice present in the initial teacher education curriculum? Have theoretical and practical courses been successfully integrated and implemented in initial teacher education and training, with an appropriate balance between academic and pedagogical/psychological course content on the one side, and methodology practicum and in-service training on the other, which alternate cyclically? Which competences should be developed in future teachers? Does the initial teacher education also include the European dimension, which is reflected in teachers' readiness and competence to face new challenges?

This paper analyses initial teacher education models with regard to the presence of various elements: academic and pedagogical/psychological course content; methodology practicum and in-service training; and manners in which they are distributed in the structure and organisation of the study programme. On the basis of a conducted analysis, the authors conclude that not a single initial teacher training model proposes a paradigm shift which would yield more successful results in comparison with others in the preparation of teachers for work in the postmodern age.

Overview of the dominant initial teacher education models

From the first organised forms of teacher education until today, there has been an ongoing search for the ideal initial teacher education model which would be characterised by an optimal balance between theory and practice and their mutual dependence and connection. By observing various overviews of the dominant models of initial teacher education and training, one can often notice that certain authors have a decidedly one-sided perspective, emphasizing only theoretical or only practical aspects. Such an approach results in overemphasised dominance of either theory or practice in teacher education, which compromises their integration and balance. Namely, if teacher education is based on a single dimension, i.e. solely on the acquisition of scientific insights and theories, thereby neglecting the acquisition of pedagogical/psychological skills and vice versa, it will be insufficient for an effective and high-quality performance of teaching professionals and for a better understanding of students, their needs, learning abilities and motivation to study.

The following is an overview of some of the dominant models of initial teacher education by both foreign and local authors, which advocate either the theoretical or the practical aspect of teacher education and consequently emphasize not only the importance and presence of their constituent elements (profession-related course content, pedagogical/psychological

¹ Documents relating to European education policies with an emphasis on teachers' competences: Education and Training 2010 (2008) – key competences and qualifications for a successful performance of teaching professionals; Improving the Quality of Teacher Education (2007) – quality of teacher education as the crucial factor for the improvement of students' academic achievements; Tuning educational structures in Europe: Summary of Outcomes – Education (2005) – program for converging educational structures in Europe (especially competences and learning outcomes within various fields of education); Teacher Education in Europe: An ETUCE Policy Paper (2008) – competences which teacher education studies need to develop in future teaching professionals.

course content, didactic/methodology training, in-service training), but also the manner in which they are distributed within the structure and organization of teacher education studies.

Zeichner (1983) identifies four teacher education models. According to him, the first, behavioural model emphasizes the importance of developing specific methodical skills which are put in correlation with effective learning as the consequence of a high-quality teaching. The second model emphasizes the importance of teachers' personal development which is focused on developing stable characteristics of their identity in the course of academic training. Those are characteristics which allow everyone, regardless of their profession, to recognize their own uniqueness and continuity in all stages of life, regardless of age and experiences they lived. Although certain aspects of personality are inherent, each person changes in the course of their education and under the influence of their experience, as identity is not set in stone. In this regard, the purpose of education (*Bildung*) is to steer future teachers towards spiritual development in interaction with others, resulting in a transformation and achieving a new educational synthesis. The third model is labelled as traditional by the author, and it compares teacher education with the process of apprenticeship. According to Zeichner (1983), the fourth teacher education model is focused on research and the priority is given to research in the field of education and various other contexts in which education takes place.

According to Slovenian authors Valenčič-Zuljan and Vogrinc (2012: 113-115), teacher education can be studied from the viewpoint of the traditional or apprenticeship model, behavioural model, knowledge-based model with academic focus, and cognitive/constructivist model. The apprenticeship model focuses on the experienced teacher whom students observe and emulate during practical exercises. The emulation is largely non-critical, i.e. it is not based on an analysis of basic elements of teaching by means of the acquired pedagogical and didactic theories. The role of theory has been reduced to a minimum, while the priority is given to all practical forms of education. According to the said authors (Valenčič-Zuljan, Vogrinc, 2012), the behavioural model, which was dominant between 1965 and 1980, is characterized by a close connection between the teacher's performance and the students' achievements. Learning results were considered to depend on teaching characteristics, and research into this area has served as the basis for the development of the necessary competences for a successful teaching and training of students (future teachers), in specific methodology procedures and techniques. In the course of the methodology practicum and in-service training, students have the duty to apply theoretical knowledge so as to correlate as much as possible their practical exercises with the knowledge acquired at the faculty. The academic focus model is concerned with the education of teachers as rational and autonomous experts who primarily need to acquire sufficient theoretical knowledge of the profession they are going to teach, as well as pedagogical and psychological knowledge regarding students, planning and programming, teaching and learning methods, knowledge evaluation systems, etc. The teachers should apply the acquired knowledge in their teaching practice. The emphasis is placed on academic education, while practical forms of teaching are neglected and time-constrained. The cognitive-constructivist model is focused on teachers' and students' cognitive processes, which occur between the stimulus and the reaction and which are crucial for human behaviour. In this model, the authors give equal importance to a thorough academic and pedagogical knowledge and to the in-service teacher training which focuses on a critical observation and interpretation of pedagogical phenomena and students' active role in the interpretation and application of the observed skills of experienced teachers. The main purpose of this model is to train future teachers to reflect on their own and other people's personal experience, in order to better understand and improve their own teaching practice.

Vizek Vidović et al. (2011: 62), Striano (2001: 138), Korthagen et al. (2001: 1-5) distinguish between deductive or rationalist/technocratic models, inductive models, and integrated teacher education models.

The curriculum for the preparation and training of future teachers which is based on rationalist/technocratic model is characterized by an obvious gap between the acquisition of theoretical knowledge and development of practical skills. Students receive fragmented knowledge, partly because of numerous courses and because of the manner in which practical experience is organized, and the knowledge acquired at the university is factual and often non-critical. Furthermore, acquisition of knowledge from psychology, pedagogy, didactics, course methodologies and their corresponding underlying sciences is dominant both in terms of course content and time devoted to it, in comparison with the practical application of teaching skills which takes place during methodology practicum and in-service training. The rationalist/technocratic model (Hoyle, 1980, according to Korthagen et al., 2001: 3) is characterized by three main postulates:

theories help teachers perform more successfully;

theories need to be based on scientific research;

university professors are the ones who should select the theories to be included in the curricula for teachers.

Therefore, in-service teacher training is seen only as an opportunity to apply theoretical knowledge, without relying on the learning-from-experience principle (Carlson, 1999, Korthagen, Longhran, Russell, 2006 according to Grion, 2006). By separating theory and practice, a gap is created between knowledge provided in a higher education institution and the knowledge required in the classroom. A perpetual problem of the rationalist/technocratic approach to teacher education is the inability of beginners to apply theoretical knowledge acquired at the faculty in their teaching practice, i.e. in the classroom. According to Zeichner and Tabachnik (1981), the reasons for that should partially be sought in the fact that the concepts acquired during initial teacher education tend to be "washed out", i.e. in insufficient integration of theory and practice in the course of training of future teachers, because most students believe that pedagogical theories are not essential for the development of teaching competences (Laursen, 2007).

Zeichner and Gore (1990, according to Korthagen et al., 2001: 4) claim that the introduction of innovations in teaching remains, in most cases, the unattainable ideal of university teachers. The insufficient transfer of theory into practice is largely caused by the resistance among older teachers towards changing their teaching habits, but also by an inability to deal with individual cases by simply applying "ready-made solutions" from the pedagogical theory. Research conducted by the above-mentioned authors confirms that it is unreasonable to expect from students to be able to apply the acquired theoretical knowledge in their professional work, thus overcoming the gap between theory and practice, without a timely and effective intervention into the training of young generations of teachers which would allow the reflection on and theoretical analysis of their teaching experience.

Dissatisfaction with the amount of practical courses in initial teacher education has resulted in various measures to rectify the situation. Great Britain, England and Wales have introduced a teacher education model according to which schools themselves are largely responsible for training future teachers. It is an induction model in which a considerable portion of education takes place in schools, while only a smaller number of classes is dedicated to the acquisition of theoretical knowledge at the faculty (Korthagen et al., 2001: 11; Vizek Vidović et al., 2011: 62). In this British model, students spend two thirds of their courses in schools (Hargreaves, 2000, according to Buchberger, 2005: 203), which means that the education of future teachers is based on apprenticeship, i.e. on emulating an experienced teacher-mentor (Vizek Vidović et al., 2011: 62, Buchberger, 2005: 203). The apprenticeship model harbours a great risk: aversion towards theoretical thinking and abstraction due to an absolute reliance on practical experience. Evaluation of this model has shown that it, too, is not the right solution, because it can lead to a mechanical imitation of a more experienced teacher, which hinders the generalization of experience and application of the acquired knowledge onto new situations and educational problems, and reduces the willingness to introduce innovations (Tigchelaar, Korthagen, 2004: 666, Vizek Vidović et al., 2011: 62).

On the basis of a comprehensive research conducted in the Netherlands, Brouwer (1989, according to Korthagen et al., 2001: 4; Brouwer, Korthagen, 2005) concluded that the application of an integrated model in teacher education curriculum, in which theory and practice are alternated and integrated, is immensely important for the development of abilities to translate the acquired knowledge into practice. According to Vizek Vidović (2005: 293), the integrated model implies that the acquisition of academic knowledge should be fused with analysis from the viewpoint of the educational sciences on how curriculum should be taught in an appropriate manner to various age groups and to students with different abilities. Furthermore, this model entails training which will allow students to reflect on experience by means of theoretical insights, as well as to transfer general knowledge from the situations they experienced onto new circumstances.

On the basis of the analysis of exemplary teacher education programmes in the USA, Darling Hammond, Bransford et al. (2005: 392) claim that one of their most prominent characteristics is a good degree of integration and coherence, i.e. strong links between practical work and pedagogical theory. The fundamental ideas of such programmes are further strengthened by means of reflection in order to allow a better and deeper understanding of the learning and teaching process. The above-mentioned empirical studies have proved that a teacher education which is characterized by a coherent vision of learning and teaching and a good degree of integration of theoretical education and in-service training can exert a stronger influence on the introduction of innovations in the teaching practice of beginning teachers than one which is not.

In France, the introduction of mass education and the placement of the student at the centre of pedagogical processes has spurred research on the perception of the role of the teacher. Research has shown that teachers' professional identity has changed, and they are no longer seen only as the masters of their own specific profession, but also as experts in learning and teaching (Altet et al., 2006: 31). Numerous research studies have been developed within the Centre for Research in

Education of the University of Nantes, whose goal is to define various models for initial and lifelong teacher education. Basing their work on the said research, French scholars Paquay and Wagner, 2006 (in Altet et al. 2006: 150) identified six concepts of teaching, which correspond not only to specific "typology" of teachers, but to specific initial education models as well. They are the following:

1. The teacher as a knowledgeable expert – the one who has mastered academic knowledge and can apply didactic procedures and principles acquired in theoretical courses;
2. The teacher as a skillful expert – systematically develops practical competences and participates in numerous methodological exercises aimed at automating teaching skills and abilities;
3. The teacher as a classroom actor – adopts professional behaviour patterns in the course of the teaching practice by learning from an experienced teacher-mentor, with a rather brief theoretical training;
4. The teacher as a reflective agent – autonomously builds experiential knowledge which is systematically linked with theory, thus developing the ability to reflect, which is necessary for the analysis and evaluation of practical teaching procedures and implementation of research projects for the purpose of improving classroom teaching;
5. The teacher as a social agent – is involved in collective projects (often of innovative character) and aware of the importance of social links with a broader social community;
6. The teacher as a lifelong learner – an individual who is continuously working on his/her professional development, aware of his/her own professional style and open towards dynamic changes and continuous personal development.

Each concept of teaching entails different objectives and strategies in the course of initial education, as well as differences with regard to: a) importance and duration of in-service training, b) timing of in-service training during teacher education studies, c) privileged pedagogical objectives and learning outcomes, d) privileged teaching strategies and activities, e) manners of monitoring and supervising students' work, f) manners of integrating theory with practice (Altet et al. 2006: 160).

When studying the concept of teacher education, we should analyze not only the courses which are theoretical in nature and the organization of in-service training during studies, but also all specific forms of practical work (e.g. teaching methodology practicum, classroom simulations, extra-class activities, microteaching, autonomous classroom teaching over a longer period of time, etc.), students' ability to apply the regular patterns of preparation and implementation of classroom teaching, and especially the ability to reflect on and create innovative methodologies focused on research, with a high level of creativity. However, asking students to critically reflect on their own teaching experience can lead to the use of stereotypical algorithms without a more comprehensive analysis, which is why an essential aim of teacher education curricula is to gradually develop the ability to reflect and to integrate theoretical insights and practical experience. Namely, systematic reflection on the teaching practice has numerous advantages for the development of the professional identity of teachers: it helps teachers gain a better insight into their personality, it allows critical distance and strengthens the control over one's own educational procedures, it activates the experiential learning process, fosters a deeper understanding of scientific and technical basis of the teaching practice, increases the sense of pedagogical, ethical and political responsibility, helps raise awareness about the beliefs, needs, objectives, intentions and emotions which accompany and steer the teaching practice, and encourages openness, flexibility and readiness to change.

Initial teacher education in Croatia is still dominated by the technical rational model, although numerous studies have proved its poor influence on beginners' practical performance (Laneve, 2009: 23; Schön, 2006: 18; Damiano, 2007: 38-39; Palekčić, 1998: 406). This is a model which assumes that the most economical path towards acquiring professional competence is the one in which the acquisition of theoretical knowledge about learning and teaching occurs at university, whereas the teaching skills are practiced and the acquired knowledge is applied in schools (Darling-Hammond, Bransford, 2005: 391-392; Laneve, 2009: 23; Korthagen et al., 2001: 3; Vizek Vidović et al., 2011: 62). Within this model, the curriculum for future teachers encompasses academic education, pedagogical/psychological and didactic/methodical training, and in-service teacher training. Basic or general education of teachers of lower grades of primary school encompasses the acquisition of academic knowledge of natural and social sciences, arts, technical sciences, philosophy, communication, IT, etc. Pedagogical/psychological and didactic/methodical training implies acquisition of knowledge and development of skills from pedagogy, developmental and educational psychology, didactics and methodology of individual subjects. In-service teacher training takes place in schools-training centres for the purpose of acquiring practical teaching skills and abilities.

Within the technical rational model, and with regard to the time schedule for the acquisition of academic knowledge, knowledge of educational sciences, methodological skills and classroom practice, we can distinguish between simultaneous, successive and integrated approach. The simultaneous approach implies acquisition of academic knowledge and educational sciences from the first year of studies, but as two relatively autonomous course contents (Vizek Vidović, 2005: 293). The successive approach refers to a training in specific subjects which is followed by pedagogical/psychological and methodology training (Strugar, 1999), while the integrated approach refers to the acquisition of academic knowledge which occurs simultaneously with methodical analysis of the manners of teaching the specific course content to different age groups. However, although the integrated approach combines various didactic models and theories, stimulates the development of pedagogical competences, introduces paradigm shift and a new learning culture focused on practical performance, we should not neglect the fact that although "integrative didactics, often referred to by different names, has its place in the development of curricula and pedagogical competences, ...[integrated] approaches are not sufficiently explored, evaluated and documented" (Buljubašić-Kuzmanović, 2014: 96), and are therefore also not applied in teachers' university education.

Critical considerations on the dominant teacher education models

On the basis of the analysis of the dominant models of initial teacher education, it can be concluded that an excessively theoretical focus of rational technical teacher education programmes, their insufficient integration with practice, fragmented and incoherent courses, and a lack of a clear common concept of teaching, were the topic of numerous teacher education research studies conducted in 1980's. (Darling Hammond, Bransford et al., 2005: 391; Vizek Vidović, 2011: 67; Brouwer, Korthagen, 2005; Striano, 2001). This is further supported by numerous surveys and assessments of students and teachers. Thus, Schaefers, 2002 (according to Palekčić, 2008: 404) identifies the following disadvantages of initial teacher education:

- insufficient links with practice;
- insufficient integration of different parts of the course content;
- insufficient focus on the development of social competences;
- inadequate balance between various subject-related sciences and professional competences;
- insufficient training in course methodology and insufficient inclusion of methodologies in research;
- insufficient transparency of requirements;
- large number of individual disciplines included in the system;
- lack of actual practical work in schools.

Other authors as well have identified numerous disadvantages of the traditional initial teacher education curriculum: isolated course content from numerous scientific disciplines; memorizing and reproducing abstract academic knowledge with insufficient links with reality and professional training (Darling-Hammond, Bransford, 2005; Brouwer, Korthagen, 2005; Korthagen, Loughran, Russell, 2006, Matijević, 2009). Teacher education is also criticized for being excessively structured, normative and focused on teaching, mostly in the cognitive area, which produces passive and receptive students/future teachers. Technical training and scientific education may have been acceptable during the modern era, but it cannot serve as the basis for the work of teachers in the postmodern age. It was only in the 1990's, after the publication of Schön's (1983) book on the reflective practitioner, that it became increasingly obvious that technical and scientific competence are not sufficient to manage the complexity of a profession, which in turn lead to a crisis of professions and traditional profession-related education. Therefore, an issue which can be encountered in all debates, reports and research studies on initial teacher education is the need to establish a balance between theoretical knowledge in academic disciplines and education sciences themselves, and to develop practical professional skills (Pastuović, 1999: 493; Vizek Vidović, 2005: 193; Domović, 2009: 12; Darling-Hammond, Bransford, 2005). In other words, there can be no improvement of the formal teacher education without integration of theoretical knowledge derived from research on educational sciences with the results of analysing the teaching practice by training teachers to reflect and integrate experience and theoretical knowledge (Calvani, 2009; Korthagen et al., 2001; Mortari, 2003; Montalbetti, 2005; Striano, 2001; Brouwer, Korthagen, 2005). There

have been attempts to bridge the gap between the acquisition of theoretical knowledge and the development of practical skills by introducing a competence-based curriculum. The concept of competence indirectly solves the problem of integration of practical and theoretical aspects of education because professional competence is developed by means of reflection on the experience acquired through interaction with others and it fuses knowledge and skills for the purpose of solving problems in the learning and teaching process. However, there is no generally accepted theoretical framework for the selection of methodology and use of competences in planning and implementation of curricula for the development of professional competences, which hinders progress in professional training at the university. Namely, while some authors (Korthagen et al., 2001: 2; Striano, 2001: 79) believe that Competency Based Teacher Education (CBTE) should also be grouped under rationalist/technocratic models, other authors believe that the pedagogical approach which advocates the introduction of competence-based curricula is not behaviourism, but social constructivism. In this case, competence-based curricula represent the biggest ever challenge that university teachers and teachers in general have to face, as it makes their task extremely complex: to manage educational situations so as to allow students to autonomously build knowledge and develop professional skills. Therefore, the most appropriate initial teacher education model is the one which trains teachers to reflect and do research. The teacher-researcher and reflective practitioner models recognize the importance of a continuous learning process in which reflection and research skills are of utmost importance, as they strengthen autonomous and responsible professional performance. Such professional performance is reflected in the ability to integrate different types of knowledge and skills when facing difficulties and unpredictable situations in a specific educational context. In the complex working conditions of the modern-day society, teachers are required to do more than simply implement the existing teaching techniques, methods or procedures; they need to be able to think pedagogically, reflect on problems and research them, analyse students' behaviour and learning results, prepare syllabi for students with different abilities, and perform other unpredictable tasks.

However, in reality, the ideal and the realistic university education often diverge. The need to produce an emancipated and creative teacher who is capable of doing research and introducing innovations in the school system clashes with the still dominant traditional and conservative forms of higher education teaching and the current education system, which is often anchored in outdated thought and behaviour patterns (Bognar, B., Bognar, L., 2007; Vrcelj, Mušanović, 2003, Matijević, 2011). Most teacher education study programmes are still more focused on transferring and replicating knowledge than on providing learning opportunities in real-life contexts, evaluating achievements through concrete activities, and reflection and research aimed at improving the teaching process.

Despite their proclaimed autonomy, teacher education institutions have to adhere to various national standards and international recommendations and guidelines in order to ensure the acquisition of comparable competences which are required for employment (Domović, 2009: 28). In Croatia, there have been efforts to define professional standards for the teaching profession based on the European Qualifications Framework. Convergence of education systems within the European Union is a tendency towards standardization of competences, which can compromise flexibility of initial teacher education and hinder the development of the teaching profession. In other words, there is a risk of neo-bureaucratization of professional training of teachers in the context of new trends which require a strong focus on the student and give priority to the development of realistic personal competences instead of paying attention to formal qualifications. In accordance with several education policy documents on the level of the European Union¹, teacher education has to be provided on a higher academic level and needs to allow teachers to become critical intellectuals who are capable of acting autonomously and competently in the interest of their students, in adherence to the ethical standards of their profession and specific professional standards (Green paper on teacher education in Europe, 2000: 18).

For the reality of university education to correspond as much as possible to the aforementioned ideal and for it to foster scientific research and high-quality performance of higher education teachers, as well as to allow scientific insights and critical reflection of students and train them to cope with the contemporary working conditions, it is necessary to modernize the concept of teacher education. This implies the need to modify the teacher education curriculum by introducing radical changes in the organization of the study programme, as well as by introducing various methodological strategies which will

¹ The following are some of the contributions to the improvement of teacher education on the European Union level: Green paper on teacher education in Europe; Common European Principles for Teacher Competences and Qualifications (2005); EC Communication - Improving the Quality of Teacher Education (2007); TUNING Educational structures in Europe

train future teachers to integrate theory and practice and to exercise professional reflection before, during and after an educational activity, as well as to develop the ability to generalize and implement the acquired knowledge.

The following should serve as the basic guidelines for the development of curricula for the preparation of teachers as crucial agents of positive changes in the education for the future:

systematic integration of theoretical and practical class teaching by means of organized alternation between theoretical education at faculties and in-service teaching practice in schools;

gradual autonomisation of future teachers in planning, organization and implementation of teaching activities, as well as in the process of generalization and dissemination of the acquired theoretical knowledge;

continuous practicing of organized reflection on the practical experiences and research on the possibilities of improving the teaching process;

development of abilities to autonomously introduce innovations into teaching.

Instead of a conclusion

On the basis of the conducted analysis, it can be concluded that not a single initial teacher education model proposes a paradigm shift which would yield more successful results in comparison with other models in the preparation of teachers for work in the post-modern era. To navigate the complex demands of the modern society, the most appropriate is the initial teacher education model which integrates different types of knowledge and skills, and produces teachers who are capable of research and reflection – a model which will allow teachers to become critical intellectuals capable of acting autonomously and competently. It is questionable whether the introduction of curricular reform in primary and secondary education will bring about a radical change of the theoretical model of initial teacher education in Croatia, seen that the upcoming reform requires competent, creative and professionally autonomous teachers. Namely, if we base our considerations on the definition of teacher competences according to the Tuning Project (2006) in which competence refers to a dynamic combination of cognitive and metacognitive skills, knowledge and understanding, interpersonal and practical skills, and ethic values, then initial teacher education should primarily focus on producing cognizant, active, critical and socially responsible teachers who will be prepared to affect complex changes and challenges in their own community and in broader society by means of appropriate and efficient methods and actions (Diković, Piršl, Antunović 2016). To what extent are we ready to modify our initial teacher training model in Croatia in the context of implementing the curricular reform by introducing and actively promoting “...(European) values: interculturalism, multiculturalism, democracy, human rights, tolerance, social justice, respect for differences, pacifism, prevention of wars and fight against crime...” (Ledić, Miočić, Turk, 2016: 28) as one of the guidelines of the European dimension in education, so that it does not remain mere ink on paper, but actually becomes a characteristic of future teachers as well as (European, global) citizens who will be capable of transferring, promoting and developing those competences in their students?

Bibliography

- [1] Altet, M.; Charlier, E.; Paquay, L.; Perrenoud, Ph. (2006). *Formare gli insegnanti professionisti. Quali strategie? Quali competenze?* Roma: Armando editore.
- [2] Babić, N.; Irović, S.; Kuzma, Z. (1999). Put do praktične kompetencije odgojitelja, učitelja. U: *Nastavnik, čimbenik kvalitete u odgoju i obrazovanju. Zbornik radova Međunarodnog znanstvenog kolokvija*. Rijeka: Sveučilište u Rijeci, str. 208-218.
- [3] Baldacci, M. (2009). *Ripensare il curricolo. Principi educativi e strategie didattiche*. Roma: Carocci editore.
- [4] Bogнар, L.; Bogнар, B. (2007). Kreativnost učitelja kao značajna kompetencija nastavničke profesije. U: *Kompetencije i kompetentnost učitelja: zbornik radova*. Osijek, 18. i 19. travnja 2007. *Competences and teacher competence: proceedings*. Nada Babić (ur.). Osijek : Učiteljski fakultet u Osijeku, 2007. str. 421-428.
- [5] Brouwer, C. N. (1989). *Integrative teacher education, principles and effects*. Amsterdam: Brouwer [Geïntegreerde lerarenopleiding, principes en effecten].
- [6] Buchberger, F. (2005). The Teaching Practice Component of Initial Teacher Education as a Powerful Learning Environment. U: *Vizek Vidović, V. (ur.). (2005). Cjeloživotno obrazovanje učitelja i nastavnika: višestruke perspektive*. Zagreb: Institut za društvena istraživanja.

- [7] Brouwer, N.; Korthagen, F. (2005). Can teacher education make a difference? *American Educational Research Journal*, 42(1), 153–224.
- [8] Buljubašić-Kuzmanović, V. (2014). Integrirani kurikulum u funkciji razvoja pedagoških kompetencija. *Pedagogijska istraživanja*, 11 (1), 95 – 109.
- [9] Calvani, A. (2009). *Teorie dell'istruzione e carico cognitivo. Modelli per una scuola efficace*. Trento: Erickson.
- [10] Carlson, H. L. (1999). From practice to theory: A social constructivist approach to teacher education. *Teacher and Teaching: Theory and Practice*, 5(2), 203-218.
- [11] Damiano, E. (2007). *Il sapere dell'insegnare*. Milano: Franco Angeli.
- [12] Darling Hammond, L.; Bransford, J. (2005). *Preparing teachers for a changing the world*. San Francisco: Jossey Bass.
- [13] Diković, M., Piršl, E. (2014). Interkulturalizam, ljudska prava i građanstvo u inicijalnom obrazovanju nastavnika. U: N. Hrvatić, A. Lukenda, S. Pavlović, V. Spajić-Vrkaš, M. Vasilj. (ur.) *Pedagogija, obrazovanje i nastava, 2. međunarodna znanstvena konferencija*. Mostar: Fakultet prirodoslovno-matematičkih i odgojnih znanosti Sveučilišta u Mostaru, 226-235.
- [14] Diković, M., Piršl, E., Antunović, J. (2016). How competent are we to teach citizenship education? In: M. Radetić-Paić, I. Blažević, Đ. Zuliani (eds.). *Competences of participants in citizenship education*. Pula: Juraj Dobrića University of Pula, Faculty of Educational Science, 5-28.
- [15] Domović, V. (2009). Kurikulum – osnovni pojmovi. U: V. Vizek Vidović, (ur.) *Planiranje kurikuluma usmjerenoga na kompetencije u obrazovanju učitelja i nastavnika*, Zagreb: Filozofski fakultet Sveučilišta u Zagrebu i Učiteljski fakultet Sveučilišta u Zagrebu. Dostupno na: <http://infed.org/mobi/david-a-kolb-on-experiential-learning/> 28.10.2011.
- [16] Green paper on teacher education in Europe. (2000). Dostupno na: <http://ntee.umu.se/publications/greenpaper/greenpaper.pdf> 30.07.2011.
- [17] Grion, V. (2006). *Qualità della didattica universitaria e formazione iniziale degli insegnanti*. U: Biasin, C. (a cura di) *La responsabilità dell'Università per le Professioni*. Lecce: Pensa Multimedia.
- [18] Hoyle, E. (1980). Professionalization and deprofessionalization in education. U: Korthagen et al., (2001). *Linking Practice and Theory. The Pedagogy of Realistic Teacher Education*. New York, London: Routledge.
- [19] Hrvatić, N., Piršl, E. (2007). Kurikulum pedagoške izobrazbe učitelja. U Previšić, V. *Kurikulum*. Zagreb: Školska knjiga, str. 333-356.
- [20] Korthagen, F. A. J.; Kessels, J.; Koster, B.; Lagerwerf, B.; Wubbels, T. (2001). *Linking Practice and Theory. The Pedagogy of Realistic Teacher Education*. New York, London: Routledge
- [21] Korthagen, F. A. J.; Loughran, J.; Russell, T. (2006). Developing fundamental principles for teacher education programs and practices, *Teaching and Teacher Education*, 22, 1020-1041.
- [22] Laneve, C. (2009). *Scrittura e pratica educativa*. Trento: Erickson.
- [23] Laursen, F. (2007). Student Teachers' Conceptions of Theory and Practice in Teacher Education. In International Study Association on Teachers and Teaching. ISATT conference, Saint Catherines, Canada, 5-7 juillet 2007. Reading: ISATT, str. 1–11.
- [24] Ledić, J.; Miočić, I.; Turk, M. (2016). *Europska dimenzija u obrazovanju: pristupi i izazovi*. Rijeka: Filozofski fakultet u Rijeci.
- [25] Matijević, M. (2009). Od reproduktivnog prema kreativnom učitelju. U: Bognar, L.; Whitehead, J. (ur.). *Poticanje stvaralaštva u odgoju i obrazovanju: zbornik radova; Encouraging creativity in education: proceedings*, Zagreb: Profil International, str. 17-23.
- [26] Matijević, M. (2011). Škola i učenje za budućnost. U: Jurčević Lozančić A., Opić S. (ur.) *School, education and learning for the future. Škola, odgoj i učenje za budućnost. Collected Papers of Special Focus Symposium. ENCI-2011. 5. International Conference on Advanced and Systematic Research. 10th-12th November in Zagreb (Croatia)*. Zagreb: Učiteljski fakultet u Zagrebu, 9-21.
- [27] Montalbetti, K. (2005). *La pratica riflessiva come ricerca educativa dell'insegnante*. Milano: Vita e Pensiero.
- [28] Morin, E. (2001). *Odgoj za budućnost. Sedam temeljnih spoznaja u odgoju za budućnost*. Educa: Zagreb.
- [29] Mortari, L. (2003). *Apprendere dall'esperienza. Il pensare riflessivo nella formazione*. Roma: Carocci editore.
- [30] Palekčić, M. (1998). *Psihologijska istraživanja, nastavna praksa, obrazovanje nastavnika*. Napredak, 139(4), 401-411.
- [31] Palekčić, M. (2008). Uspješnost i/ili učinkovitost obrazovanja nastavnika. *Odgodne znanosti*, 10(2), 403-423.

- [32] Paquay, L.; Wagner, M. C. (2006). *Competenze professionali privilegiate negli stage e in video-formazione*. U: Altet, M.; Charlier, E.; Paquay, L.; Perrenoud, Ph. *Formare gli insegnanti professionisti. Quali strategie? Quali competenze?* Roma: Armando editore.
- [33] Pastuović, N. (1999). *Edukologija. Integrativna znanost o sustavu cjeloživotnog obrazovanja i odgoja*. Zagreb: Znamen.
- [34] Piršl, E. (2014). (Re)definicija pojma kompetencije i interkulturalne kompetencije. U: N. Hrvatić (ur.). *Interkulturalno obrazovanje i europske vrijednosti*. Znanstvena monografija. Zagreb-Virovitica: Odsjek za pedagogiju - Filozofski fakultet u Zagrebu, Visoka škola za menadžment u turizmu i informatici u Virovitici, 47-68.
- [35] Schaefer, Ch. (2002). *Forschung zur Lehrerbildung in Deutschland – eine bilanzierende Übersicht der neueren empirischen Studien*. Schweizerische zeitschrift für Bildungswissenschaften. 24(1), 65-88.
- [36] Schön, D. (1983). *The Reflective Practitioner*, New York: Basic Books.
- [37] Schön, D. A. (1987, 2006). *Formare il professionista riflessivo*, ed. ital. a cura di Striano, M., trad. Capperucci, D., Milano: Franco Angeli.
- [38] Striano, M. (2001). *La „razionalità riflessiva“ nell'agire educativo*. Napoli: Liguori Editore.
- [39] Strugar, V. (1999). *Učitelj – temeljni nositelj sustava obrazovanja*. U Mijatović, A. *Osnove suvremene pedagogije*. Zagreb: HPKZ.
- [40] Tighelaar, A.; Korthagen, F. (2004). *Deepening the exchange of student teaching experiences: implications for the pedagogy of teacher education of recent insights into teacher behaviour*. *Teaching and Teacher Education*, 20 (2004), 665-679
- [41] Tuning Project (2006). *Tuning Educational Structures in Europe*. Tuning general brochure. Pribavljeno 15.10. 2013. sa: <http://www.ohe.state.mn.us/pdf/TuningGeneralBrochure.pdf>
- [42] Valenčić-Zuljan, M.; Vogrinc, J. (2012). U: Valenčić Zuljan, M.; Gojkov, G.; Rončević, A.; Vogrinc, J. (ur.). *Pedagoška praksa i proces razvijanja kompetencija studenata budućih učitelja u Hrvatskoj, Srbiji i Sloveniji*. Vršac: Vaspitačka škola "M. Palov" – Vršac.
- [43] Vizek Vidović, V. (ur.). (2005). *Cjeloživotno obrazovanje učitelja i nastavnika: višestruke perspektive*. Zagreb: Institut za društvena istraživanja
- [44] Vizek Vidović, V. et al. (ur.). (2011). *Učitelji i njihovi mentori. Uloga mentora u profesionalnom razvoju učitelja*. Zagreb: Institut za društvena istraživanja.
- [45] Vrce, S.; Mušanović, M. (2003). *Reforma školstva – Jesu li moguće promjene škole?* U: H. Vrgoč (ur.) *Zbornik radova Sabora pedagoga Hrvatske „Odgoj, obrazovanje i pedagogija u razvitku hrvatskog društva“*. Zagreb: Hrvatski pedagoško-književni zbor: str. 342-348.
- [46] Zeichner, K. M. (1983). *Alternative paradigms of teacher education*. *Journal of teacher education*, 34(3), 3-9.
- [47] Zeichner, K.; Gore, J. M. (1990). *Teacher socialization*. U: Korthagen et al., (2001). *Linking Practice and Theory. The Pedagogy of Realistic Teacher Education*. New York, London: Routledge.
- [48] Zeichner, K.; Tabachnik, B. R. (1981). *Are the effects of university teacher education „washed out“ by school experiences?* *Journal of Teacher Education*, 32(3), 7-11.

From the Soviet Union to Russia, the Fall and the Rise of an Empire

Vjollca Mucaj

Pranvera Dibra

Prof .Asoc. Dr Doctoral Program in Social Sciences

Abstract

The fall of the Soviet Union and the end of the Cold War incited the beginning of a new World order of international relations and the creation of new actor roles in this new stage. In the last 25 years Russia's role as a great power had a different context, from an empire in free fall to the revitalization of its international role. The main question this work asks is: Which is Russia's position in the international arena after the disintegration of the Soviet Union? The answer to this question is given by researching under the prism of the creation of a new vision, around what Russia represents in two and a half decades and how its role is represented in a different context of international relations. It will be also researched on the perspective of Europe as an instrument to balance and obstruct the Russian expansion. The work will be based on the analysis of the archival information of the period of time. The methods of historical, logical and comparative analysis have been used, together with various literatures from different researchers and politician. This study aims to explain the forms and weaknesses of the regime and the causes which brought to the disintegration of the Soviet Union, in other words the causes of the fall of the communist bloc: Yeltsin's presidency (1991-1999); Russia's new context in the international arena and the role of the new actors will be explained: Putin's presidency (1999-2008); and the explanation of the revival of Russia's international role as a great power (2009-2014). This work also highlights the foreign policy, the alterations and the contradictory character of the leadership, the change of presidency between Putin and Medvedev and the problems with Ukraine and Crimea. With the fall of the communism, which incited the divide of the balances from the bipolarity of the Cold War, the changing economic world, in the midst of other alterations, presented a new equilibrium of power. As a descendent of the communist empire, Russia is fully convinced that it has the right of rebuilding of the empire through expansion. It also knows that the main part is not the will, but the ability. If it can, Russia will rebuild the destroyed empire through a constant expansionist policy. And if they can, the USA and the west will hinder the building of this empire.

Keywords: geopolitics, international relations, Soviet Union (USSR), contemporary history, European Economic Community (EEC).

Introduction

The fall of the Soviet Union and the end of the Cold War made the entry into the new world order of international relations as well as new roles of actors in this new scene.

In the last two decades, Russia's role as a great power gained another meaning from a falling empire to the resurgence of its international role.

And this should be done by focusing on "Russia" as a rational state of nuclear power, and not on Vladimir Putin as an irrational and aggressive person.

It is Russia that dictates Putin's actions and not vice versa. It was the military power of the Soviet empire that dictated the aggressive policies of its leadership during the Cold War, was the Russian inability that dictated Yeltsin's humiliating policies against the West, and it is the economic and military power that dictates the policies of the new Russian leadership.

As a successor to the communist empire, Russia is convinced that it "owns" the right to rebuild the empire through expansion. It also knows that the most important thing is not "if it wants" but "if it can."

If it can, Russia will rebuild the destroyed empire through a constant expansionist policy. And if they can, the US and the West will restrain the building of this empire.

For the US it is very important to stop the rise of Russia, and any other state, as a world power. In this context, the US can use two strategies;

The first strategy is to use neighbor countries and Europe as instruments to balance and stop Russian expansion. After all, Russia should be the first Europe's concern, then the concern of the United States. The US has many regions around the world to control, and it should be very cautious in using its economical as well as military resources and potentials.

The second alternative strategy to stop global Russian expansion would be the use of American power and tactics pursued during the Cold War. This strategy would be much more expensive than the first, but anyhow necessary. Given that Russia is a nuclear power, the only option is the destruction of the Russian economy. The Soviet empire is economically unstable not due to weak military power, but because of the economic powerlessness to keep itself and the army operational. It should be understood that Russia is willing to suffer economically for some strategic gains. The West must do the same and temporarily disconnect from neoliberalism. But the US must make Russia's suffering as big as possible, to the extent that Russia's strategic benefits become its disaster, as in the late 1980s. And that will only happen when the US, as in 1947, have understood, and there is no doubt about the sources of Russian conduct (The Sources of Russian Conduct).

Former United States ambassador to Russia, Thomas Pickering says that after 1991, the world developed in some ways in line with Russia's expectations and dislikes of the United States. He says:

"The Russians at first spoke of multiple polarities, a term disliked in the United States. But in the end, Russia, China and India, and to a certain extent both Europe and Japan, are all players on the world stage, maybe here can be included also Brazil. We will have to work with them and find new ways of cooperation."

Geopolitics of Russian return – Undoubtedly Russia's geopolitical power is rooted in its inherent geographical weaknesses. There are some natural barriers that protect the heart of Russia and this requires Russia to expand and consolidate in the territories around its center to provide a cover zone as protection from outside powers. When Russia devoured people and resources, it grew from a small Eastern European principality in the 13th century to the Great Duchy of Moscow, which became the Russian Empire and then grew to become the Soviet Union, one from the largest states in the world's recent history.

However, this enlargement has accompanied every Russian state with two fundamental problems: it has led Moscow to conflict with a number of foreign powers and has given the difficult task of ruling the occupied people (who were not necessarily happy for being ruled by Russia). Russia's geography asks her to expand to stay strong, but paradoxically, the more it expands, the more difficult and costly becomes the governance of its great territory. Meanwhile, Russia's lack of access to the oceans has cemented its position as a land force, but it has condemned it economically and has weakened its position compared to other powers that have direct access to the oceans of the world. These factors have created a cycle in which Russia's power grows and falls. When Russia is growing, it becomes a major regional power if not a global player, and when it falls, it's just a matter of time before it gets up again. So, when the Soviet Union collapsed in 1991 at the end of the Cold War and Moscow lost control over its constituent republics and fell into internal chaos, these circumstances did not guarantee that Russia was forever removed from the international scene and that a one-polar world dominated by the United States would last forever. Certainly by the end of 1990, Russia was severely weakened as a geopolitical power; her economy was in chaos and it faced a military defeat in Chechnya, which gained de facto independence and was threatened with similar moves within Russia.

But things began to change with the beginning of the new millennium. Starting with Vladimir Putin's presidency in 2000, Russia was able to turn its losses into another more successful war in Chechnya and Russia's position on the suburbs of the former Soviet Union began to grow steadily. A number of factors influenced this, including Putin's internal consolidation to overcome the chaos of the 1990s, high global energy prices, and American involvement in the Islamic world.

Overview about Russia's return – In the context of the factor's return, Russia's imperative has been to prevent external influence and reconstruct it. Of course, Russia's plans for realizing this imperative differ from one region to another in the former Soviet Union countries, in every state in Eastern Europe, the Baltic, the Caucasus, and Central Asia. Russia's revival

was not without problems. Since independence, every former Soviet state has developed its imperatives: Consolidating power within the country and maintaining a kind of sovereignty. Also, various foreign powers are competing with Russia for influence in any former Soviet country. Therefore, the imperative of Russia and other former Soviet states often clashes and sometimes leads to ever-volatile relations, even with some of Moscow's most loyal allies. But power is a relative concept, and now most states in the former Soviet Union are too weak to remain independent of Russia and the outside powers in the suburbs can not reach Russia's power. With Putin's arrival in the presidency begins a new chapter for the Russian state and it is important to appreciate the progress that Moscow has made in its reestablishment in the former Soviet Union countries, and what does the projection of power mean in its future.

Russia's foreign relations.

Here is an overview of the economic crisis in Russia and possible political and diplomatic implications. "Russia will never be as strong as it will be, but will never be as low as it would to others." Baron Otto Eduard Leopold von Bismarck (1815-1898). [1] During the first years of the twenty-first century, Russia had a longer and more prominent expansion cycle since the end of the Soviet Union in 1991.

According to the Lord of Kremlin, "Russia has a history of over a thousand years, and it has almost always used the privilege of conducting an independent foreign policy. We still do not know yet, if it now intends to change this tradition.

Russian foreign policy in today's world order

The collapse of communism as a political, economic and social system and the breakthrough almost the close of the eyes of the Soviet Union marked the beginning of a broad political and academic debate on the country and the role of post-Soviet Russia in the world and on the consequences it would produce great transformation in the domestic and foreign politics of this country. Many of the pessimistic predictions made two decades ago remain so pessimistic today, if not to say more. Russia continues to remain outside the main institutions that manage today's Europe. However, it is vigorously engaged in issues of regional and global security, mostly through a diplomatic and political dimension with a significant normative dimension that clearly fit the national interests of Russia in the international arena: preservation of its status as a great power and as a "sovereign democracy" in an "international pluralistic system of political regimes".

Since the disintegration of the Soviet Union, Moscow's foreign policy has followed a trajectory in which two major periods are distinguished: the period when the Kremlin Head was Boris Yeltsin (1991-1999) and that when, after Yeltsin, Vladimir Putin came to power (from 2000 to today). However, anyone who followed the developments in post-Soviet Russia after 1991 must have noticed that each of these two periods has had two phases, each of which has its own characteristics and features of a political philosophy, where Moscow was led for its strategy and foreign policy. These stages are analyzed below more or less in details.

Russia's Foreign Policy Under President Boris Yeltsin Russia's first post-Soviet foreign policy began with the fall of the Soviet Union in 1992 and with the introduction of Russia as an independent entity in the international arena.

Liberal internationalism

Russia's foreign policy at this **first stage** could be termed a "liberal internationalism" policy. It was largely managed by *Andrei Kozirev*, Russia's first post-Soviet foreign minister (October 1991-January 1996), under President Boris Yeltsin. This policy was mainly characterized by aspirations *for Russia's integration into the international community, but continuing to maintain the status of a great power*. Kozirev tried to combine two seemingly contradictory principles: on the one hand, "guaranteeing the rights of Russian citizens and the socio-economic development of Russian society" and, on the other hand, Russia's behavior as "a great normal power in its relations with other countries, realizing its interests not through confrontation, but through co-operation. "Efforts to turn Russia into a democratic country, remaining a great force, characterized the Kremlin's foreign policy essence since the beginning of 1993, although these two objectives were not in harmony with each other. However, the main tendency of this policy was to favor rapprochement with the West and could be regarded as a continuation of the efforts of the late Soviet leader, Mikhail Gorbachev. The stated ambition of Russia at that time to join the "civilized" world was, in fact, evidence that for Moscow it was already clear that the Soviet experiment had disconnected Russia from the "standards of civilization" and from that part of international society that apply these standards.

Competitive Pragmatism

The **second phase** of the first period can be said to have started in January 1996 when Yevgeni Primakov, a renowned international relations expert, was appointed as Foreign Minister and (in 1998-1999) became Prime Minister of Russia. Primakov's arrival at these posts was conditioned - and provoked - by two important factors: the success of communists and populist parties in the 1995 parliamentary elections and the Kremlin's concern that Russia was losing its role and influence on the international arena, which was evident, particularly, with President Bill Clinton's policy of NATO expansion with Central and Eastern European countries. In such circumstances, Russia's foreign policy became more pragmatic, focusing more on "competition" with other major powers than co-operation with them. Such a "competitive pragmatism" can be said to resemble the Khrushchevian politics of "peaceful coexistence", which meant a continual struggle with the West, but that, in the nuclear weapons era, would not necessarily go to a military clash. Such a policy Primakov added a series of post-communist and "Eurasian" ideas, which had to do with the power of continental blocs. The basic principle of his foreign policy was therefore the idea of a continuous competitive dynamic in Russia's relations with the West in the framework of promoting a *multipolar global system*. This was, in fact, a reductionist vision of international society, limited to realistic notions regarding status and power. Although this vision did not exclude co-operation with other major powers, he took into consideration, first and foremost, Russian interests.

In short, Primakov's foreign policy, on the one hand, looked back in the Soviet period and, on the other hand, aimed to make Russia a place in the competition between the great powers in the new world order created after the end of the Cold War. What Primakov will be remembered mainly in the records of relations between Russia and the West was his return to Moscow in mid-flight as he was going to visit Washington on March 24, 1999, the day NATO began bombing Serbia, and only 12 days after Poland, Hungary and the Czech Republic had been admitted as NATO members. These two events witnessed not only the endemic crisis in relations between the Kremlin on the one hand, and Washington of the North Atlantic Alliance on the other, but also the limitations of Primakov's approach to the conditions where Russia's role and influence on the global scale had fallen.

Russia's foreign policy under President (and Prime Minister) Vladimir Putin

These were the circumstances in which Russia was found by Vladimir Putin in May 2000, where he was elected president of the country. His arrival at the head of the Kremlin marked a new era in Russia's foreign policy, especially in its relations with the West. This policy aimed - and managed - to overcome the contradictions in Moscow's foreign policy management, inherited from the time of Kozirev, as well as the competitive logic of Primakov's pragmatic approach. Considering the collapse of the Soviet Union as the "greatest geopolitical catastrophe of the 20th century," Putin has tried -not without success- to accommodate Russia in the new global order created after the Cold War.

By his relatively young age (48) when he became president of Russia, the great popularity, especially among young people, nationalistic rhetoric (based on the idea of Russian national identity and national dignity) and his authoritarian methods, should be added another important circumstance that could help explain the success of Putin's longevity at the head of the Kremlin. Historically, all Kremlin leaders have taken the reins of power without the consent of their predecessors. Lenin did not want his ruling successor to become Stalin; Stalin would never have chosen to be replaced by Khrushchev; the latter, downed by coup, would not have chosen Brezhnev as his successor; Brezhnev would hardly have chosen to be replaced by Andropov; Andropov would not have chosen Chernenko, neither Chernenko Gorbachev nor the latter Jeltsin. Only Vladimir Putin was the choice of his predecessor, Boris Yeltsin, and only Putin, after two mandates as president, put in Kremlin with his own hands for four years (2008-2012), Medvedev, to later remove him again from the post of president and to become the president of Russia himself again. With the extension of the president's mandate from 4 to 6 years (in 2008), if Putin is re-elected president even after his current mandate, in 2018, he will be in charge of Kremlin until 2024 (at that time just 72 years old), so a quarter of a century-longer than any Soviet leader, except Stalin. Putin's longevity and relative stability in Russian politics have had their influence on domestic politics and, especially, in Russia's foreign policy.

Putin's arrival at the head of the Kremlin, ten years after the end of the Cold War, can be said to mark the beginning of a period of "hot peace", which continues to characterize it even today, even more than a decade ago, Moscow's relations with both Washington and Brussels.

But in its foreign policy, Moscow follows two standards. In its relations with the former Soviet republics, namely those countries that are Russia's immediate neighbors, or its "outer closer world" (*blizhnoe zarubezhe'e*), Russia pursues other

principles than those that seek to regulate relations with the United States and with the European Union. It seems to be following a new version of the Brezhnev Doctrine on the "limited sovereignty" of the former Soviet republics in Central Asia, considering them as it's natural sphere of influence, or as the "area of Russia's interests". The war in Georgia, military intervention and the annexation of Crimea, and Russian engagement in violent developments in eastern and southern Ukraine are vivid evidence of this policy. On the other hand, in its relations with the West, Russia maintains a formally normative attitude, seeking respect of international norms.

Conclusion

It can not be denied that after Putin's arrival as head of Kremlin, Russia's foreign policy has taken on a truly global dimension. During this period, Moscow has become again interested and economically engaged in Latin America and Africa, while hydrocarbon prices in global markets have revitalized its traditional interests in the Middle East. However, once a great empire and, as part of the Soviet Union, one of the two superpowers of the world for nearly half a century, Russia can not be - today and in the future - more than a *proxy* empire, hence a power, the influence of which can only extend to those regions and in those countries, mainly of Central Asia, where it has "vital interests". In a world like this one today, there is no place for other neo-imperial ambitions by Russia, a country whose economy produces only 2 percent of the world's GDP.

Putin returns Russia

It was logical that a man like Vladimir Putin would emerge from the 1990s chaos. Putin was deeply embedded in the KGB and the old security mechanism. During his time in St. Petersburg, he was integrated with the oligarchs, as well as with the new generation of economic reformers. Putin realized that in order to revive Russia, two things had to happen. First, the oligarchs had to be afraid of listing their activities with the Russian government. He owed much to those who he was trying to defeat - in fact he did an example or two - but he did not owe them so much as to allow them to continue to rob Russia until the end.

He also realized that he had to bring some sort of order into the economy for reasons of domestic and foreign politics. Russia had huge energy reserves, but it was incapable of competing in world markets in industry and services. Putin focused on the only advantages Russia had: energy and other primary goods. To do this he had to take a degree of control of the economy - not enough to turn Russia into a Soviet model, but enough to leave behind the liberal model that Russia thought it had. Or else, to leave behind the chaos. His instrument was Gazprom, a dominant government company whose mission was to use Russian energy in order to stabilize the country and create a framework for development. At the same time, overthrowing economic liberalism, Putin imposed controls on political liberalism, limiting political rights. This process did not happen overnight. This was something that has evolved over more than a decade, but its end result was a Russia that not only was economically stabilized, but also had an impact on the world. For Putin, the consequences of political and personal freedom were not a high price to pay. From his point of view, 1990's freedoms had greatly damaged Russia. Putin sought to create a viable platform for Russia to defend itself in the World. The dismemberment consternation, supported by Western powers in his mind, had to be overthrown. And Russia simply could not be ignored in the international system if Russia was prepared to continue its position as a victim.

Intercultural Sensitivity and Communication Competence of Healthcare Professionals in Oral and Dental Health Center: a Case Study in Turkey

Perihan Şenel Tekin

PhD, Asst. Prof., Ankara University, Vocational School of Health

Abstract

Oral and dental health services in Turkey is open to international competition and a rapidly growing sector within the scope of health tourism. It is very important to maintain patient satisfaction and patient loyalty in service delivery. It is known that patient and patient relatives care about attitudes and behaviors of health workers and this experience is effective in the choose of physicians or health institutions. The aim of this study is to determine the intercultural sensitivity and communication competencies of employees in a private oral and dental health clinic in Denizli which is one of the most important tourism centers of Turkey. In this study, the Intercultural Sensitivity Scale, in which individuals evaluated themselves, was used to measure intercultural sensitivity. This scale, which was developed by Chen and Starosta (2000) and included five emotional dimensions required to be sensitive to interculturalism, was translated into Turkish by Kurban et al. (2011) and evaluated the psychometric suitability. Communication Competence Scale, which was developed by Wiemann (1977) and translated into Turkish, validity and reliability of the communication competence by Koca and Erigüç (2017) was used. Data were collected online via Google docs during January and February 2019. According to the findings of the study, it was observed that the intercultural sensitivity and communication competencies of the health workers were high and the highest score was the enjoyment of communication dimation (4.10 ± 0.74) in the scale of intercultural sensitivity and the compliance adequacy dimation (4.13 ± 0.97) in the communication competence scale.

Keywords: Intercultural sensitivity, communication competence, oral and dental health services, healthcare professional, Turkey

Introduction

Oral and dental health centres (ODHC) are a specialized health service delivery to patients from different cultures at the national or international level. It is very important to maintain patient satisfaction and patient loyalty for the oral dental health services sector, which is growing rapidly in our country and also opened to international competition within the scope of health tourism. In the context of healthcare, patient satisfaction assessment is highly important to reflect quality care (Levin, 2004). Patient satisfaction with dental care has been widely studied (Armfield, Enkling, Wolf, & Ramseier, 2014; Hashim, 2005; Luo, Liu, & Wong, 2018; Murray, Densie, & Morgan, 2015; Stewart & Spencer, 2005; Thanveer, Krishnan, & Hongal, 2010).

The main issues affecting patient satisfaction in this area is the quality of the health service received by the patient. Quality is measured by expertise, the material used, price advantage and value obtained (Jaapar, Musa, Moghavvemi, & Saub, 2017). Although medical providers may have technical skills to successfully treat patients, intercultural skills are also important in increasing the likelihood of patient satisfaction and compliance (Abbey, 2006; Gibson & Zhong, 2005; Huckabee & Matkin, 2012). While the effect of quality on service satisfaction is realized over time, the communication experienced (patient-physician communication) by the patient while receiving health care affects patient satisfaction in a shorter time (Al Balushi, Mei, & Farella, 2017; Campbell, Roland, & Buetow, 2000).

Patient and patient relatives care about attitudes and behaviours of physicians and other employees within the scope of patient satisfaction and it is known that these experiences are effective in the selection of physician/health institutions (Campbell & Tickle, 2013; Campbell et al., 2000; de Bondt & Zentner, 2007). Therefore, it can be said that the attitudes and communication competencies of the health care workers against the patients and their relatives are effective on the

patient satisfaction, and the patient satisfaction is effective in the re-preference of the institution/doctor (de Bondt & Zentner, 2007). In summary, obtaining the desired patient care results in the health service process is related to the behaviours of the physician, nurse and managers during the communication process.

At this point, we encounter two important concepts in the form of intercultural sensitivity and communication adequacy. Intercultural sensitivity (ICS) is accepting cultural difference as they are (without prejudice and ethnocentrism) and evaluating without judgement as well as approaching with positive attitudes (Bulduk ve ark., 2011; Chen ve Starosta, 2000). ICS is a complex with four main dimensions of knowledge, skills, attitudes and awareness (Byram, 1997; Deardorff, 2006; Fantini, 2009; Wiseman & Koester, 1993). It allows an individual to communicate and interact with people from different languages and cultures through the use of internal features in different intercultural settings (Byram, 1997; Fantini, 2009). These features are generally the knowledge of himself, knowledge about others, attitude, intercultural communication, cognitive skills, and awareness. ICS relates to the cognitive, emotional, and behavioural aspects of the interaction situation, but mainly in the emotional field. In addition, intercultural awareness, which corresponds to the cognitive level, leads to intercultural competence, which in turn points to the behavioural dimensions. As a result, these concepts are closely related, but they are seen as separate concepts (Chen & Starosta, 1998). Individuals with ICS have a motivating desire and tendency to understand, acknowledge and accept differences. This desire and tendency also bring about positive results from intercultural interactions (Chen, 1997; Chen & Starosta, 1998).

Cultural competence is seen as a critical factor and a key component in providing effective and culturally sensitive health services to an increasing population, reducing racial and ethnic differences in health care, and improving health service quality, patient satisfaction and health outcomes (Campinha-Bacote, 2002; Campinha-Bacote, 2003; Leininger, 2002; Shen, 2015). Intercultural communication is bound between culture and communication, as culture builds the framework in which communication and behaviour are interpreted (Koester & Lustig, 2012).

Intercultural sensitivity and communication competence is important not only for the effective interaction of health care providers with patients and their relatives but also for ensuring coordination among employees from different cultures. In addition to being competent in intercultural sensitivity and communication competence in contemporary workplaces, awareness of how important these matters are an important issue. Nowadays, cultural differences are seen as a reserve/resource if they are managed well. Therefore, it can be interpreted as a critical objective for the development of human relations (Hajek & Giles, 2003; Wiewiora, Trigunarsyah, Murphy, & Coffey, 2013). Indeed, looking at a holistic view of health care will bring the desired quality of service. For this reason, both the cultural and communication competence of the other employees will have an impact on service quality.

In both respects, cultural sensitivity and communication competence, which should be emphasized in the management of health institutions, are worthy of research and development. Analyzing these two issues and transferring the results to management practices will contribute to the development of the sector.

Ultimately, the integration of intercultural sensitivity and communication competence as a fundamental value in health care sectors will not only prepare staff to interact with international patients competently but will also send a strong message about the commitment of organizations to ensure equal access to all patients.

Especially in terms of quality, equal and acceptable service production, cultural differences need to be closely addressed by managers of health institutions in terms of human resources management (Lawler, Walumbwa, & Bai, 2008) and patient satisfaction.

In the literature, the studies investigating the intercultural sensitivity of health professionals are mostly concentrated in the field of nursing (Chae & Park, 2019; Cruz, Contreras, Lopez, Aqueveque, & Vitorino, 2018; Flood & Commendador, 2016; Kozub, 2013; Mesler, 2014; Peek & Park, 2013; Power et al., 2018; Rew, 2014; Roscigno, 2013; Wang, Xiao, Yan, Wang, & Yasheng, 2018). The communication competence and intercultural sensitivities of caregivers, a requirement of the patient-centred oral health care approach, have not been extensively studied in this area (de Bondt & Zentner, 2007). To fill this gap, this research aims to determine the level of intercultural sensitivity and communication competence in the scale of the dentists and other employees as a member of the team producing oral and dental health services according to their own perceptions. It was also aimed to reveal the relationship between these two variables with each other. Consequently, the findings may provide guidance on what communication skills and cultural sensitivity dimension of health care workers are, in particular, in the in-service training planning.

Methods

This study was designed as cross-sectional and descriptive research. This design was chosen since we aimed to determine the relationship between the intercultural sensitivity and communication competence of employee in the private ODHC in Denizli, Turkey. Denizli, the twenty-first most populous city of Turkey. It is famous for its textile products and the local Denizli cock. Denizli is one of the most important tourism centres of Turkey. Pamukkale is the locomotive engine of Denizli's tourism with about 1.5 million tourists per year. Therefore, from different countries, tourism, education, healthcare and commercial purposes many visitors come to Denizli.

The oral and dental health centre was established in 2005 in this study. The centre does not only serve the people of Denizli, at the same time, but it is also a health facility that serves both domestic and foreign tourists. For this reason, this centre, which serves domestic and foreign patients from different cultures, was chosen as the research universe.

Participants

This study included the employees (dental, assistant, nurse etc) in the private oral and dental health centre in Denizli, Turkey. The population of the study is 64 people working in this centre. Within the scope of the research, it wasn't chosen a sample and it was desired to reach the whole population but because the questionnaires were filled volunteering, the data could be collected from 34 people. This number constitutes 53.13% of the universe.

Instrument

In this study, the Intercultural Sensitivity Scale (ISS), in which individuals evaluated themselves, was used to measure intercultural sensitivity for employees in the ODHC. This scale, which was developed by Chen and Starosta (2000) and included five emotional dimensions (interaction engagement-7 items, respect of cultural differences-6 items, interaction confidence-5 items, interaction enjoyment-3 items, interaction attentiveness-3 items) required to be sensitive to interculturalism, was translated into Turkish by Kurban et al. (2011) and evaluated the psychometric suitability. The ISS contains 24 statements on a 5-point scale (1=completely disagree, 2=disagree, 3=neutral, 4=agree, 5=completely agree). In the scale, items 2,4,7,9,12,15,18,20 and 22 are coded in reverse. Cronbach's alpha for the ISS Total was 0.877, with subscale scores ranging from 0.556 to 0.747.

Communication Competence Scale (CCS), which was developed by Wiemann (1977) and translated into Turkish, validity and reliability of the communication competence by Koca and Erigüç (2017) was used. The CCS is a self-evaluating scale, the original of which consists of 36 items and 5 dimensions, and the Turkish version consists of 30 items and 8 dimensions. These are social behaviour competence, individual aspects of communication, empathy competence, compliance adequacy, sensitivity adequacy, communication-promoting competence, human relations and listening adequacy. The CCS contains 30 statements on a 5-point scale (1=completely disagree, 2=disagree, 3=neutral, 4=agree, 5=completely agree). In the scale, items 4, 8, 11 and 28 are coded in reverse. Cronbach's alpha for the CCS Total was 0.959, with subscale scores ranging from 0.502 to 0.928.

Data Collection

Data were collected online via google docs during January and February 2019. The researcher introduced the study and sent an email with a link of a questionnaire form to volunteer participants. Participants completed the questionnaires, which took about 15 minutes.

Data Analysis

The data were statistically analyzed using SPSS version 25.0. Data are described using mean and standard deviation or frequency and percentages. The relationship between intercultural sensitivity and communication competencies were investigated by Pearson correlation analysis. P values were significant at a level of 0.05 in this study.

Ethical Considerations

The participants' rights were the first priority. Therefore, the participants were given written information about research and their right to refuse to participate or withdraw at any point. Completing the questionnaires voluntary was considered as informed consent. The anonymity of the participants was ensured by not collecting any personal identifiers.

Findings

The mean age of the participants was 29.21 ± 7.60 and the mean of work time was 4.82 ± 4.29 years. According to the descriptive findings of the participants, 79.4% were female; 64.7% were single; 32.4% were associate graduated, 26.5% were dentist and 44.1% were medical assistant; 61.8% of the participants do not speak and understand any foreign language; 75.3% lived in a metropolitan and 88.2% worked with people from different cultures; 94.1% did not travel to another country (Table 1).

Table1. Descriptive statistics of the participants

Characteristics	$\chi \pm SD$	
Age	29.21 ± 7.60	
How long have you been worked in this hospital?	4.82 ± 4.29	
	N	%
Gender		
Male	7	20.6
Female	27	79.4
Marital Status		
Married	12	35.3
Single	22	64.7
Graduate		
High school	7	20.6
Associate Degree	11	32.4
Bachelor	8	23.5
Postgraduate	8	23.5
Occupation/profession		
Dentist	9	26.5
Nurse	3	8.8
Medical assistant	15	44.1
Manager	1	2.9
Others	5	14.7
The place where you've been living the longest.		
Metropolitan	25	73.5
Rural	8	23.5
Foreign country	1	2.9
Being together with individuals from different cultures.		
Yes	30	88.2
No	4	11.8
Foreign language		
Yes	13	38.2
No	21	61.8
Have you ever been abroad before for tourism, education or working?		
Yes	2	5.9
No	32	94.1
Total	34	100

According to the responses of the participants to the scale of intercultural sensitivity, the mean of the total for the scale was 3.89 ± 0.52 . When examined in terms of sub-dimensions, it was seen that the highest average was "enjoyment of communication" with 4.10 ± 0.74 . The lowest average was observed as "self-confidence in communication" with 3.68 ± 0.71 (Table 2).

Table 2. Mean scores on each dimension of ISS

Dimensions	χ	SD	Min	Max
Communication responsibility	3.84	0.58	1.71	5.00
Respect for cultural differences	4.06	0.63	2.50	5.00
Self-confidence in communication	3.68	0.71	1.40	4.80
Enjoyment of communication	4.10	0.74	2.67	5.00
To be careful in communication	3.83	0.73	2.00	5.00
Total	3.89	0.52	2.21	4.67

The values of total and sub-dimensions obtained from the responses of the participants to the communication adequacy scale are given in Table 3. Accordingly, the total communication adequacy score of the participants was $3,82 \pm 0,58$ and it was high. When it is examined in terms of subscales, it was seen that the lowest average is the dimension which in "human relations dimension" with $3,37 \pm 0,89$. The highest mean was "the compliance adequacy dimension" with $4,13 \pm 0,97$.

Table 3. Mean scores on each dimension of CCS

Dimensions	χ	SD	Min	Max
Social behaviour competence	3.85	0.65	1.50	5.00
Individual aspects of communication	3.99	0.64	1.33	5.00
Empathy competence	3.87	0.72	1.00	5.00
Compliance adequacy	4.13	0.97	1.00	5.00
Sensitivity adequacy	3.85	0.73	1.00	5.00
Communication-promoting competence	3.65	0.82	2.00	5.00
Human relations	3.37	0.89	2.00	5.00
Listening adequacy	3.71	0.80	2.33	5.00
Total	3.82	0.58	1.63	4.87

The relationship between intercultural sensitivity and communication competence were examined by correlation analysis. As a result of these analyses, a statistically significant and positive relationship was found between communication competence and intercultural sensitivity ($r=0.647$; $p \leq 0.05$).

Table 4. Correlation between communication competence and intercultural sensitivity

Variables	Correlations		
		Communication Competence	Intercultural Sensitivity
Communication Competence	Pearson Correlation	1	.647**
	Sig. (2-tailed)		.000
	N	34	34
Intercultural Sensitivity	Pearson Correlation	.647**	1
	Sig. (2-tailed)	.000	
	N	34	34

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

Discussion and Conclusion

In this research, intercultural sensitivity and communication competencies of a private oral health centre staff serving in Denizli, Turkey were examined. According to the results of this study, intercultural sensitivity and communication competencies of the employees are above average. Compared with a similar study conducted with students of communication faculties in Turkey (Bekiroglu & Balci, 2014) our findings have similarities with these results. Our intercultural sensitivity findings show that when compared with another study in Turkey, while the employees' cultural sensitivity is similar with nursing and medical students (Bulduk, Usta, & Yeliz, 2017; Meydanlioglu, Arikan, & Gozum, 2015).

In this study, which we conducted in a small group and only a single health facility, we could not investigate the factors affecting intercultural sensitivity and communication adequacy. In this study, age, gender, marital status, foreign language knowledge, place of residence and interaction with different cultures are presented as descriptive findings. However, there are studies investigating the relationship between intercultural sensitivity and communication adequacy with these variables.

Many researchers have identified bilingualism or second language skills as an important aspect of intercultural communication competence (Gibson & Zhong, 2005; Repo et al., 2017). Studies show that knowledge of a foreign language increases intercultural experience and intercultural experience has also shown that it leads to an increase in the knowledge of other cultures that cause individuals to communicate more effectively among cultures (Repo et al., 2017). According to Gibson and Zhong (2005), multicultural and multilingual staff can be more effective in terms of intercultural communication. In this study, only 38.2 % of participants know a foreign language and 88,2% of the population has been together with individuals from different cultures.

In our study, a statistically significant relationship was found between communication competence and intercultural sensitivity. In a similar study, Ulrey and Amason (2001) found a significant relationship between effective intercultural communication and cultural sensitivity (Ulrey & Amason, 2001). The dissemination of communication competence research into the health service environment is of great importance. Health care is a field of communication research where ineffective communication can have tragic consequences for all participants (Gibson & Zhong, 2005). In a study conducted on 1191 patients in the United States, it was concluded that there was a positive relationship between the cultural sensitivity of the front office staff and the patient's compliance with the treatment, and increased the patient's health satisfaction level (Wall et al., 2013).

As a result, it is important to understand and improve the communication competence and intercultural sensitivity levels of health workers in the dental care sector. Considering the effect of employees on improving the quality of oral and dental health services, it is important to have an adequate level of intercultural sensitivity and communication adequacy. The training of health professionals can play an important role in increasing this competence.

Limitations

Data obtained from this study are based on self-report of participants from a small group and only one institution in the study sample and the obtained results cannot be generalized outside of the sample. Given the limitations of this study, results must be viewed with a degree of caution.

References

- [1] Abbey, J. H. (2006). The impact of education and experience on physician assistant students' perception of cultural awareness, knowledge and skills. *Journal of allied health*, 35(1), 24E-36E.
- [2] Al Balushi, S., Mei, L., & Farella, M. (2017). Patient's satisfaction with orthodontic care from an academic clinical service. *New Zealand Dental Journal*, 113(4).
- [3] Armfield, J. M., Enkling, N., Wolf, C. A., & Ramseier, C. A. (2014). Dental fear and satisfaction with dental services in Switzerland. *Journal of public health dentistry*, 74(1), 57-63.
- [4] Bekiroğlu, O., & Balci, Ş. (2014). Kültürlerarası iletişim duyarlılığının izlerini aramak: "iletişim fakültesi öğrencileri örneğinde bir araştırma", *Selçuk Üniversitesi Türkiyat Araştırmaları Dergisi*, 35.
- [5] Bulduk, S., Tosun, A., Ardiç, E. (2011). Türkçe kültürlerarası duyarlılık ölçeğinin hemşirelik öğrencilerinde ölçümsel özellikleri. *Türkiye Klinikleri Journal of Medical Ethics*, 19(1):25-31.
- [6] Bulduk, S., Usta, E., & Yeliz, D. (2017). Kültürlerarası Duyarlılık ve Etkileyen Faktörlerin Belirlenmesi: Bir Sağlık Hizmetleri Meslek Yüksekokulu Örneği. *Düzce Üniversitesi Sağlık Bilimleri Enstitüsü Dergisi*, 7(2), 73-77.
- [7] Byram, M. (1997). Teaching and assessing intercultural communicative competence: *Multilingual Matters*.
- [8] Campbell, S., & Tickle, M. (2013). What is quality primary dental care? *British dental journal*, 215(3), 135.
- [9] Campbell, S. M., Roland, M. O., & Buetow, S. A. (2000). Defining quality of care. *Social Science & Medicine*, 51(11), 1611-1625.
- [10] Campinha-Bacote, J. (2002). The process of cultural competence in the delivery of healthcare services: A model of care. *Journal of transcultural nursing*, 13(3), 181-184.
- [11] Campinha-Bacote, J. (2003). Cultural desire: The key to unlocking cultural competence. *Journal of Nursing education*, 42(6), 239-240. Retrieved from <Go to ISI>://WOS:000183404000001.
- [12] Chae, D., & Park, Y. (2019). Organisational cultural competence needed to care for foreign patients: A focus on nursing management. *Journal of Nursing Management*, 27(1), 197-206. Retrieved from <Go to ISI>://WOS:000456288800024.
- [13] Chen, G.-M. (1997). A Review of the Concept of Intercultural Sensitivity.
- [14] Chen, G.-M., & Starosta, W. (1998). A review of the concept of intercultural awareness.
- [15] Chen, G.-M., & Starosta, W. J. (2000). The development and validation of the intercultural sensitivity scale.
- [16] Cruz, J. P., Contreras, F. A. M., Lopez, J. E. O., Aqueveque, C. A. Z., & Vitorino, L. M. (2018). Psychometric assessment of the cultural capacity scale Spanish version in Chilean nursing students. *International Nursing Review*, 65(2), 262-269. Retrieved from <Go to ISI>://WOS:000434119500018.
- [17] de Bondt, B., & Zentner, A. (2007). Quality management in orthodontic practice. Paper presented at the Seminars in orthodontics.
- [18] Deardorff, D. K. (2006). Assessing intercultural competence in study abroad students. *Languages for intercultural communication and education*, 12, 232.
- [19] Koca, G. Ş., & Erigüç, G. (2017). İletişim yeterlilik ölçeği'nin geçerlik ve güvenilirliği. *Uluslararası Yönetim İktisat ve İşletme Dergisi*, 13(4), 789-799.
- [20] Fantini, A. E. (2009). Assessing intercultural competence. *The SAGE handbook of intercultural competence*, 456-476.
- [21] Flood, J. L., & Commendador, K. A. (2016). Undergraduate nursing students and cross-cultural care: A program evaluation. *Nurse Education Today*, 36, 190-194. Retrieved from <Go to ISI>://WOS:000367117000032.
- [22] Gibson, D., & Zhong, M. (2005). Intercultural communication competence in the healthcare context. *International Journal of Intercultural Relations*, 29(5), 621-634.
- [23] Hajek, C., & Giles, H. (2003). New directions in intercultural communication competence: The process model. *Handbook of communication and social interaction skills*, 935-957.
- [24] Hashim, R. (2005). Patient satisfaction with dental services at Ajman University, United Arab Emirates.
- [25] Huckabee, M. J., & Matkin, G. S. (2012). Examining intercultural sensitivity and competency of physician assistant students. *Journal of allied health*, 41(3), 55E-61E.
- [26] Jaapar, M., Musa, G., Moghavvemi, S., & Saub, R. (2017). Dental tourism: Examining tourist profiles, motivation and satisfaction. *Tourism Management*, 61, 538-552.
- [27] Koester, J., & Lustig, M. (2012). *Intercultural competence: Interpersonal communication across cultures*: Pearson Prentice Hall.

- [28] Kozub, M. L. (2013). Through the Eyes of the Other: Using Event Analysis to Build Cultural Competence. *Journal of transcultural nursing*, 24(3), 313-318. Retrieved from <Go to ISI>://WOS:000320367700011.
- [29] Lawler, J. J., Walumbwa, F. O., & Bai, B. (2008). National culture and cultural effects. *Handbook of research in international human resource management*, 5-28.
- [30] Leininger, M. (2002). Culture care theory: A major contribution to advance transcultural nursing knowledge and practices. *Journal of transcultural nursing*, 13(3), 189-192.
- [31] Levin, R. (2004). The correlation between dental practice management and clinical excellence. *Journal of the American Dental Association* (1939), 135(3), 345-346.
- [32] Luo, J. Y. N., Liu, P. P., & Wong, M. C. M. (2018). Patients' satisfaction with dental care: a qualitative study to develop a satisfaction instrument. *BMC oral health*, 18(1), 15.
- [33] Meydanlioglu, A., Arıkan, F., & Gozum, S. (2015). Cultural sensitivity levels of university students receiving education in health disciplines. *Advances in Health Sciences Education*, 20(5), 1195-1204.
- [34] Mesler, D. M. (2014). A Comparative Study of Cultural Competence Curricula in Baccalaureate Nursing Programs. *Nurse Educator*, 39(4), 193-198. Retrieved from <Go to ISI>://WOS:000338508100011.
- [35] Murray, C., Densie, I. K., & Morgan, C. (2015). Dental attendance, perceptions of cost and self-care of school year 12 and 13 students: A focus on Southland, New Zealand. *New Zealand Dental Journal*, 111(4), 133-141.
- [36] Peek, E. H., & Park, C. S. (2013). Effects of a Multicultural Education Program on the Cultural Competence, Empathy and Self-efficacy of Nursing Students. *Journal of Korean Academy of Nursing*, 43(5), 690-696. Retrieved from <Go to ISI>://WOS:000327913200012.
- [37] Power, T., Virdun, C., Gorman, E., Doab, A., Smith, R., Phillips, A., & Gray, J. (2018). Ensuring Indigenous cultural respect in Australian undergraduate nursing students. *Higher Education Research & Development*, 37(4), 837-851. Retrieved from <Go to ISI>://WOS:000435349700012.
- [38] Repo, H., Vahlberg, T., Salminen, L., Papadopoulos, I., & Leino-Kilpi, H. (2017). The cultural competence of graduating nursing students. *Journal of transcultural nursing*, 28(1), 98-107.
- [39] Rew, L. (2014). The influence of culture on nursing practice and research. *Journal for Specialists in Pediatric Nursing*, 19(1), 1-2. Retrieved from <Go to ISI>://WOS:000329370300001.
- [40] Roscigno, C. I. (2013). Challenging Nurses' Cultural Competence of Disability to Improve Interpersonal Interactions. *Journal of Neuroscience Nursing*, 45(1), 21-37. Retrieved from <Go to ISI>://WOS:000313108300006.
- [41] Shen, Z. (2015). Cultural competence models and cultural competence assessment instruments in nursing: a literature review. *Journal of transcultural nursing*, 26(3), 308-321.
- [42] Stewart, J. F., & Spencer, A. J. (2005). Dental satisfaction survey. *Dental statistics and Research unit 2005*.
- [43] Thanveer, K., Krishnan, A., & Hongal, S. (2010). Treatment satisfaction among patients attending a private dental school in Vadodara, India. *J Int Oral Health*, 2(4), 33-44.
- [44] Ulrey, K. L., & Amason, P. (2001). Intercultural communication between patients and health care providers: An exploration of intercultural communication effectiveness, cultural sensitivity, stress, and anxiety. *Journal of health communication*, 13(4), 449-463.
- [45] Wall, W., Tucker, C. M., Roncoroni, J., Allan, B. A., & Nguyen, P. (2013). Patients' perceived cultural sensitivity of health care office staff and its association with patients' health care satisfaction and treatment adherence. *Journal of health care for the poor and underserved*, 24(4), 1586-1598.
- [46] Wang, Y. R., Xiao, L. D., Yan, P., Wang, Y., & Yasheng, A. (2018). Nursing students' cultural competence in caring for older people in a multicultural and developing region. *Nurse Education Today*, 70, 47-53. Retrieved from <Go to ISI>://WOS:000445986500008.
- [47] Wiemann, J. M. (1977). Explication and test of a model of communicative competence. *Human communication research*, 3(3), 195-213
- [48] Wiewiora, A., Trigunaryah, B., Murphy, G., & Coffey, V. (2013). Organizational culture and willingness to share knowledge: A competing values perspective in Australian context. *International Journal of Project Management*, 31(8), 1163-1174.
- [49] Wiseman, R. L., & Koester, J. (1993). *Intercultural communication competence*: Sage Newbury Park, CA.

Wine as an Investment Opportunity

Daniela Majerčáková

PhDr., PhD., MBA, Faculty of Management FMCU, Comenius University in Bratislava, Slovakia,

Alexandra Mittelman

Mgr., MBA, Faculty of Management FMCU, Comenius University in Bratislava, Slovakia

Michal Greguš

Faculty of Management FMCU, Comenius University in Bratislava, Slovakia

Abstract

Market development with non-traditional commodities is not as developed and widespread as the market with traditional commodities. There is much information regarding investments into antiquarian objects but there is not so much regarding other types of commodities. The traditional slovak investor is an investor into classic investment products with lower risk and lower revenue at the same time. As Warren Buffett said, price does not matter, but value matters. In case of some commodities, with we can gain the high appreciation with a small investment, too, despite the high risk. We have to look forward and to think about the future with non-traditional investments as it is the long-term investment. It represents goods that are little liquid, and there is an inactiveness sometimes needed, but on the other hand it is still necessary to follow the market. There are more and more possibilities of investments with the fast-changing world. Sometimes we can get interesting revenues from some irrational investments. The aim of this paper is to analyze conditions of the market with possibilities to invest into non-traditional commodities, where also the investments into wine belong. We have used the description of alternative investments, analysis of facts and conditions as well as the possibilities of non-traditional investments in Slovakia to reach this aim. On the basis of observing the price development, we have made recommendations for the traditional slovak investor with the positive relationship to non-traditional investments and with the positive relationship to risk.

Keywords: commodity, wine, non-traditional investing, market

Theoretical background

Trading with commodities is a very old job that dates back further than trading with shares and bonds. Ancient civilizations traded with many commodities from shells to spices. The power of empires can be considered as its reasonable ability to create and manage the complex commercial systems and to ease the exchange of commodities that serve as wheels of trade, economic development and taxation of royal treasury.

The expression commodity is defined also in the slovak legislation and it is defined as „a tangible object and manageable natural power, mainly a product, energy and raw material, including precious metals except of gold which is traded or can be traded on the market of goods and services “(Act no. 92/2008 Coll. on Commodity Exchange).

Some commodities have the great history, that dates back to the beginnings of civilization, but they have one thing in common- they will be attractive again and their value will increase. (Schipman, 2007)

Price of commodities is often connected to inflation. If inflation grows, prices of commodities grow, too. Prices are almost independent from the development of financial markets. Value of commodities does not need to grow only, it can also decrease, but the value will never be zero. As price of commodities is unpredictable, they belong into risk investments.

Trading in commodities is mostly very attractive for small tradesmen because it offers the possibility of the fast enrichment. The old rule still applies, if it is possible to get rich on something very fast, it is possible to go bankrupt very fast, too. Commodities are considered as the awesome trade tool. Every trade has always two sides of one coin, and this applies also for trading in commodities. (Turek, 2007)

Non-traditional commodities

There is a new phenomenon in the world and it is investing into non-traditional, resp. alternative commodities. Nowadays, it is possible to invest into anything. Except of the common forms of investments, there are many non-traditional ones. Non-traditional forms of investing represent new opportunities and the chance for high revenues. Trades with precious coins, art, precious stones, wine and other antiquarian objects belong here. These trades are not very widespread so far, so they represent much higher risk of liquidity. They are traded in the long-term investment horizon, and it is necessary to count with higher risk in a decline of value.

Traditional investments are realized to gold, silver, precious stones or to diamonds. Wine is also a non-traditional investment. A wine expert is not necessary, but it is advisable to use them. The annual revenue from the purchase of this type of alcohol moves between 10 – 15%. In some cases, the future value can increase by 200 % from acquisition price. In some unique cases it can be up to 400% from original price. The wines for investments are red varieties, mainly from the french provinces, that has the potential of maturing. Some wines mature up to 30 years and therefore they become a curiosity after years, and their value increases. The most qualitative wines come from Italy, Spain or Portugal, but it is necessary to purchase them in verified viticulture, where the high quality is guaranteed.

Among the main market indices in this category belongs Liv-ex Fine Wine 100, where there are monthly reflected movements of prices of hundreds qualitative, most searched wines. The value of index is influenced by the price of french wines mainly from the region of Bordeaux, but also by the demand for the wine from the region of Champagne, Burgundy, and also from Italy. (Makarova, 2011)

The best is to purchase wines that mature in barrels, it is possible to get it for the low price on the principle „en primeur “. It is bottled after two years and at that time the price begins to grow. More factors influence price increase, as for example small number of particular bottles and its high demand. The big influence has also the evaluation of tasters, the quality of vintage and prizes won. It is also important in investing into wine its storage and it is necessary to take care of it, too.

Champagne is an excellent investment and it is sometimes more affordable than investing into the wine Bordeaux. It is still new and growing market. The average annual growth of Vintage Champagnes was around 10% from 2014 to 2015. The example of even bigger growth was Krug Brut 96, that grew in 5 years by fifty percent. (Colagrosi) They are luxurious products and it is predicted that the demand will be always higher. The advantage of Champagne is, that the availability of stock is regulated so they do not damage the market and do not change prices. Similarly, it is also important for Champagne to be stored appropriately, in the dark room with the humidity around seventy degrees. It is essential not to expose it to the sun.

Methodology

The aim of this paper is to analyze the possibilities of investing into wine for slovak investor and verification of availability of non-traditional commodities as the part of investment strategy.

We have created the analysis divided into particular parts from the relevant and available information. After analysis we worked with text synthesis. We also used the methods of induction, description and deduction. All the relevant information have been gained from professionals from the particular field. Information were provided directly from professional by means of electronic mail. They were also gained by the market observation on investment portals. We analyzed in more detailed way the possibilities of investing into the particular types of wine. Information were gathered from professionals from this field and from portals dealing with investments into this commodity.

The paper presents the results of the analysis of the market with wine, where Europe is the leading global producer of wine with more than 45% of vineyards and 60% of production of wine. It also belongs into the leading consumers what represents almost 60% of the world consumption. It is the leading exporter and the biggest import market. In the last years, productions of wine in European Union have reached the average production approximately 26 000 millions of hectoliters. France is the biggest producer with the average of 55 million of hectoliters of wine, that represents 30,6% of the total volume in European

Union. After France, Italy follows with the approximately 51 million of hectoliters of wine. Spain is the third biggest European producer, with the annual production of approximately 43 million of hectoliters. The production of Germany from the point of view of value is almost the same as in Spain despite the considerably lower volume of production. Portugal produces approximately 7,2 million of hectoliters of wine and has the value approximately 1 billion EUR. Hungary, Greece and Austria follow. Finally, there are more small producers as for example also Slovakia with 440 000 hectoliters of wine. France and Italy represent more than 40% of the world wine production and they are still dominating in this field. European Union exports around 13 million of hectoliters of wine.

The states as Australia, South Africa, New Zealand, Chile and Argentina have developed the growing reputation for the production of quality wine. This growth of wine production and quality of wine have created some exports and opportunities and therefore it has caused the changes in the types of produced wines. The development of production capacity of these main competitors has caused the worldwide decline of the exported amount of wine and also the decline of its production in European Union.

Results

It is possible to invest into wine by various ways. Firstly, we have to think over what the aim of investment is. It is possible to invest also into vineyards. Investing into this real estate is more and more popular. Nowadays, there is a high demand for it, but the offer is low, i.e., it has been waiting for rise of prices. Owners rent it profitably or sell the production of grapes to processors.

The Czech Club GWC provided the possibility to partially participate on the profit by the form of convertible bonds. These bonds were issued at the beginning of the project to get another capital to start. These bonds were issued in 2016, and will be payable next year, i.e. in 2019. Just then it will be possible to realize single-use profit or to change their bonds with shares. Just one part is being sold, that was originally reserved for Slovakia and a part that was kept by one investor for a short time.

The other possibility is to invest into viticultures. These investments carry with themselves also a part of its own entrepreneur risk that is transformed to investor in proportion to their engagement with the particular project.

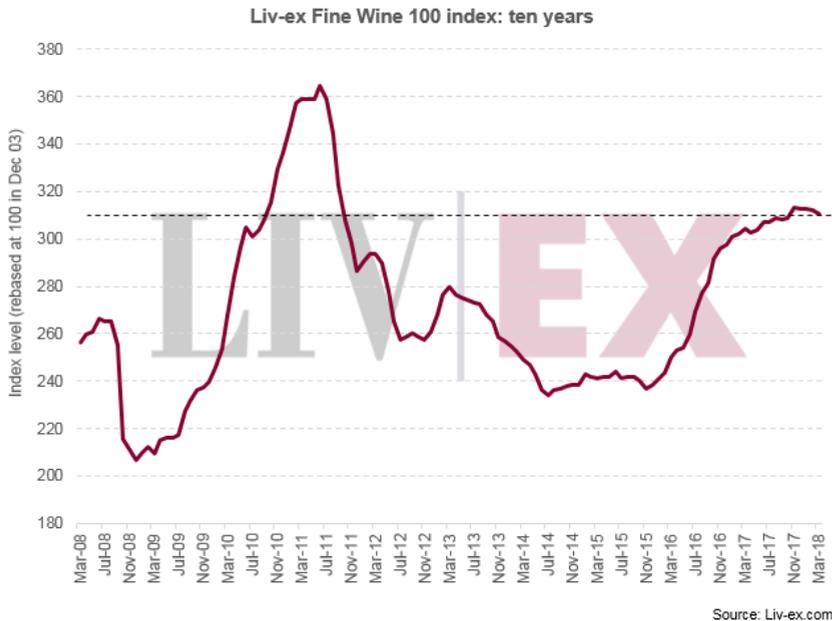
The third option is to invest into wine itself. Nobody will dedicate their time to this type of investment if they do not have any relationship and they will regard it as the common investment, similarly as in works of art and collectors' pieces. As all traditional investments, also investments into wine have its specific rules. Firstly, it is necessary to realize that not every wine is convenient to invest into. Above all, it should deal with the wines from aromatic varieties and it should be attributive. Firstly, it is essential to consider the region of origin and producer. Then it is necessary to consider the upper limit of maturity from which then quality begins to decrease. The essential part is also wine storage as it is the investment for around 5 to 15 years and it carries with itself additional costs for storing.

The price is influenced by different factors as already mentioned origin, vintage, quality but also market availability. The price is very much influenced also in case if a wine has won any prize. The availability is connected to scarcity of particular wine, that grows with the time as well as quality. Appreciation in selling moves between 10% to 15% a year but in some cases, it can be 30%. Appreciation is not linear what means that in the first years the growth rate of value is lower than later. In the shorter horizon, for example around 3 years, it is possible to have profit around 15%.

The good example is also Château Le Pin, that in 1982 cost only few dollars and in 2007 was auctioned for 47,800 USD in the auction in Chicago. It reached 7500% appreciation. These revenues were reached by only few wines mainly the wines Château.

Liv-ex is the global market with wine that provides to tradesmen all around the world services in the area of data, investments and clearing. It provides various services as sale, logistics, different data, accounting, marketing and also research. Liv-ex Fine Wine 100 is an industrial measuring tool that was concluded in March 2018 on the value 310,69 after 0,47% decrease in comparison with previous month, see picture 4. It was the fourth in sequence decrease of index, although every month the decrease was lower and lower. The best movements in March were from the regions of Burgundy and Bordeaux. Two wines from Dve Armand Rousseau Chambertin held the best positions. In 2012 and 2013 it increased by 22,6% respectively by 11%. The highest March decreases were from the regions of Burgundy, Champagne, Bordeaux and Rhone.

Picture 1 Liv-ex Wine 100 index in 10 years



Source: Liv-ex

On the picture, we can see variations of index level in the last 10 years. The highest values were represented in 2011, when it got over the value of 360. In March 2018 the value was 310,69, after it had four times in sequence decreasing tendency. The lowest values during the followed period were in 2008 – 2009. After this period the tendency rose although with smaller decrease and it went up to its maximum. Consequently, it decreased with smaller or bigger rises and in years 2015 – 2016 the tendency again rose.

Table 1 The change of middle values february - march 2018

Wine	Vintage	Middle value in february 2018	Middle value in march 2018	Change
Armand Rousseau, Chambertin	2012	12 045 GBP	14 763 GBP	22,6%
Armand Rousseau, Chambertin	2013	9 406 GBP	10 441 GBP	11,0%
Haut Brion	2000	6 600 GBP	6 785 GBP	2,8%
Margaux	2000	7 750 GBP	7 948 GBP	2,6%
Vieux Chateau Certan	2009	2 400 GBP	2 460 GBP	2,5%
Comte Vogue, Mosigny Vv	2014	4 780 GBP	4 533 GBP	-5,2%
Taittinger, Comtes Champagne	2006	746 GBP	706 GBP	-5,4%
Angelus	2010	3 130 GBP	2 950 GBP	-5,8%
Krug, Vintage Brut	2002	3 000 GBP	2 800 GBP	-6,7%
Beaucastel, Chateauneuf Du Pape	2012	520 GBP	477 GBP	-8,3%

Source: Own procession on the basis of Liv-ex

In the table, there is a list of 5 wines, that reached from February 2018 to March 2018 the biggest change from the point of view of the middle values expressed in british sterling and 5 wines that reached the smallest change in this period. The biggest change of the middle value was reached by the wine from 2012 Armand Rousseau, Champertin. While in February

it had the value of 12 045 british pounds, in March it reached the value of 14 763 GBP. It reached the total change of 22,6% from february 2018 to March 2018. On the other side, the smallest monthly change was reached by the wine also from the year 2012 Beaucastel, Chateaufeuf Du pape, as its price from February 2018 has decreased from the value of 520 GBP to 477 GBP. This decline represents 8,3%, and by this it got the last place in the list.

In the last years, wine has shown that it is more stable investment than classic cars, precious works of art or jewellery and it has overcome these products by its growth of value. Wine Enthusiast has made the list of 100 best wine cellars. There are 100 best, exclusive wines in this list, that were selected from more than 22 000 wines. Wines were given points from different points of view, and there are also 4 wines in that list with the full score what was 100 points. These wines come from regions as Bordeaux, Champagne and Douro in Portugal. The rest comes from the different parts of the globe as it is the classic Burgundy, Tuscany and Rioja, but also California, Washington, Oregon and New York. While many wines in this list have the high value, almost a half has the value under 100 USD. It proves that the star investments can be also reached for the appropriate price.

Recommendations for investors

Every investor has to be very patient if he decides to invest either in traditional or non-traditional commodities. In the case of non-traditional commodities, it is very important to be interested in the particular commodity before making investment in it. The best thing is to be an expert in the particular industry or it should be also the investor's hobby. If they are interested in commodity that they decided to invest into, they have higher chance for higher profits. This type of investment is for a longer time period. Investors should not be afraid to invest into this commodity even if it represents high risk. Non-traditional commodities will never have zero value. Its value will be rising by time passing because there will be less of them on the market. The market with the particular commodity has to be examined. Sometimes, also from the absurd investments, high profits can be reached. It is then for investor the most important to be patient and to wait. They have to follow the market, current position and development of prices.

Conclusion

In case of wine, it is an investment that is riskier. If the risk is higher, the higher profit can be reached. The price of wine does not have big oscillations. We know more varieties of wine and every country has its specifications, too. It is not possible to invest into every wine. In case of wine, it is very important to store it correctly and to treat it in a correct way. Investments to alternative commodities as wine are the commodities for a long time investing. Wine matures and by this its value increases. The more valuable is the particular variety of wine is, the more precious is the wine. The value depends on variety, place of production, vintage and other different factors. Bad weather and vintage do not influence the value of wine. It happens very often that we can have the highly valued wine also from the bad vintage. If the vintage is weak there is less wine produced and therefore these wines are more valued by the time. For many people, some vintages are more valued, and they are able to pay more for it, for example, this year vintages 1948 or 1918 can be more valued. The price can also be influenced by the year of wedding, starting of business, when a couple became parents, etc. The value is different with different people. In case of investment, varieties are important, mainly those, that are few and are less valued. The volcanic wines are becoming valued, too.

It can be said that the older wine is, the more valued it is, but it is not always the case. In case of wine or alternative commodities as such, it is about the trades on OTC markets or auctions. They do not have their market created on stock exchange market. Alternative commodities are less liquid, and its future values are unpredictable. In case of wine, it is possible to invest also with the low starting investment. It is possible to get wines from specialized sellers, winemakers, wineproducers but also through investment portals dealing with investments into wine.

Bibliography

- [1] An Outstanding Bordeaux in All 10 Bottle Formats (2018) Retrieved from URL: www.sothebys.com/content/sothebys/en/news-video/blogs/all-blogs/the-vine/2018/04/complete-collection-chateau-pichon-longueville-baron-2009.html
- [2] Cambridge Associates & Global Impact Investing Network (2015). Introducing the Impact Investing Benchmark.
- [3] COLAGROSSI, M. How to Invest in Champagne Retrieved from URL: alternativeinvestmentcoach.com/how-to-invest-in-champagne/

- [4] EU wine reform: Background information on the wine sector Retrieved from URL: europa.eu/rapid/press-release_MEMO-06-245_en.htm?locale=en
- [5] FOLGER, J. (2017) Commodity Investing 101 Retrieved from URL: <https://www.investopedia.com/university/commodities/>
- [6] <https://www.liv-ex.com/>
- [7] Majerčáková, D. & Mittelman, A. (2016) Possibilities and trends for impact investors. Proceedings of 27th IBIMA Conference, Milan.
- [8] Majerčáková, D. & Mittelman, A. (2017) European Impact Investment Market as a challenge for investors. Proceedings of 29th IBIMA Conference, Wien.
- [9] Majerčáková, D. (2015) The impact of social enterprises in the terms of social innovations, Proceedings of 25th IBIMA conference, Madrid.
- [10] MAKAROVÁ, X. (2011) Netradičné investície nie sú pre každého Retrieved from URL: <https://www.etrend.sk/financie/netradicne-investicie-nie-su-pre-kazdeho.html>
- [11] Philips, W., Lee, H., Ghobadian, A., O'Regan, N. & James, P. (2014). Social Innovation and Social Entrepreneurship: A Systematic Review. doi: 10.1177/1059601114560063. Retrieved February 20, 2015, from <http://gom.sagepub.com/content/early/2014/12/05/1059601114560063.full.pdf+html>.
- [12] RICHTER, W. (2017) This Is How an Asset Bubble Gets Unwound these Days Retrieved from URL: <https://wolfstreet.com/2017/05/17/classic-collector-car-prices-fall-how-asset-bubbles-unwind/>
- [13] SHIPMAN, M. Komodity. Brno: Computer Press, 2007. 133 p. ISBN 978-80-251-1866-5
- [14] TUREK, L. (2007) Komodity – hra s ohněm pro začátečníky. In: Škola obchodníka. Retrieved from URL: www.kurzy.cz/skola-obchodnika/138470-6-dil-komodity-hra-s-ohnem-pro-zacatecniky/
- [15] Wealthy Attracted To Impact Investing in Financial Advisor Magazine, NASDAQ. Retrieved 16 December 2018
- [16] Zákon č. 92/2008 Z. z. Zákon o komoditnej burze a o doplnení zákona Národnej rady Slovenskej republiky č. 145/1995 Z. z. o správnych poplatkoch v znení neskorších predpisov

The Impact and Effects of Financial Reporting in the Public Accounting Econometric Analysis Model: Revenue and Expenditures for Period 2007-2017

Enkeleda Lulaj

MSc. Phd. Cand. University of Peja "Haxhi Zeka", Kosovo

Abstract

This scientific paper it aims to look at the importance and effects of financial reporting in public accounting by analyzing incomes (receipts) and expenditures (payments) in the money cash during the period 2007-2017. The impact and effects of globalization and the numerous changes in various economic activities, in particular financial reforms in transition countries with particular emphasis on the state of Kosovo, added the need for application and harmonization of accounting standards and financial reporting standards. The importance of applying these standards is to increase the importance and effects on financial reforms by applying a set of uniform and rigorous rules for financial reporting in the annual, nine-month, six-month, quarterly, and monthly financial statements. Thus, the purpose of this scientific paper is the econometric analysis of financial statements for receipts and payments based in the cash money, which include public revenue and public expenditures during the 10 year period, using statistical analysis and tests such as: regression, anova, t-test, intercept, degree of freedom, multiple R, square R, F, and others models that coincide this research for each variable, proving hypotheses or not, how important and what have been the effects on financial reforms during 2007-2017. Findings from this research will be help the state of the Kosovo look at financial reforms and comparability between the years for each variable.

Keywords: Financial reporting, accounting standards, financial reporting standards, revenue (receipts), expenditures (payments), public accounting, financial reforms etc.

I. Introduction

The primary legislation in Kosovo's jurisdiction that regulates financial management and reporting in relation to the Kosovo budget is the law on public financial management and accountability, together with the administrative financial guidelines or Financial Rules that are subsequently issued. The financial administrative Instruction No. 2005/15 is of special importance, which states that the financial statements will be prepared in accordance with international accounting standards for the public sector for reporting based on the cash basis. The financial statements are those statements that aims to meet the needs of general purpose users who are not in the position to require special reports for their particular needs. General purpose financial statements include those disclosed separately or within another public document such as an annual report or a prospectus. This Standard does not apply to the structure and content of the abbreviated financial statements prepared in accordance with IAS¹. The financial statements are a structured presentation of the financial position and financial performance of an entity. The objective of the financial statements for general purposes is to provide information about the financial position, financial performance and cash flow of an entity that is useful to a wide range of users in making economic decisions. The financial statements also show the management results related to the management of the resources entrusted to them. To achieve this objective, the financial statements provide information about these entities: assets, obligations, net equity, income and expense, including gains and losses, other changes in equity, and cash flows.

¹ IAS-34 Intermediate Financial Reporting.

II. Purpose of Research

The purpose of this research is to look at the impact and effects of financial reporting in public accounting. The other purpose of this research, are financial reforms and the relationship between variables during period 2007-2017 .Which have been years and financial items with the most significant financial effect, based on the annual financial reports and financial statements based on cash (receipts and payments). Based on these purposes, will analyzing the raised hypotheses, and it will provide recommendations for the coming years.

III. Methodology

The empirical study or the model of econometric analysis is realized in public accounting, concretely in the revenues and public expenditures for the period 2007-2017 based on the annual financial statements, to see how financial reforms have affected the country's economic development from year to year. The data from the annual financial statements are processed through econometric and statistical models with SPSS and R program. The test and methods that are used are (annual financial statements correlation, multiple R, F, anova, degree of freedom, intercept, least squares regression equation predicted values, regression statistics for variables square ,residuals output, trend analysis and growth rates of receipts in cash, trend analysis and growth rates of payments in cash, periods 2007-2017 etc.).

IV. The Hypotheses

4.1. The main hypothesis:

H0: There is an important relationship between financial reporting and public accounting (revenues -receipts and expenditures - payments)?

4.2. Auxiliary hypotheses:

H0₁: There is significant relationship between taxes, self-incomes, grants and other revenues to growth general incomes?

H0₂: There is significant relationship between operations, transfers, capital expenditures and other payments to growth general expenditures and economic development?

V. Literature Review

5.1. Financial Reporting and Public Accounting Theories

Financial reporting and public accounting is intended to manage and protect public money and to hold responsibility and accountability. Modern leadership for financial reporting in relative and absolute aspect. More money requires more financial accounting to improve economic development.¹ Accounting principles allow a budget organization, whether state or private, to recognize revenue only on the basis of negotiated and conditional services. The government offers general goods and services, which are funded through taxes. Public services are consumed collectively and non-payers cannot be excluded by requiring them to pay taxes. These features spoil the relationship between revenue recognition and service delivery, making it impossible to match revenue and expenses.² International Public Sector Accounting Standards (IPSAS) are used by public institutions around the world to compile financial statements. These standards are based on the International Financial Reporting Standards (IFRS) approved by the International Accounting Standards Board (IASB).³ Between IPSAS and International Financial Reporting Standards (IFRS), there is a close connection to the fact that IPSAS standards are based primarily on IFRS principles in order to ensure comparability between private and public sector reporting, when similar transactions are accounted.⁴ Accounting and financial reporting standards should be relevant to users of public sector financial statements. The financial statements prepared in accordance with IPSAS should adequately present the financial performance, financial position and cash flows of an institution to enable the users of financial statements to report accurately and timely.⁵ The adoption of the IPSAS opens the way for the full disclosure of financial information that serves

¹ World Bank 1997.

² Sunder, 1997

³ Accounting Standards and financial statement, book 2015.

⁴ Ibid.

⁵ Ijeoma and Oghoghohem, 2014.

the needs of different users.¹ Public accounting with particular emphasis, public spending to be implemented with administrative honesty and fiscal responsibility. Thus, the fiscal responsibility act should be improved so that public spending is not only transparent but also efficient and effective.²

5.2. Financial Statements for State of the Kosovo -According to International Public Sector Accounting Standards,Based on Cash Money

5.2.1. Basis of preparation

The financial statements have been prepared in accordance with LPFMA no. 03 / L-048, as amended by Law 03 / L-221, Law 04 / L-116, Law 04 / L / 194, Law 05 / L-063 and Law no. 05 / L-007 as IPSAS based on cash.³ Financial Reporting according the accounting principles based on the cash. The notes to the financial statements form an integral part of the meaning of the statements and should be read together and in relation to the statements.⁴

5.2.2. Accounting Policies

The basis of accounting and reporting in the Government of the Republic of the Kosovo according the LPFMA is the cash basis. On this basis, the information presented in these financial statements presents cash receipts and payments and the cash flow movement.⁵ Money management is organized in form of single account of Treasury. The single account of Treasury is a system of banking account which is used to collect incomes and realization of expenses, which are supervised by single institution–Treasury Department.⁶ Receptions (incomes) are acknowledged only when are under Government control. This means money which is transferred into Treasury account at CBK⁷, money which stands by on commercial banks to be transferred to Treasury account in CBK and collected money from an official of budgetary organization standing by to be transferred to Treasury account in CBK.⁸ Payments (expenses) are acknowledged when are paid by single account of Treasury and expenses of tiny money are acknowledged when justifying account of tiny money⁹ Transactions between budgetary organizations so called “Inter-parliamentary transactions” aren’t consolidated into these financial clearances, aiming to save information consistence reported by individual financial clearances of budgetary organizations.¹⁰The expenses are categorized according to economic classification which reflects Financial Government Statistics of IMF, which are modified version of SQF, based on cash money of 1986 including elements of SQF 2001.¹¹ Accounting policies are applied continuously during whole period.¹²

5.2.3. Reporting subject

The financial statements present the financial activity of the Government of the Republic of Kosovo as specified in Law no.03/L-048, as amended by Law 03/L-221, Law 04/L-116, Law 04/L/194, Law 05/L-063 and Law no. 05/L-007, which includes all budget organizations that consolidated and reported from treasury at the level of the general government.¹³

5.2.4. Payments made by third parties

Payments made by third parties are not considered receipts or payments in cash, but are benefits of the Government. These payments are disclosed in the payments by third parties section of the consolidated statement of cash receipts and payments.¹⁴

¹ Ozugbo, 2009

² Piancastelli and Boueri, 2005.

³ Annual financial report ,2007

⁴ Annual financial report, 2008.

⁵ Annual financial report, 2009.

⁶ Annual financial report, 2010.

⁷ Central bank of the Kosovo.

⁸ Annual financial report, 2008.

⁹ Ibid.

¹⁰ Annual financial report, 2011.

¹¹ Annual financial report, 2012.

¹² Annual financial report, 2012.

¹³ Annual financial report, 2017.

¹⁴ Annual financial report, 2013.

5.2.5. Money Cash

Cash is comprised of funds held at the Central Bank of Kosovo, commercial banks, and as the coffers of budgetary organizations and money cash equivalents.¹

5.2.6. Reimbursement of expenditures (payments) from previous year Payments returned to BRK from previous years in the current year are evidenced as revenue.²

5.2.7. Reporting currency

The reporting currency is Euro (€) and while the state debt is disclosed in SDR.³

5.2.8. Reporting amount

Reporting amounts are per units `000 (thousand) Euro (€).⁴

5.2.9. Date of authorization

The authorization is valid on date of signing of statement about Financial Report by Minister of Finance and Treasury Director.⁵

5.3. Identification of Financial Statements

The financial statements should be clearly identified and distinguished from other information in the same published document. The IFRS-s apply only to the financial statements, and not to any other information presented in the annual report or other document. It is therefore important that users can distinguish the information prepared using IFRSs from other information that may be useful to users.⁶

5.4. International Accounting Standard

5.4.1. Public incomes

During preparation and presentation of financial statements, incomes is determined as an increase in the economic benefits during the accounting period in the form of inflows or increases in assets or decreases in liabilities that result in an increase in net equity, other than those related to contributions from participants in net equity.⁷

5.4.2. Public expenditures

Public spending indicates amounts spent for different purposes by public authorities as state and local governments as capital goods, consumption goods and personnel expenditure etc.⁸

VI. ECONOMETRIC ANALYSIS MODEL: REVENUE AND EXPENDITURES FOR PERIOD 2007-2017

In this scientific paper, becomes combination of statistical analysis, tests and econometric models in financial statements based in money cash for the period 2007-2017. Based on the hypotheses raised will be used tests and analyzes through the SPSS and R program.

$$Y = \beta_0 + \beta_1x_1 + \beta_2x_2 + \dots + \beta_p x_p + e \dots \dots \dots (I)$$

$$TRevCach = \beta_0 + \beta_1TAX + \beta_2SINC + \beta_3GRA + \beta_4CAP.AD + \beta_5OR + e \dots \dots \dots (II)$$

Where:

¹ Annual financial report, 2014.

² Annual financial report, 2015.

³ Annual financial report 2017.

⁴ Ibid.

⁵ Annual financial report 2015.

⁶ International Accounting Standard 1 - Presentation of Financial Statements-Ministry of Finance.

⁷ International Accounting Standard 18 – Income.

⁸ Hyman 2014, Paine 2001.

- TrevCash - Total revenue (receipts) in cash
- Tax - Taxes
- Sinc – Self-incomes
- Gra - Grants and assistances
- Cap.ad- Capital admissions
- Or - Other reception
- e – Error term

$$n = N/1+N(e)^2 \dots\dots\dots (III)$$

Where:

- n- Sample size (period 2007-2017) , n=.091
- N- Financial reporting in public accounting (revenue-receipts)
- e – Error limit (0.05 on the basis of 95% confidence level).

6.1. Financial Statements of Receipts Based in Money Cash

YEARS	X1-Tax ¹ '000 €	X2-Self incomes ² '000 €	X3- Grants and assistances ³ '000 €	X4-Capital admissions(receipts) ,Other ,Borrowing ⁴ '000 €	X5-Other reception ⁵ '000 €	Y-Total receipts in cash '000 €
2007	714,133	54,961	11,643	255,484	134,145	1,170,366
2008	805,030	71,850	12,845	5,823	93,578	989,126
2009	815,805	77,950	13,880	3,425	249,637	1,160,697
2010	893,603	100,480	45,342	24,451	130,632	1,194,508
2011	1,057,952	115,534	28,208	5,076	106,483	1,313,253
2012	1,093,939	120,531	48,738	166,990	120,417	1,550,615
2013	1,104,843	94,953	12,588	83,835	148,947	1,445,166
2014	1,141,157	99,746	12,092	113,836	95,748	1,462,579
2015	1,248,937	112,703	13,310	166,719	165,704	1,707,373
2016	1,459,513	136,962	163,147	9,018	9,268	1,777,908
2017	1,553,270	128,298	220,246	21,221	326	1,923,361

Tab.1. Statement of cash receipts⁶

Based on table no.1. Financial statements of receipts in money cash for the period 2007-2017. In this table we can see all the variables of the receipts. These variables are divided in dependent variables or total receipts, and independent variables that effect the dependent variable, such as: taxes, self-incomes, grants and assistances, capital admissions (receipts), other reception. During the 10-year period, we see that the largest receipts are: from taxes in 2015 (1,553,270), from self-income in 2016 (136,962), from grants and assistance in 2017 (220,246), capital admissions (receipts), other, borrowing in

¹ Tax (Tax administration state of the Kosovo, customs).

² Self-incomes (municipalities, the central budget organizations).

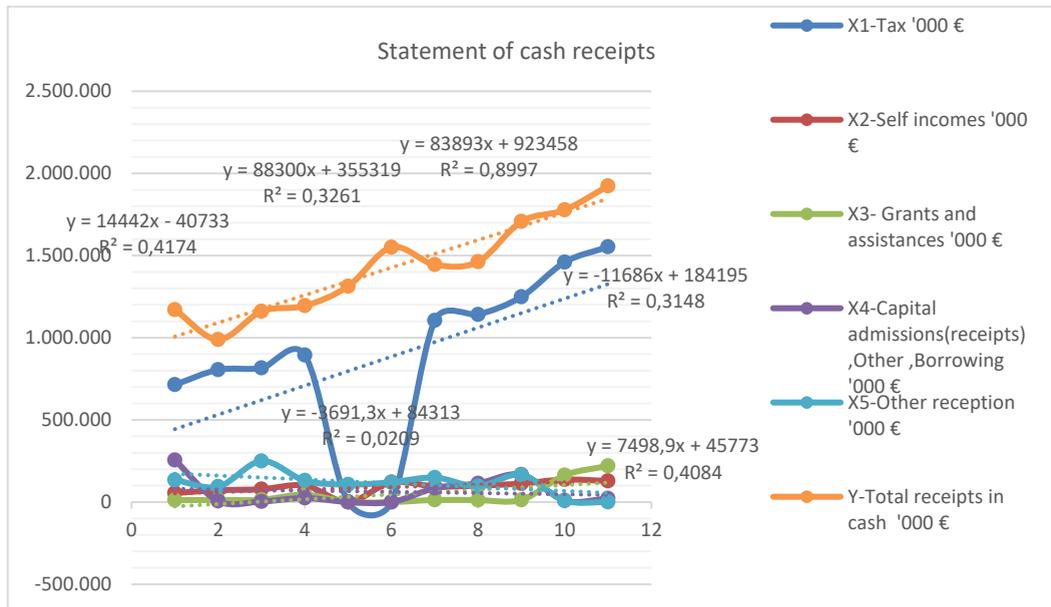
³ Grants and assistances (donor grants, budget support grants).

⁴ Capital admissions (receipts), Other, Borrowing (domestic borrowing and external borrowing. Explanation: in some years there is no borrowing

⁵ Other receipts-revenue (deposit fund, fines and fees, bank interest, dividends, immediate financing of the KPA, return of lending, others).

⁶ Author, with SPSS program.

2007 (255,484), from other reception in 2009 (249,637). The highest total receipts are in 2017 (1,923,361), while with the lowest values are in 2008 (989,126).¹



Graf.1. Statement of cash receipts for all variables²

6.1.1. Linear Regression For Variable X1- Tax

YEARS	X1-Tax '000 €	Y-Total receipts in cash '000 €	Least squares regression equation predicted		
			values y	Residual \hat{y}	\hat{y}^2
			$y=1.0485x+293658$		
2007	714133	1170366	1042426.5	127939.5	163685283
2008	805030	989126	1137732.0	-148606.0	220837298
2009	815805	1160697	1149029.5	11667.5	136129564
2010	893603	1194508	1230600.7	-36092.7	130268627
2011	1057952	1313253	1402920.7	-89667.7	804029140
2012	1093939	1550615	1440653.0	109962.0	120916323
2013	1104843	1445166	1452085.9	-6919.9	47884815.0
2014	1141157	1462579	1490161.1	-27582.1	760773040
2015	1248937	1707373	1603168.4	104204.6	108585893
2016	1459513	1777908	1823957.4	-46049.4	212054544
2017	1553270	1923361	1922261.6	1099.4	1208691.35

¹ Explanation for all variables for cash receipts in money cash.

² Author, with R program.

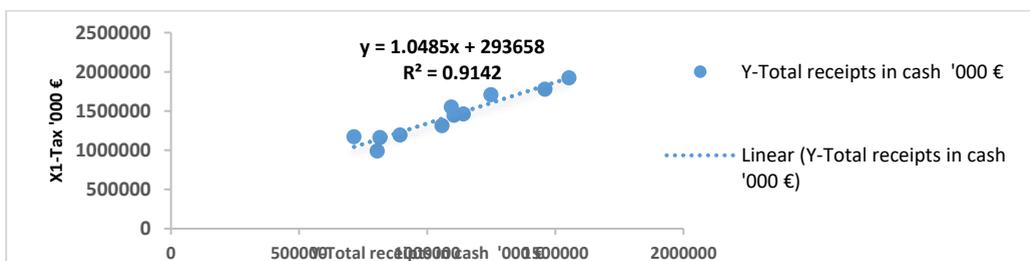
Sum of Squared Residuals 73811999127

Tab.2. Least regression predicted¹

SUMMARY OUTPUT								
Regression Statistics								
Multiple R	0.956149483							
R Square	0.914221835							
Adjusted R Square								
Square	0.904690927							
Standard Error	90561.21253							
Observations	11							
ANOVA								
	df	SS	MS	F	Significance F			
Regression	1	7.86687E+1	7.86687E+1	95.9218	4.2541E-06			
Residual	9	738119989	820133321	1				
Total	10	36	8.60499E+1	5				
	Coefficients	Standard Error	t Stat	P-value	Lower 95%	Upper 95%	Lower 95.0%	Upper 95.0%
Intercept	293657.8009	118877.763	2.47025005	0.03555	24737.6173	562578	24737.6	562578
X1-Tax '000 €	1.048496414	0.10705532	9.79396781	4.25E-06	0.80632044	1.29067	0.80632	1.29067

Tab.3. Regression Statistics for tax²

Table no.3. Regression statistics for tax. In this table we can see that the t-test (9.79) is a significant variable, which means that taxes have an important role and represent a relevant influence within the overall public revenue. R.Sq is 0.91 or 91% is statistically acceptable. So, taxes have impact on revenue growth of about 91%.³



Graf.2. Linear regression for Tax⁴

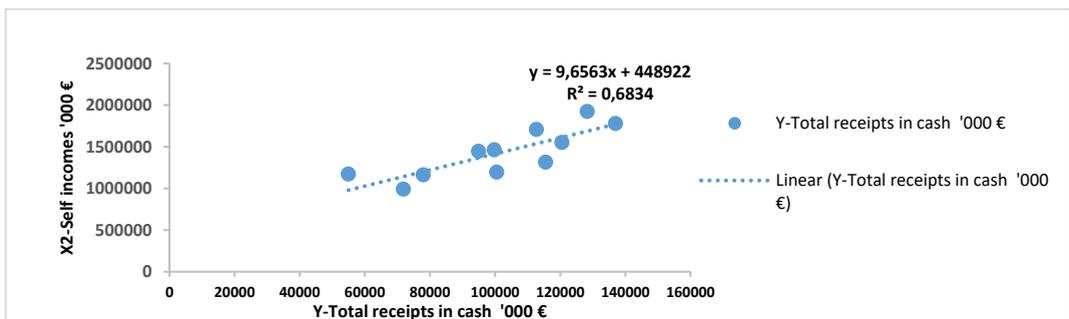
¹ Author with SPSS program.
² Author with SPSS program.
³ 91% is statistically acceptable.
⁴ Author with R program.

6.1.2. Linear Regression for Variable X2- Self Income

SUMMARY OUTPUT								
Regression Statistics								
Multiple R	0.8266546							
R Square	0.6833578							
Adjusted R Square	0.6481754							
Standard Error	173995.56							
Observations	11							
ANOVA								
	df	SS	MS	F	Significance F			
Regression	1	5.88029E+11	5.88E+11	19.42326	0.0017025			
Residual	9	2.7247E+11	3.03E+11					
Total	10	8.60499E+11						
	Coefficients	Standard Error	t Stat	P-value	Lower 95%	Upper 95%	Lower 95.0%	Upper 95.0%
Intercept	448921.52	228003.599	1.96892	0.08048	66858.446	964701.50	66858.446	964701.50
X2-Self incomes '000	9.6563053	2.19103826	4.40718	0.00170	4.6998324	14.612778	4.6998324	14.612778
€	73	8	2	3	6	29	6	29

Tab.4. Regression Statistics for self-incomes¹

Table no.4. Regression statistics for self-incomes. In this table we can see that the t-test (4.407) is a significant variable, which means that self- incomes have an important role and represent a relevant influence within the overall public revenue. R.Sq is 0.68 or 68 % is statistically acceptable. So, self – incomes have impact on revenue growth of about 68%.²



¹ Author with SPSS program, tab5.

² 68 % is statistically acceptable.

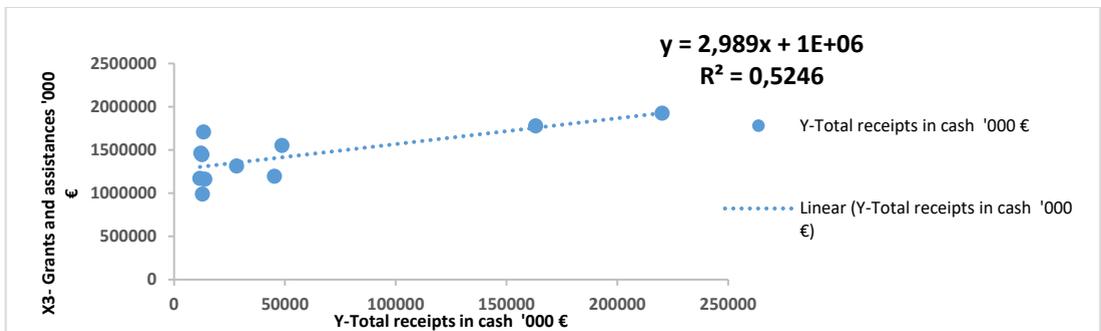
Graf.3.Linear regression for Self-incomes¹

6.1.3. Linear Regression for Variable X3- Grants and Assistances

SUMMARY OUTPUT								
Regression Statistics								
Multiple R	0.72432							
R Square	0.524639							
Adjusted R Square	0.471821							
Standard Error	213189.5							
Observations	11							
ANOVA								
	df	SS	MS	F	Significance F			
Regression	1	4.51E+11	4.51E+11	9.932972	0.011706			
Residual	9	4.09E+11	4.54E+10					
Total	10	8.6E+11						
	Coefficients	Standard Error	t Stat	P-value	Lower 95%	Upper 95%	Lower 95.0%	Upper 95.0%
Intercept	1268656	81547.87	15.5572	8.21E-08	1084182	1453130	1084182	1453130
X3- Grants and assistances '000 €	2.989031	0.948399	3.151662	0.011706	0.843605	5.134458	0.843605	5.134458

Tab.5. Regression Statistics for grants and assistances²

Table no.5. Regression statistics for grants and assistances. In this table we can see that the t-test (3.151) is a significant variable, which means that grants and assistances have an important role and represent a relevant influence within the overall public revenue. R.Sq is 0.52 or 52 % is statistically acceptable. So, grants and assistances have impact on revenue growth of about 52%.³



Graf.4.Linear regression for grants and assistances⁴

6.1.4. Linear Regression for Variable X4-Capital Admissions (Receipts), Other, Borrowing

¹ Author with R program.

² Author for variable x3.

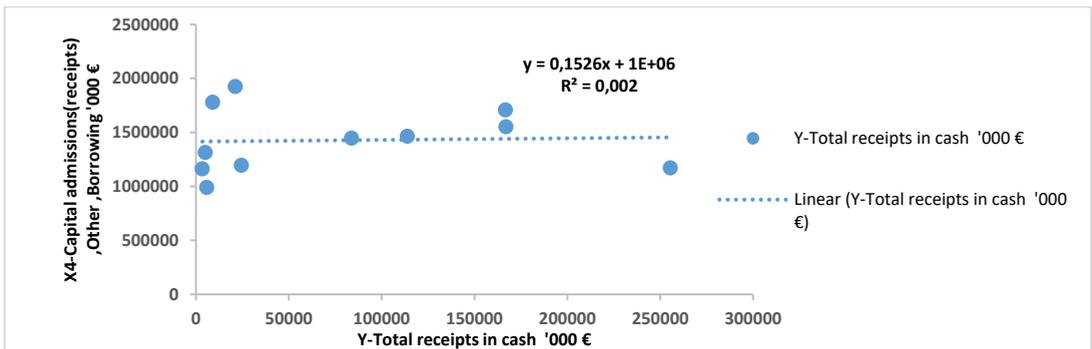
³ 52 % is statistically acceptable.

⁴ Author with R program.

SUMMARY OUTPUT								
Regression Statistics								
	0.0452075							
Multiple R	36							
	0.0020437							
R Square	21							
	-							
Adjusted R Square	0.1088403							
	1							
Standard Error	308894.09							
Observations	73							
	11							
ANOVA								
	df	SS	MS	F	Significance F			
Regression	1	175861949	175861949	0.018431	0.8949979			
		9	9	16	61			
Residual	9	8.5874E+1	954155633					
		1	17					
Total	10	8.60499E+1	11					
	Coefficients	Standard Error	t Stat	P-value	Lower 95%	Upper 95%	Lower 95.0%	Upper 95.0%
Intercept	1414942.601	127750.557	11.07582334	1.5193E-06	1125950.763	1703934.44	1125950.76	1703934.44
X4-Capital admissions(receipts), Other Borrowing '000 €	0.152572437	1.123827744	0.135761408	0.89499796	2.38970254	2.69484742	2.3897025	2.69484742

Tab.6. Regression Statistics for Capital admissions (receipts), Other, Borrowing¹

Table no.6. Regression statistics for capital admissions, other, borrowing. In this table we can see that the t-test (0.002) is not an important variable, which means that capital admissions, borrowing do not play an important role in increasing revenue.²



¹ Regression linear for x4.

² 2 % is statistically acceptable.

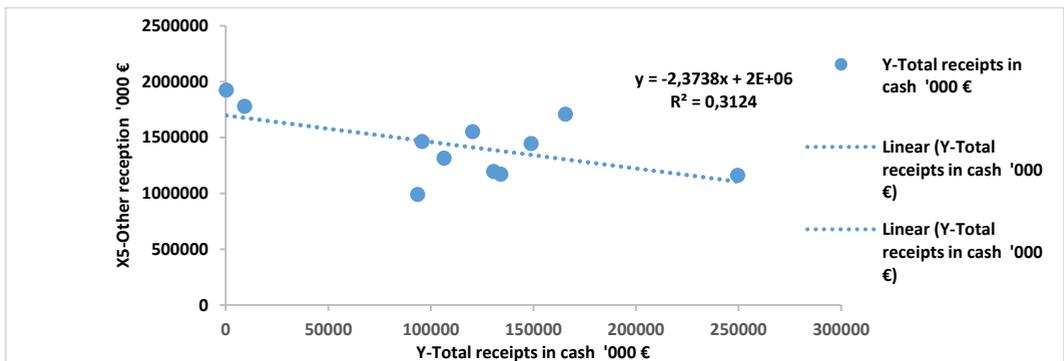
Graf.5.Linear regression for Capital admissions (receipts), Other, Borrowing¹

6.1.4.1. Linear Regression for Variable X5-Other Receipts

SUMMARY OUTPUT								
Regression Statistics								
Multiple R	0.558960							
R Square	0.312437							
Adjusted R Square	0.236041							
Standard Error	256395.3							
Observations	11							
ANOVA								
	df	SS	MS	F	Significance F			
Regression	1	2.68852E+11	2.68852E+11	4.08971142	0.07384681			
Residual	9	5.91647E+11	65738553122					
Total	10	8.60499E+11						
	Coefficients	Standard Error	t Stat	P-value	Lower 95%	Upper 95%	Lower 95.0%	Upper 95.0%
Intercept	1697614.74	154620.0509	10.97926647	1.6357E-06	1347839.88	2047389.6	1347839.88	2047389.6
X5-Other receipts '000 €	-2.373771	1.1737958	-2.0223034	0.07384681	5.0290821	0.28153924	5.0290821	0.28153924

Tab.7. Regression Statistics for other receipts²

Table no.7. Regression statistics for other receipts. In this table we can see that the t is a significant variable, but not very important R.Sq is 0.31 or 31 % is statistically acceptable but not very important. So, other receipts have impact on revenue growth of about 31%.³



¹ Author with R program.

² Regression linear for x5.

³ 31 % is statistically acceptable.

Graf.6.Linear regression for other receipts ¹

6.2. Financial Statements of Payments Based in Money Cash

$$Y = \beta_01 + \beta_1x_1 + \beta_2x_2 + \dots + \beta_p x_p + e \dots \dots \dots (I)$$

$$TPaymCach = \beta_0 + \beta_1OPE + \beta_2TRANS + \beta_3CAPEX + \beta_4CAP.AD + \beta_5OP + e \dots \dots \dots (II)$$

Where:

- ✓ TPaymCash - Total payment (expenditures) in cash
- ✓ Ope - Operations
- ✓ Trans – Transfers
- ✓ Capex - Capital expenses
- ✓ Cap.ad- Capital admissions
- ✓ Op - Other payments
- ✓ e – Error term

$$n = N/1+N (e)^2 \dots \dots \dots (III)$$

Where:

- ✓ n- Sample size (period 2007-2017), n=.087.
- ✓ N- Financial reporting in public accounting (expenditures-payments)
- ✓ e – Error limit (0.05 on the basis of 95% confidence level).

YEARS	X1-Operations ² '000 €	X2- Transfers ³ '000 €	X3-Capital expenses ⁴ '000 €	X4-Other payments ⁵ '000 €	Y-Total of payments '000 €
2007	359,703	154,552	159,208	128,487	801,950
2008	391,131	210,006	351,651	10,596	963,384
2009	442,898	257,767	406,382	145,301	1,252,348
2010	502,884	253,484	459,272	71,884	1,287,524
2011	570,282	256,476	531,290	42,413	1,400,461
2012	603,287	280,317	554,813	37,656	1,476,073
2013	635,574	315,619	534,690	25,675	1,511,558

¹ Author with R program.

² Operations (wages and salaries, commodities and services, municipal services).

³ Transfers (subsidies and transfers).

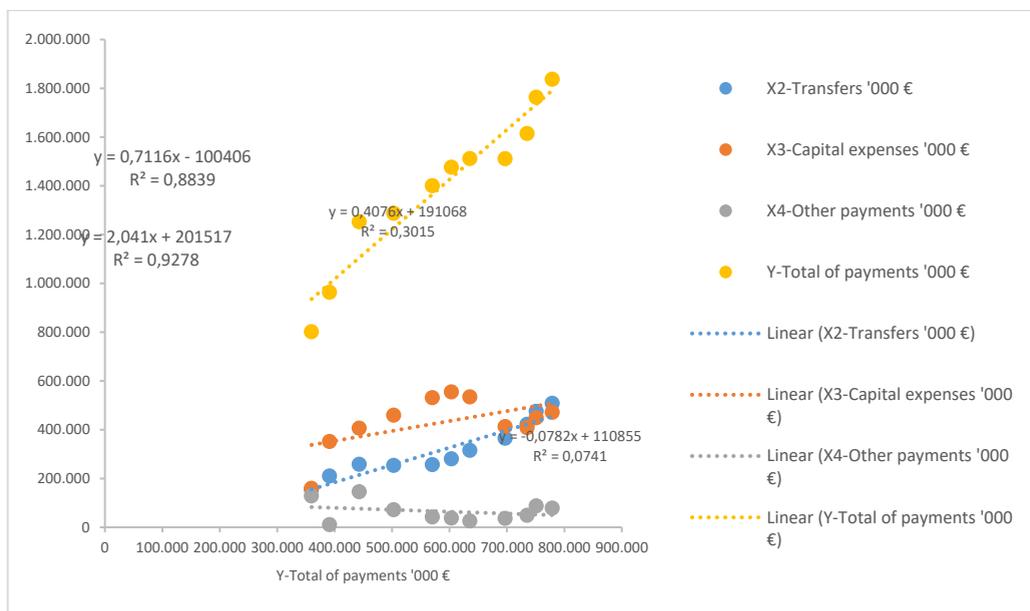
⁴ Capital expenses (properties, plants, equipment).

⁵ Other payments (returns from deposit funds, privatization fund, others).

2014	696,824	364,526	412,920	36,587	1,510,857
2015	735,305	422,099	407,926	49,008	1,614,338
2016	751,242	475,103	449,147	87,751	1,763,243
2017	779,068	508,316	471,098	78,322	1,836,804

Tab. 8. Statement of payments in cash¹

Based on the table no.8.Financial cash payments financial statements for the period 2007-2017. In this table, we can see all payments variables. These variables are divided into: variables dependent or total payments and independent variables such as: operations, transfers, capital expenditures, other payments. During the period of 10 years, the largest payments were made: from operations 2017 (779,068), from transfers 2017 (508,316), from capital expenditures 2012 (554,813), from other payments 2009 (145,301). The highest payments from their total are in 2017 (1,836,804), while the lowest payments are in 2007 (801,950).²



Graf.7. Statement of payments in cash for all variables³

6.2.1. Linear Regression for Variable X1-Operations

¹ Author with SPSS program for payments.

² Explain for all variables.

³ Author with R program.

**SUMMARY
OUTPUT**

Regression Statistics

Multiple R	0.96320
	907
	0.92777
R Square	172
Adjusted R	0.91974
Square	635
Standard	88771.0
Error	365
Observations	11

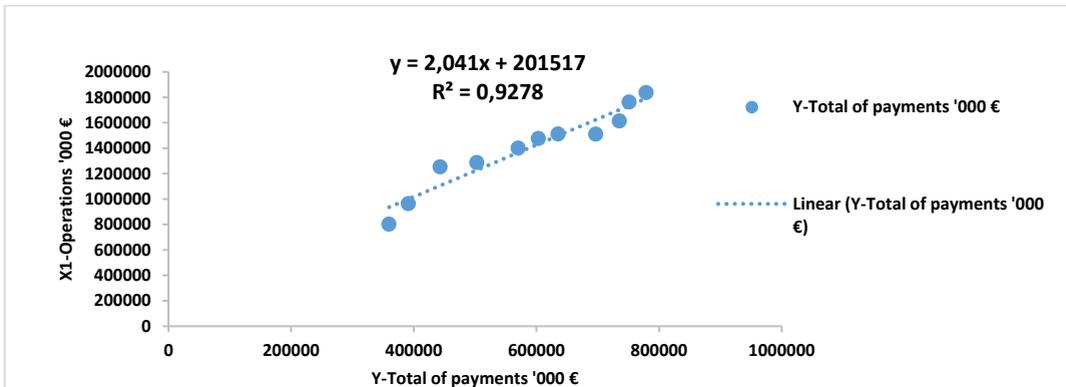
ANOVA

	df	SS	MS	F	Significance F
Regression	1	9.11001E+11	9.11001E+11	115.604926	1.9508E-06
Residual	9	709226722	78802969		
Total	10	9.81924E+11			

	Coefficients	Standard Error	t Stat	P-value	Lower 95%	Upper 95%	Lower 95.0%	Upper 95.0%
Intercept	201517.388	114787.1797	1.755573997	0.11304753	-58149.25329	461184.029	-58149.253	461184.029
X1-Operations '000 €	2.04103967	0.189829313	10.75197312	1.9508E-06	1.61161593	2.47046341	1.61161593	2.47046341

Tab.9. Regression Statistics for operations¹

Table 9. Regression statistics for operations. In this table we can see that t-test (10.751) is an important variable, which means that payments from operations have an important role in public expenditures. R.Sq. 0.92 or 92% is statistically acceptable. So, payments from operations have an impact on public expenditures about 92%. The Government realizes all payments when performing services at the operations variable.²



Graf.8.Regresion statistics for operations³

¹ Author with SPSS program.

² 92 % is statistically acceptable.

³ Author with R program.

6.2.2. Linear Regression for X2-Transfers

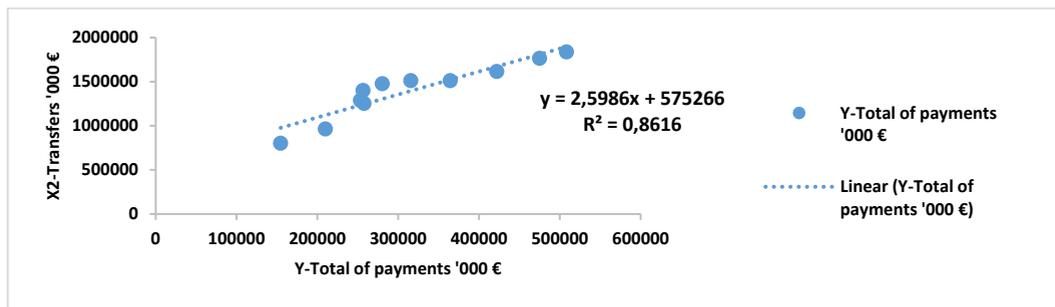
SUMMARY OUTPUT								
Regression Statistics								
Multiple R	0.928208							
	88							
	0.861571							
R Square	72							
Adjusted R Square	0.846190							
R Square	8							
Standard Error	122893.8							
Observations	24							
	11							
ANOVA								
	df	SS	MS	F	Significance F			
Regression	1	8.45998E+11	8.45998E+11	56.0156157	3.75389E-05			
Residual	9	1.35926E+11	15102891875					
Total	10	9.81924E+11						
	Coefficients	Standard Error	t Stat	P-value	Lower 95%	Upper 95%	Lower 95.0%	Upper 95.0%
Intercept	575266.314	116470.8464	4.939144273	0.00080318	311790.9545	838741.673	311790.955	838741.673
X2-Transfers '000 €	2.59860547	0.347204856	7.484358071	3.7539E-05	1.813173513	3.38403742	1.81317351	3.38403742

Tab.10. Regression Statistics for transfers¹

Table 10. Regression statistics for transfers. In this table we can see that t-test (7.48) is an important variable, which means that payments from transfers have an important role in public expenditures. R.Sq. 0.86 or 86% is statistically acceptable. So, payments from transfers have an impact on public expenditures about 86%. The Government realizes all payments when performing services at the transfer's variable.²

¹ Regression for x-2.

² 86 % is statistically acceptable



Graf.9.Regresion statistics for operations¹

6.2.3. Linear Regression for X3-Capital Expenditures

SUMMARY OUTPUT	
Regression Statistics	
Multiple R	0.6855974
R Square	0.4700438
Adjusted R Square	0.4111598
Standard Error	240457.10
Observations	11

ANOVA								
	df	SS	MS	F	Significance F			
Regression	1	4.61547E+11	4.61547E+11	7.9825366	0.01987305			
Residual	9	5.20377E+11	578196198					
Total	10	9.81924E+11						
	Coefficients	Standard Error	t Stat	P-value	Lower 95%	Upper 95%	Lower 95.0%	Upper 95.0%
Intercept	558662.45	307061.306	1.81938409	0.1022030	135958.475	1253283.3	-	1253283.3
X3-Capital expenses '000 €	1.9570443	0.69267609	2.82533832	0.0198730	0.39010213	3.5239865	0.3901021	3.5239865

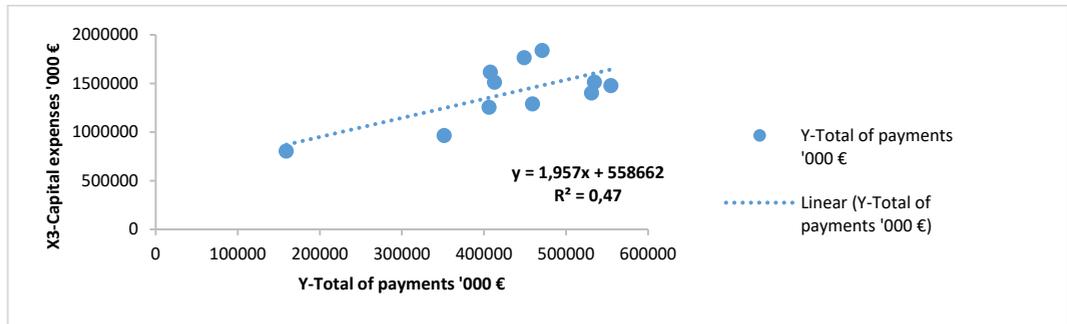
Tab.11. Regression Statistics for capital expenditures²

Table 11. Regression statistics for capital expenditures. In this table we can see that t-test (2.82) is an important variable, which means that payments from capital expenditures have an important role in public expenditures. R.Sq. 0.47 or 47% is

¹ Author with R program.

² Regression for x-3.

statistically acceptable. So, payments from transfers have an impact on public expenditures about 47%. The Government realizes all payments when performing services in this variable.¹



Graf.10.Regresion statistics for transfers²

6.2.4. Linear Regression for X4-for Other Payments

SUMMARY OUTPUT								
Regression Statistics								
Multiple R	0.1939180							
	6							
	0.0376042							
R Square	1							
Adjusted R Square	-							
Standard Error	0.0693287							
	324036.92							
Observations	2							
	11							
ANOVA								
	df	SS	MS	F	Significance F			
Regression	1	369244735.06	3.69244735E+11	0.3516619	0.5677742			
Residual	9	9.44999E+11	1.05E+11					
Total	10	9.81924E+11						
	Coefficients	Standard Error	t Stat	P-value	Lower 95%	Upper 95%	Lower 95.0%	Upper 95.0%
Intercept	1494485.73	184484.692	8.1008661	2.0024E-05	1077152.42	1911819.16	1077152.42	1911819.16
X4-Other payments '000 €	-1.4303381	2.41199302	-0.5930109	0.5677742	-6.8866454	4.0259692	-6.8866454	4.0259692

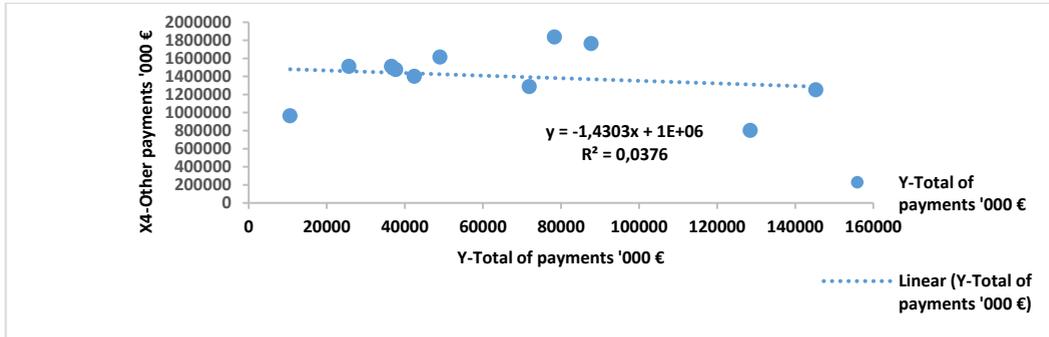
Tab.12. Regression Statistics for Other Payments³

¹ 47 % is statistically acceptable

² Author with R program.

³ Regression for x-4

Explanation: Table 11. Regression statistics for other payments. This table is not very important. So it's not significant. ¹



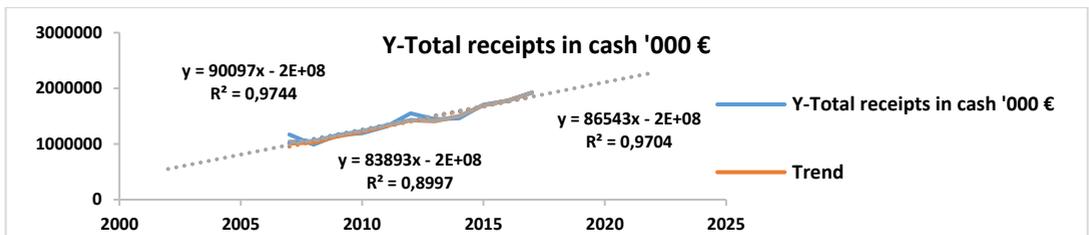
Graf.11.Regression statistics for other payments ²

6.3. Trend Analysis and Growth Rates of Receipts in Cash the for Periods 2007-2017

YEARS	Y-Total receipts in cash '000 €	Trend	Growth	Percentage Growth	YEARS	Y-Total receipts in cash '000 €	Trend	Growth	Percentage Growth
2007	1170366	1007351	1042072		2013	1445166	1408934	1417921	-7%
2008	989126	1026037	1055219	-18%	2014	1462579	1499873	1502082	-5%
2009	1160697	1137203	1160924	15%	2015	1707373	1694887	1696550	14%
2010	1194508	1217140	1234472	3%	2016	1777908	1777908	1777908	4%
2011	1313253	1324274	1337440	9%	2017	1923361	1923361	1923361	8%
2012	1550615	1422590	1432657	15%					

Tab.13. Trend analysis and growth rates ³

Explanation: The years that have had increased in receipts (revenue) from money cash are: 2009,2012,2014,2017



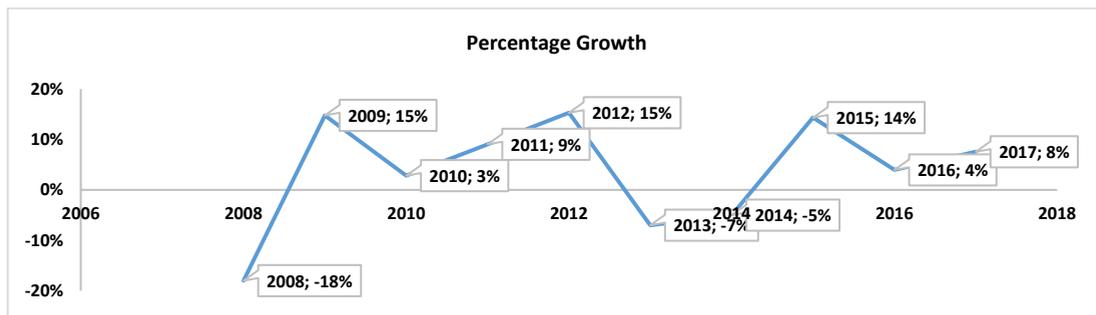
Graf.12.Trend analysis and growth rates for period's 07-17 according linear regression ⁴

¹ It's not significant.

² Author with R program.

³ Trend analysis and growth rates for receipts in money cash.

⁴ Author with R program.



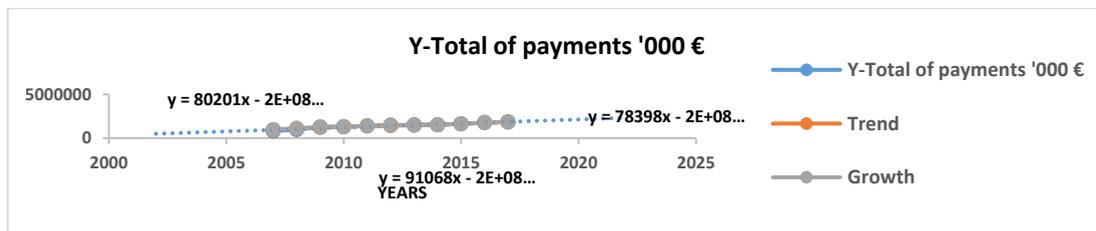
Graf.13. Percentage growth.¹

6.4. Trend Analysis and Growth Rates of the Total Payments for Periods 2007-2017

YEARS	Y-Total of payments '000 €	Trend	Growth	Percentage Growth	YEARS	Y-Total of payments '000 €	Trend	Growth	Percentage Growth
2007	801950	946347.3	961322.5		2013	1511558	1466784	1472755	2%
2008	963384	1095174	1108754	17%	2014	1510857	1512299	1515210	-5%
2009	1252348	1235188	1250811	23%	2015	1614338	1626895	1627130	6%
2010	1287524	1297067	1309388	3%	2016	1763243	1763243	1763243	8%
2011	1400461	1374817	1384992	8%	2017	1836804	1836804	1836804	4%
2012	1476073	1428656	1436769	5%					

Tab.14. Trend analysis and growth rates²

Explanation: The years that have had increased in payments (expenses) from money cash are: 2008, 2009.

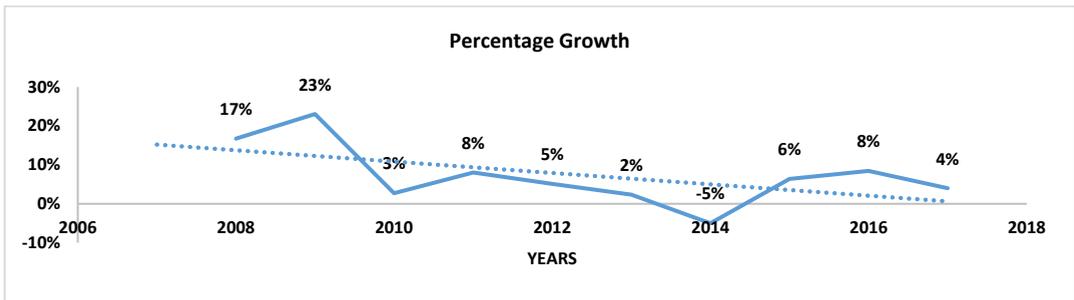


Graf.14. Trend analysis and growth rates for period's 07-17 according linear regression³

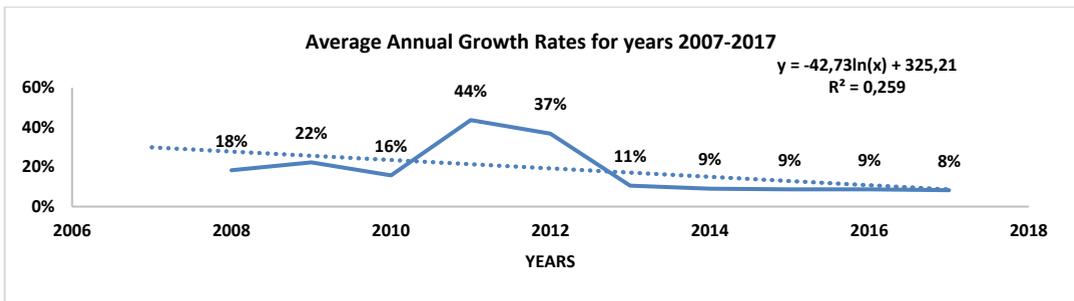
¹ Author with R program.

² Trend analysis and growth rates for payments in money cash.

³ Author with R program.



Graf.15. Percentage growth.¹



Graf.16. Average annual growth rates for years 07-17 according logarithms regression.²

VII. Conclusions and Recommendations

The financial statements have been prepared in accordance with LPFMA no. 03 / L-048, as amended by Law 03 / L-221, Law 04 / L-116, Law 04 / L / 194, Law 05 / L-063 and Law no. 05 / L-007 as IPSAS based on cash. Financial Reporting according the accounting principles based on the cash.

The notes to the financial statements form an integral part of the meaning of the statements and should be read together and in relation to the statements.

The basis of accounting and reporting in the Government of the Republic of the Kosovo according the LPFMA is the cash basis. On this basis, the information presented in these financial statements presents cash receipts and payments and the cash flow movement. Money management is organized in form of single account of Treasury. The single account of Treasury is a system of banking account which is used to collect incomes and realization of expenses, which are supervised by single institution–Treasury Department.

Cash is comprised of funds held at the Central Bank of Kosovo, commercial banks, and as the coffers of budgetary organizations and money cash equivalents.

The financial statements should be clearly identified and distinguished from other information in the same published document. The IFRS-s apply only to the financial statements, and not to any other information presented in the annual report or other document. It is therefore important that users can distinguish the information prepared using IFRSs from other information that may be useful to users.

¹ Author with R program.

² Author with R program.

The first and the main hypothesis is verified on the basis of the analysis of the data on the annual financial reports for the period 2007-2017. There is significant relationship between revenue and public expenditures. Because without revenues cannot be realized payments, projects, financing etc.

Auxiliary hypothesis is confirmed. Taxes have correlation positive with total revenue (receipts) of about 91%. Self-incomes have an important relationship with total revenue of about 68%. Grants and assistances have significant relationship with total revenue of about 52%. Borrowing has no major connection with the general revenue. Other revenues have an important relationship with total revenue of about 31%. In this hypothesis it can be noted that taxes (TAK and customs) realize the largest percentage of total revenues for the period 2007-2017.

Auxiliary hypothesis is confirmed. Operations have correlation positive with total expenses (payments) of about 92%. Transfers have an important relationship with total expenses of about 86%. Capital expenses have significant relationship with total expenses of about 47%. Other payments has no major connection with the general payments. In this hypothesis it can be noted that operations (wages and salaries, goods and services, communal services) realize the largest percentage of total expenditures for the period 2007-2017.

This research recommends that financial reporting officers impose concrete measures, to ensure that financial reports are timely executed and made public for different users of accounting information in order to make useful economic decisions.

This research recommends funding useful projects for society without government distinctions.

This research recommends making proper planning for public spending at the country level.

This research recommends that accurate financial reporting enhances the country's welfare and economic development.

This research recommends that all financial statements be accurately analyzed and to improve the findings in the coming years.

Bibliography

- [1] IPSAS Adoption and Quality of Financial Reporting in the Nigerian Public Sector, Erin Olayinka ,Oyeleke Oyenike , Ogundele Olaoye.
- [2] Government Accounting: An Assessment of Theory, Purposes and Standards, James L. Chan.
- [3] Chan, J. L. (2006). IPSAS and Government Accounting Reform in Developing Countries. In
- [4] Evelyn Lande & J.-C. Scheid (Eds.), *Accounting Reform in the Public Sector: Mimicry, Fad or Necessity* (pp. 31-41): Comparative International Government. Accounting Research,
- [5] *International Journal of Accounting Research*, Lourdes Souza M*, Moreira Souza SCS, Molinari M, Ramos A and Velloso BP, Federal University of Santa Catarina, Brazil.
- [6] *Theories of Public Expenditure*, Erick Baltazary.
- [7] Donaldson, L., & Davis, J. H. (1991). Stewardship theory or agency theory: CEO governance and shareholder returns. *Australian Journal of Management*,
- [8] *The Analysis of the Influencing Factors of Budget Absorption*, Erlina, Ari Saputra, Iskandar Muda, Faculty Economics and Business, Universities Sumatera Utara.
- [9] *Multiple linear regression model of inflation rate in Sudan*, Elsiddiq, Idriss Mohamed Idriss, Department Of Statistics, Tabuk University Kingdom of Saudi Arabia.
- [10] *International Accounting Standards (IAS)*.
- [11] Adams, R.A. (2010). *Public sector accounting and finances*. Lagos. Corporate Publishers Venture.
- [12] *International Financial Reporting Standards*.
- [13] *International Accounting Standard 1- Description of Financial Statements*.
- [14] Hassan, M. M. (2013). *Debates on accrual accounting in the public sector: A discrepancy between practitioners and academicians*. Seventh Asia Pacific Interdisciplinary .Research in Accounting Conference
- [15] Atuilik, W. A. (2013). *The relationship between the adoption of International Public Sector*
- [16] *Accounting Standards (IPSAS) by governments and perceived levels of corruption*. Doctorate dissertation, Capella University, USA.
- [17] Heald, D. (2003). *The global revolution in government accounting*. *Journal of Public Money and Management*
- [18] *Overcoming Incrementalism: Budget Reforms and Budget Allocations in Chile*, Philipp Krause.

- [19] Annual financial report for period: 2007,2008,2009,2010,2011,2012,2013,2014,2015,2015,2016,2017.
- [20] <https://www.ifrs.org/>
- [21] <https://www.icaew.com>
- [22] <https://www.cfainstitute.org>
- [23] <https://mf.rks-gov.net>
- [24] www.worldbank.com

What Kind of Teacher Opens Facilitating Ways for Purposeful Learning?

Lokman Coskun

Lecturer at Beder University College

Abstract

For being a good teacher, a comprehensive outlook on both teaching materials and students' expectations seems to be an effective way, since this outlook might reflect the required characteristics of a good teacher through which the students can gain access to intended outcomes of the lesson. But what kind of teachers might have this outlook and what are their manifest characteristics? In this aspect, the intentional teachers are able to engender intended outcomes of the lessons, since these respective teachers consider the outcomes and prepare the lessons in accordance with the students' expectations for making it a success. Because the teachers play important role in order to make the lesson happen with the aid of their personal approaches/thoughts through which purposeful learning occurs. Intentional teachers have control over their actions and the lesson is under their responsibility and also according to Slavin (2017, p.6), the "intentional teachers constantly think about the outcomes they want for their students and about how each decision they make moves children toward those outcomes". Actually, teachers as the facilitator of the lessons and everything should be under their control for positive outcomes. As research methodology, literature review was used in this educational study. The researcher is of the opinion that the intentional teacher creates the learning opportunities for students smoothly and making a natural learning atmosphere through which both teacher and students are likely to show tendency for facilitating teaching/learning activity purposefully, since learning does not occur by force and it happens by students' enthusiasm. Evidently, intentional teacher prepares the respective students in accordance with the expectations of the students and takes this inspiration from the approach of John Dewey, since he emphasized the role of the teacher as a facilitator.

Keywords: comprehensive outlook, intentional teacher, facilitator, characteristics, outcomes, enthusiasm

Introduction

Teachers have important role for teaching, guiding and equipping the students with relevant strategies, methods and motivation, since teaching/learning is known as purposeful activity. Therefore, the teachers need to process this activity with intentionality and they also need the following characteristics in order to put into practice the teaching, guiding and equipping accordingly.

Slavin (2017) gives emphasis on the characteristics of intentional teacher as follows through which the students can acquire their own: awareness towards their respective learning processes, required time to process new concepts and skills, devotion for their mental energy to learning with the aid of motivation, need for enhancing long-term memory with the aid learning strategies and engaging in active learning, practicing for gaining automaticity in basic skills, need for organized information to have access to new concepts, need for effective study strategies and relevant opportunities to use them, need for facilitation about previously learnt concepts and new ones and need for having diminished mental interferences such as avoiding from learning easily confused topics at the same time.

Students need awareness towards their respective learning processes

Students' awareness help them have attention, interactions, meaningfulness and motivation towards the learning materials. In this regard, Lutz & Huit, (2003, p. 3-7) state that "attention does facilitate the integration and transfer of the information being attended, but it is impacted by many factors including the meaningfulness of the new stimulus to the learner" Actually, the "stimulus information is processed at multiple levels simultaneously (not serially) depending on characteristics, attention and meaningfulness".

At the same time, awareness can create attention through which the students can focus on the main points. Awareness can cause them to have positive social relations with the respective students and teachers. Awareness can help the students to figure out the meaningfulness of the particular lesson. Awareness can bring about motivation through which they can benefit from the outcomes of the lessons, since the lessons are under the control of an intentional teacher.

With the aid of awareness as above-mentioned, the students are able to stay with the respective teacher and with the particular learning materials. Concerning this point, Steiner (2014) states that "self-awareness is generally seen as an inwardly focused evaluative process in which individuals use reflection to make self-comparisons to reality and the feedback of others", it "results in implicitly creating a feedback loop that is critical to monitoring and controlling behavior" and also it "suggests that individuals who are more cognizant of how they are perceived by others are better at incorporating information from others into their self-appraisals and, ultimately, into their behavior" (Steiner, 2014).

Students need time to process new concepts and skills

Teachers always keep in mind that "how one learns, acquires new information, and retains previous information guides selection of long-term learning objectives and methods of effective instruction" (Lutz & Huitt, 2003, p. 1). Also, they are aware that information process does not occur in double quick time.

Each student processes information differently, for each student has different personality. To some extent, processing information reflects students' level of understanding. For someone it takes much time, for the latter it takes short time to comprehend the intended information. Therefore, whenever the respective teachers teach new concepts and expect from the students to learn new skills, they need to consider to give ample time to the students for absorbing the particular information. Because "the more deeply information is processed, the more that will be remembered" and also agree that "the more connections to a single idea or concept, the more likely it is to be remembered" (Lutz & Huitt, 2003, p. 7-8). At the same time, they need to know that as stated (How do I Improve), "intellectually challenging activities stimulate dendrite growth, which adds neural connections in the brain. The brain modifies itself to accommodate learning challenges regardless of age".

Concerning this point, the teachers also need to structure the instructions in order to create more connections, since "there are means of structuring instruction, though, that can incorporate the best of all of these ideas, and in order to help students reach higher-level thinking and learning skills" (Lutz & Huitt, 2003, p. 10).

Students need to devote their mental energy to learning with the aid of motivation

Lutz & Huitt, (2003) give emphasis on associations in the mental dictionary, they state "their associations to one another represent concepts" (Lutz & Huitt, 2003, p. 17). Herein, associations stand for the related connections between the words that focus on the same topics. Because the connections amongst the words reflect meaningful pictures between the information with one another, since meaningful and related concepts can do those pictures.

The students are likely to use their mental energy well/smoothly, if they have known relevant concepts in a particular topic. Actually, sensitively selected concepts that reflect the target topic might help the students to use their mental energy in a righteous way for learning. In this endeavor, those concepts are likely to keep the respective students on the track of learning with expected motivation.

Therefore, the more the teachers are aware of the relevant concepts, the more they will make connections between the concepts and the particular topic. The more the students have known the concepts of particular topic, the more they are likely to be motivated towards learning topic. It can be said that righteous/relevant concepts can open ways for better motivation towards positive outcomes of the lesson through relevant concepts.

Students need to enhance long-term memory with the aid of learning strategies and engaging in active learning

In relation to long term memory, the scientists focus on both the repetition of a new experience and practice; since this repetition "causes neural firing across synapses between nerve cells" and the "practice makes the bonds between surrounding cells increasingly stronger and gets more neurons involved" and as a result of this, the "whole network of neurons taking part in remembering the skill, word, or event" or concepts (How do I Improve).

Therefore, the teachers need to consider learning strategies which engender students' actively engagement in learning particular topic. Firstly, the teachers can help students to "improve their long term memory by participating in activities that

they enjoy and recollecting such memories through quizzes and games” and secondly, teachers need to keep in mind that “long term memory can also be improved through different tasks and activities related to the concept to be learned, and also by connecting field trips and other experiences to subject content” (How do I Improve).

Students need practice for gaining automaticity in basic skills

As mentioned in the proverb: ‘practice is the best teacher’. So that, if more practice is done in the same activity, that can make ways for automaticity in learning. Because “automaticity is the ability to do things without occupying the mind with the low level details that are required; this is usually the result of learning, repetition, and practice” (Automaticity in Language teaching).

At the same time, Lutz & Huitt (2003, p. 4) emphasized the “automaticity allows attention to be redirected to other information or stimuli and allows for the ability of multi-tasking without distracting totally from the acquisition of new information”. Therefore, the respective students might have opportunities for acquiring other new information; since they will use less effort for the learnt information and they will use their remaining effort for learning new information. Like this, they are likely to gain basic skills such as; devoting their efforts towards learnt information through practice and due efforts towards new information.

Students need organized information to have access to new concepts

People need organization everywhere in order to classify the stuffs smoothly and put them in order and also to reach them accordingly. This happens even in a small market. In this regard, our brain works in organized fashion like a computer. In case, we need information, we need to have resort to various relevant files in the brain in order to retrieve information for any usage, since this organization can facilitate any finding again.

Organization information opens ways for easy access to the students. Therefore, the respective teachers are aware of how important the organized information for delivering a good instruction and making the learning materials understandable. Because a new topic includes new concepts that are in need of organization for better comprehension. The teachers never forget that as Alderman (2014) emphasized, they need to give their time and efforts in order to store information in organized fashion for the good access and search of the students.

Students need effective study strategies and relevant opportunities to use them

The teachers need to focus on semantic memories of the students through which the students are likely to learn study strategies and use the facts on the ground accordingly. Semantic memory stands for that it is “the central focus of most current study because it houses the concepts, strategies and other structures that are typically used for encoding new information” (Lutz & Huitt, 2003, p. 6). It “is a system for receiving, retaining, and transmitting information about meaning words, concepts and classification of concepts” (Tulving, 1972, p. 402). Also, it “deals with general, abstract information and can be recalled independently of how it was learned” (Lutz & Huitt, 2003, p. 6).

With the aid of semantic memory, the students are able to use the facts on the ground, since they can remember the facts they have already learned and tested and they can put into practice the basic information in their jobs and also more importantly they will be knowing the world around them. Therefore, without semantic memory people cannot know real life matters such as how birds fly, what color is the sea, what a book is, what a computer is etc. (Beasley, 2018).

Students need facilitation about previously learnt concepts and new ones

As John Dewey mentioned that teacher is a facilitator that stands for creating more learning opportunities for students in order to make learning occur, since expected guidance from the respective “teacher is likely to give a big hand to the students to use all their capacities through which they are able to find out their weak and strong points. At the same time, they will be aware of using their freedom for expressing themselves in learning environment” (Coskun, 2016, p. 65).

Also “John Dewey used the word the teacher as facilitator meaning that the particular teacher has the role of making learning process easier and also directing learning activity overall. Both role causes actively participating of the students towards learning” materials (Coskun, 2016, p. 61).

Like that, the teachers are not only able to channelize the students towards learning materials but also help the students find the atmosphere very helpful for learning and try to learn both old and new relevant concepts accordingly. So that,

facilitating and monitoring role of the teacher might give positive contributions to learning both mentioned concepts. Because facilitating role will open the ways for explaining the concepts in accordance with the understanding level of the students and monitoring role will help students in terms of doing relevant exercises in the class or assigning relevant homework later on.

Students need diminished mental interferences

Interference constantly occurs in learning process. It happens knowingly or unknowingly. But what is the interference in learning? Shrestha (2017) explains as; "interference theory refers to the occurrence of interaction between new learned material and past behavior, memories or thoughts that cause disturbance in retrieval of the memory. Based on the disturbance caused in attempts to retrieve past or latest memories".

Respective teachers focus on how this disturbance in retrieval of the memory happens? This is natural outcomes of learning process. During this process, the students are likely to have interaction between new learned materials and old learned materials. In this regard, the teachers constantly consider relevant class activities, tests, quizzes and other types of practice in order to reduce interferences through which they can diminish mental interferences of their students.

Conclusion

Teaching and learning process includes methods, strategies, motivation etc. But first and foremost, the enthusiasm of both teacher and students appear as a must, because without enthusiasm, teaching/learning does not occur. Intentional teacher can offer this opportunity towards the respective students in the lessons.

The researcher is of the opinion that purposeful learning is the main focus of the intentional teacher. Because that main focus creates the learning opportunities for students smoothly and making a natural learning atmosphere positively through which both teacher and students are likely to show tendency for facilitating teaching/learning, since learning does not occur by force and it happens by students' enthusiasm. Evidently, intentional teacher prepares the respective students in accordance with the expectations of the students and takes this inspiration from the approach of John Dewey, since he emphasized the role of the teacher as a facilitator.

References

- [1] Alderman, J. (2014). "Information: What Is It? How Is It Organized?" *Beginning Library & Information Systems*.
- [2] Automaticity in Language Teaching & Learning. (n.d.). Retrieved April 10, 2019, from [https://sites.educ.ualberta.ca/staff/olenka.bilash/Best of Bilash/automaticity.html](https://sites.educ.ualberta.ca/staff/olenka.bilash/Best%20of%20Bilash/automaticity.html)
- [3] Beasley, N. (2018, June 20). Why Semantic Memory Is Important. Retrieved April 10, 2019, from <https://www.betterhelp.com/advice/memory/why-semantic-memory-is-important/>
- [4] Coskun, L. (2016). Is the teacher a facilitator or a monitor? *Beder Journal of Education Sciences*, 12, 61-67.
- [5] How do I Improve Long Term Memory in Students? (n.d.). Retrieved April 8, 2019, from <https://k12teacherstaffdevelopment.com/tlb/how-do-i-improve-long-term-memory-in-students/>
- [6] Lutz, S., & Huitt, W. (2003). Information processing and memory: Theory and applications. *Educational Psychology Interactive*, 1-17.
- [7] Shrestha, P. (2017, November 17). Proactive and Retroactive Interference. Retrieved April 17, 2019, from <https://www.psychestudy.com/cognitive/memory/proactive-retroactive-interference>
- [8] Slavin, R. E. (2017). *Educational Psychology-Theory and Practice* (12th ed.). New York, NY: Pearson.
- [9] Steiner, P. (2014, August 19). The Impact of the Self-Awareness Process on Learning and Leading. Retrieved April 2, 2019, from <https://nebhe.org/journal/the-impact-of-the-self-awareness-process-on-learning-and-leading/>
- [10] Tulving, E. (1972). Episodic and semantic memory. *Organization of memory*, 1, 381-403.

Literature Review of Renewable Energy Policies and Impacts

Tarek Safwat Kabel

PhD student in Economics, Department of Economics and International Studies, University of Buckingham, MK18 1EG, UK

Mohga Bassim

Lecturer in Economics, Department of Economics and International Studies, University of Buckingham, MK18 1EG, UK

Abstract

By 2017, 128 countries have adopted renewable energy support policies, compared to just 48 countries in 2005. These policies played a crucial role in helping countries to shift from conventional energy to renewable energy by overcoming the barriers facing the development of renewable energy. This paper reviews the studies, which outlined the policies used by different governments to support the development of renewable energy, which includes: Tax incentives, Loans, Feed-in tariff, and Renewable portfolio standard. The literature review covers different studies that examined the impacts of renewable energy on economic growth, job creation, welfare, CO₂ emissions, electricity prices, and fuel imports. Researches have used different methodological approaches, different periods, and different countries to examine the impacts of renewable energy. The studies found that the policies used were essential to shift to renewable energy substantially reduced carbon emission, and the majority concluded that renewable energy has a positive correlation with economic growth, job creation and welfare

Keywords: renewable policy, Feed-in Tariff (FiT), impacts, economic growth, CO₂ emissions. **JEL Classification Codes:** Q42, Q43, Q48

1. Introduction

In the past decade, many countries have planned to shift from traditional energy to renewable energy, but this has faced different barriers. Several studies highlighted the importance of relying on supportive policies for renewable energy. For example, Ciarreta, Espinosa, & Pizarro-irizar (2017) argue that currently, without supportive policies, renewable technologies cannot compete against conventional energy technologies. According to a recent report by REN21 (2018), 128 countries have implemented renewable energy regulatory policies by 2017. There are many support policies such as feed-in tariffs, renewable portfolio standards, quota systems, tax credits, and competitive tenders (UNEP, 2012).

According to various studies, feed-in tariff is the most common renewable energy policy that is used by different countries to support the deployment of renewables (Grover & Daniels, 2017; Jenner, Groba, & Indvik, 2013; Wang & Cheng, 2012). IRENA (2018) shows that feed-in tariffs (FITs) and feed-in premiums (FIPs) played a significant role in supporting renewable energy projects around the world by offering a stable income to generators and improve the returns of renewable energy projects. According to REN21 (2018), The number of countries using feed-in tariff and premiums was 113 in 2017, up from only three in 1990.

The studies used different periods, different models and different countries to examine the impacts of renewable energy consumption on economic growth, job creation, CO₂ emissions, welfare, electricity prices, and fuel imports (Garrett-peltier, 2016; Kahia, Kadria, & Aissa, 2016; Mathews & Xin, 2018; Rahman, Khan, Mustafa, & Ullah, 2017). According to a study by IRENA (2016) when doubling the renewable energy share in the final global energy mix, the global GDP is projected to grow in 2030 between 0.6% and 1.1% , if the reduction of CO₂ emissions is one of the essential impacts of increasing renewable energy.

Renewable energy created 9.8 million jobs in 2016 around the world, with an increase of 1.1 percent from 2015. Countries leading in renewable energy jobs were China, Brazil, the United States, India, Japan, and Germany. Out of the 4.5 million

jobs in renewable energy that exist in Asia, 3.6 million work in the sector in China. In Brazil the number of jobs in renewable energy reached 876,000, in Europe 1.2 million, and 61,000 in Africa (Gioutsos & Ochs, 2017). EEA (2017) shows that the EU ranked fifth in terms of the share of renewable energy jobs per capita in the labour force.

2. Renewable energy policies

In order to support renewable energy, many countries are pursuing policies which played a critical role in encouraging investment in renewable energy (Rennkamp, Haunss, Wongsa, Ortega, & Casamadrid, 2017). Rennkamp et al. (2017) pointed out that China's renewables growth is due to implementing a number of government policies. According to Donastorg, Renukappa, & Suresh, (2017), at least 164 countries have renewable energy policy targets, and to achieve these targets it must depend on dedicated policies. Different studies have confirmed the importance of dedicated policies in supporting renewable energy development. For example, Donastorg et al. (2017) showed that these policies play a crucial role in promoting innovation in renewable energy technologies, which reduces costs and thus increases their competitiveness against traditional energy. The major renewable energy policies include tax incentives, loans, feed-in tariffs, and renewable portfolio standards.

2.1 Financial incentives

Ciarreta et al. (2017) define financial incentives for renewable energy as incentives offered to make renewable energy systems or equipment more accessible by decreasing the financial burden for purchasing. Also, Cox (2016) reveals the importance of financial incentives to overcome the barriers facing the growth of renewable energy. In addition, financial incentives reduce the risk associated with investment in renewable energy projects (Hogg & Regan, 2010).

Governments worldwide have used financial incentives to encourage renewable energy use. According to Cox (2016), at least 48 countries have developed financial incentives to support the development of renewable energy in 2015. Several EU governments provide financial incentives for renewable energy. Financial incentives include tax incentives, loans, or feed-in tariff (UN Environment, 2017).

2.1.1 Tax incentives

To encourage the growth of renewable energy worldwide, governments have used a range of tax incentives (Clement, Lehman, Hamrin, & Wiser, 2005). IISD (2014) points out that governments prefer tax incentives over subsidies to encourage investment in renewable energy because these incentives increase the profitability of renewable energy projects by decreasing the tax liabilities of project development. Furthermore, Lantz & Doris (2009) conclude that the tax incentives that support renewable energy development played an important role in supporting energy goals, economic growth, and energy security. In the same regard, Abolhosseini & Heshmati (2014a) referred to the role that tax incentives play in reducing conventional energy consumption. The major forms of tax incentives are tax deductions, tax exemption, and tax credit (Fowler & Breen, 2014). For example, China used tax incentives to promote electricity generation from renewable energy; these incentives such as tax refunds, rebates on taxes, and the tax exemptions (Ben Hagan, 2015).

According to Ogunlana & Goryunova (2016), the United States became the first country to provide tax incentives for renewable energy. During the period from 1978 to 2012, the United States issued several laws containing various types of incentives, aimed at encouraging energy producers to shift from traditional energy production to renewable energy production (Harrison, 2015). Tax credit is one of the tax incentives that the United States provide to households or corporate taxpayer to support the deployment of renewable energy (Anwar & Mulyadi, 2011). These incentives encourage people to consume renewable energy in return for granting them a tax credit. Tax credits can reduce the difference between the purchase price and the cost of generation (Loiter & Norberg-bohm, 1999). (Abolhosseini & Heshmati, 2014b) considers that tax credit can help to support renewable energy, especially in countries that suffer from the absence of competitiveness in traditional sources of energy.

Dippenaar (2018) investigated the impact of tax incentives on the business decision in South Africa regarding investment in renewable energy and energy efficiency projects. The study found that there are factors other than tax incentives that affect the decision to invest in renewable energy projects and that companies view tax incentives as an ineffective way of changing their environmental behaviour. Consumers benefit from tax incentives by reducing the upfront costs of renewable energy projects.

2.1.2 Loans

Different governments encourage local banks to finance renewable energy by using different forms of financing (IRENA, 2013). By the end of 2016, around 100 countries compared to 17 countries in 2005 used Public investments, loans, and grants as an incentive to shift from conventional energy to renewable energy (IRENA & CPI, 2018).

For example, in Thailand, they established a revolving loan funds (RLFs) to encourage financial institutions to finance renewable energy projects. This scheme allows banks to borrow money at zero percent interest rate. The banks offer these funds to renewable energy projects; the maximum interest rate on loan is likely to be 4% for a maximum loan period of seven years. (Beerepoot, Laosiripojana, Sujakulnukij, Tippichai, & Kamsamrong, 2013). The United States government offers different types of loan programs designed to overcome the barriers facing renewable energy financings such as higher interest rates, and higher capital cost. These loans programs such as low-interest rates, longer amortisation, low hassle and administrative fees, unsecured loans aimed to increase investment in renewable energy (Fowler & Breen, 2014).

Singh (2015) shows that loans programs can play an essential role in financing an investment gap for renewable energy in India. According to Shrimali et al., (2014) government of India offer a lower interest rate loans for renewable energy projects compared to commercial debt. Currently, Indian Banks can lend up to a limit of INR 150 million (\$2.15 million) to renewable energy projects (Fowler & Breen, 2014).

In order to support the development of renewable energy industries, local governments in China provided low-interest loans (Wallace, n.d.). Ernst & Young (2014) highlights that corporate collateralised loans are a widespread financing vehicle in China for wind and solar projects. Hussain(2013b) argues that dependence on loans reduces market participants and does not necessarily encourage financing high-quality projects.

2.1.3 Feed-in tariff (FIT)

Many studies have demonstrated that feed-in tariff (FIT) is the most common renewable energy policy that is used by different countries to support the development of renewable energy. Haselip (2011) points out that feed-in tariff has played a crucial role in encouraging investment in electricity generation through renewable energy in developed countries, because (FIT) reduce the financial risk associated with individual projects. Nicolini & Tavoni (2017) Show that an increase in feed-in tariff by 1 percent contributes to a growth in incentivised renewable production of 0.4 percent -1percent.

Christoph, Rivers, Rutherford, & Wigle (2012) investigate the employment impacts of renewable energy policies in the Canadian province of Ontario using a computable general equilibrium model. The results suggest that feed-in tariff (FIT) will create a direct job related to manufacturing and operation. Hejazi, Shakouri G, Sedaghat, & Mashayekhi (2016) used a System Dynamics model to estimate the impact of a feed- in tariff scheme on the development of renewable energy in Iran. The study indicates that during the short term there will be a temporary growth period because of the amount of initial funding, which was allocated when implementing feed-in tariff.

Dijkgraaf, Dorp, & Maasland (2014) assessed the impact of (FIT) policies on the development of photovoltaic solar cells (PV) in 30 OECD member countries using Panel data estimations for the period from 1990 to 2011. The results suggested that feed-in tariff (FIT) policies have a positive impact on the evolution of a country's share of PV in the electricity mix.

The Indonesian government has adopted feed-in tariffs in 2012 (Damuri & Atje, 2013). These schemes differ by technology and installed capacity (Beerepoot et al., 2013). Yuliani (2016) assess the feed-in tariff policy in Indonesia. The study reveals that different barriers are facing the development of renewable energy, which makes it challenging to transfer from conventional to renewable energy in developing countries such as Indonesia.

According to IEA (2013), the German feed-in-Tariff is a successful one, and other countries should benefit from this experience in introducing a FIT supporting mechanism to support the development of renewable energy. Germany defined feed-in tariff scheme in 1990 when the tariff law was introduced, which obliged electricity distributors to purchase electricity produced by renewable energy sources at high prices compared to traditional energy sources (Shokri & Heo, 2012). In the same regard, Hitaj, Schymura, & Löschel (2014) investigate the effects of FIT policy in Germany for renewable power on wind power investment by using the counterfactual analysis between 1996 and 2010. Their results show that feed-in tariff played a notable role in supporting wind power development.

2.2 Renewable Portfolio Standard (RPS)

Renewable Portfolio Standard (RPS) is another incentive that different governments are using to support the development of renewable energy. It is a scheme that requires energy suppliers to provide a specified amount of their electricity portfolio from renewable sources (LCA, 2006). This requirement can be imposed on consumers, retail sellers or producers (de Jager et al., 2011). Renewable Portfolio Standard Play a role in encouraging renewable energy generators to enter the market by increasing the price that the generator will receive when generating electricity from renewable sources (Johnson, 2014).

According to Shrimali, Jenner, Groba, Chan, & Indvik (2012), Renewable Portfolio Standard policies are one of the significant political forms for support of renewable power generation in the United States. Thirty states have Renewable Portfolio Standards (RPSs) to support renewable energy generation (Upton Jr. & Snyder, 2017). Several studies have tested the impacts of state Renewable Portfolio Standard policies on CO₂ emissions. For example, M.Bento, Garg, & Kaffine (2018) analysed the impacts of Renewable Portfolio Standards in the United States, and the results show that increase in the RPS has positive effects on considerable resources booms or emissions savings but not both, because the RPS can be met by increasing renewable production or decreasing fossil production. Wiser et al. (2016) show that Renewable Portfolio Standard policies in the United States reduced Greenhouse Gas Emissions (GHGEs) and air pollution, water pollution, creating additional green jobs. The result of the study testified that in 2013 environmental benefits saved \$7.4 billion in the United States. Young & Bistine (2018) argue that future natural gas prices impact powerfully on the effectiveness of Renewable Portfolio Standards due to its reduced CO₂ emissions.

According to Xin-gang, Yu-zhuo, Ling-zhi, Yi, & Zhi-gong (2017), the most common renewable energy policies to encourage the deployment of renewable energy sources are Feed-In Tariff (FIT) and Renewable Portfolio Standard (RPS). Different studies have compared Feed-In Tariff (FIT) and Renewable Portfolio Standard (RPS) policies. For example, García-Álvarez, Cabeza-García, & Soaresc (2017) investigated the impact of the feed-in tariff and Renewable Portfolio Standard policies on onshore wind power for 28 European countries for the period 2000-2014, using an empirical evaluation. The results indicated that FIT policies only have significant effects on onshore wind installed capacity. A similar analysis by Sun & Nie (2015) shows that feed-in tariff is more efficient than Renewable Portfolio Standard at increasing renewable generating capacity, and Renewable Portfolio Standard policy is substantially more efficient at reducing CO₂ emissions and enhancing the consumer surplus.

3. Impacts of renewable energy

3.1 Impact on economic growth

For the OECD regions, Inglesi-lotz (2015) used a Pedroni cointegration test to investigate the effect of renewable energy consumption on the economic conditions over the period 1990-2010. The analysis shows that a 1 % increase of renewable energy consumption will increase GDP by 0.105% and GDP per capita by 0.100%, while a 1 % increase of the share of renewable energy to the energy mix of the countries will increase GDP by 0.089% and GDP per capita by 0.090%. (Shafiei, Salim, & Cabalu, 2013) Examined the effects of renewable and non-renewable energy consumption on economic growth for selected OECD countries. The study was conducted over a period between 1980 and 2011. The study shows that there is bidirectional causality between economic growth and both renewable and non-renewable energy consumption in the short- and long run. They concluded that non-renewables are still the major source of energy in the process of economic growth.

Several studies have used the Auto-Regressive Distributed Lag (ARDL) approach to examine the relationship between renewable energy consumption and economic growth. For example, Maji (2015) examined the long run relationship between clean energy indicators and economic growth in Nigeria by employing the ARDL approach. The study indicates that alternative and nuclear energy are significant and negatively related to economic growth. The study suggests that Nigeria should develop renewable energy sources, and highlights the absence of an independent legal and institutional framework responsible for renewable energy. Taghvaei et al., (2017) investigated the relationship between economic growth and energy consumption in Iran for the period from 1981–2012 using the Auto-Regressive Distributed Lag (ARDL) model. The study concluded that renewable energy is ineffective in the economic growth of Iran. They suggested that the Iranian government should formulate policies to increase the consumption of renewable energy, especially as low fossil fuel prices discourage the development of renewable energy.

Khobai & Roux (2017) investigated the causal relationship between renewable energy consumption and economic growth in South Africa. The study incorporates carbon dioxide emissions, capital formation and trade openness as additional

variables to form a multivariate framework. It covered the period from 1990 to 2014 using quarterly data. The researchers used an Autoregressive distributed lag (ARDL) approach to explore the long run relationship among the variables and the Vector Error Correction model (VECM) to determine the direction of causality between the variables. The findings of the study suggested that a growth hypothesis in the long run and conservation in the short run.

S. Silva, Soares, & Pinho (2012) investigated the impact of the increasing share of renewable energy sources for generating electricity on Gross Domestic Product (GDP) and carbon dioxide (CO₂) emissions. By using a three variable SVAR model for a sample of four countries (Holland, Portugal, Spain, and the USA) in efforts to invest in renewable energy in the previous years, although they represent relatively different levels of economic growth, social and economic structures. Over the period 1997–2006, it finds that for Holland, Portugal and Spain, rising renewable energy sources on electricity generation had economic costs in terms of GDP per capita and decline in CO₂ emissions per capita. While in the USA, the RES support can be least costly. The study recommended the Danish, Portuguese and Spanish governments to use other policies that could play a role in achieving environmental goals at the least cost, such as demand-side management and energy conservation. On the other hand, Dees & Auktor (2017) showed that renewable electricity generation has a significant and positive effect on economic growth in the MENA region, using a neoclassical growth function that contains capital, labour, and energy use as additional input factors. The study suggested that MENA countries intensify the current policy towards renewable energy because investment in renewable energy sources is beneficial to the region.

Bhattacharya et al. (2016) analysed the impact of renewable energy consumption on the economic growth in 38 top renewable energy consuming countries in the 1991 to 2012 period using panel estimation techniques. The long-run output elasticities suggested that renewable energy consumption has a significant positive relationship on the economic output for 57 percent of the chosen countries.

Ohlan (2016) reveals that while the non-renewable energy consumption has a long run significant positive impact on India's economic growth, the long-run elasticity indicate that there is a statistically insignificant relation between renewable energy consumption and economic growth in the 1971-2012 period.

3.2 Impact on job creation

Different studies compared the job creation impacts of investing in renewable energy to investing in fossil fuels. Haerer & Pratson (2015) estimate that the natural gas, solar, and wind industries, in the United States added about 220,000 new jobs, while the coal industry lost more than 49,000 jobs during 2008 - 2012 by using input-output model. Within the same context, Garrett-Peltier (2017) shows that energy efficiency and renewable energy industries create almost three times as many jobs as fossil fuels industries, at the same level of spending. The study finds that every \$1 million spent on fossil fuels created an average of 2.65 full-time-equivalent jobs, while that same amount of spending on renewable energy would create 7.49 or 7.72 full-time-equivalent jobs. DOE (2017) concluded that the solar industry in the United States employs more people than coal in the Electric Power Generation sector. In 2016, solar energy employed about 374000 people that made up 43% of the Electric Power Generation workforce, while the traditional fossil fuels employed 187,117, making up only 22 % of the workforce.

Bulavskaya & Reynès (2017) argue that creating power using renewable energy sources is more valuable to the national economy than producing it with fossil fuels, because wind and solar power generation is more intensive in capital and labour than fossil power plants but less intensive in energy. The study finds that the transition to renewable energy in the Netherlands will create approximately 50,000 new jobs by 2030 and add about 1 percent of GDP. This positive effect is due to higher labour and capital intensity of the wind and solar technologies, compared to gas and coal plants. Due to low oil prices and oversupply, jobs in the fossil fuel industry have continued to be shed, more than 440,000 jobs have gone during 2015 and 2016 (IRENA, 2017b).

Several studies use various methodologies to estimate employment generated by renewable energy. GIZ (2012) estimated that 2,500 direct jobs generated within the framework of national sustainable energy programmes, for Tunisia using an adjusted Input-Output-Analysis from 2005-2010. P. P. Silva (2013) used input-output to estimate the impact of renewable energy development on employment in Portugal. The results indicate that the deployment of renewable energy sources technologies has significant employment benefits. Markandya et al. (2016) estimated that 530,000 new jobs created between 1995 and 2009 because of shifting away from the more carbon-intensive sources, to gas and renewables, by using a multi-regional input-output model and the world input-output database. In this regard, A recent study by Mu, Cai,

Evans, Wang, & Roland-holst (2018) shows that per 1 TW h expansion of solar PV and wind power would create up to 45.1 thousand and 15.8 thousand, respectively, direct and indirect jobs in China, by using Computable General Equilibrium (CGE) model.

Pestel (2014) argues that green energy policy can have positive and negative employment impacts, creating additional green jobs, but it would crowd out investment-induced employment in other sectors. This negative impact comes when subsidies to electricity generation from renewable energy sources are financed by labour taxes (Böhringer, Keller, & Werf, 2013). To estimate the employment effect of renewable energy, we must take into account both gross employment and net employment. Gross employment refers to the sum of positive employment impacts resulting from investments in renewable energy and does not account for any loss in employment in other sectors. Net employment accounts for both positive and negative impacts (IRENA, 2011).

IRENA (2011) suggests that the government should formulate policies to encourage employment creation associated with renewable energy that aimed at developing and deploying renewable energy, taking into account the associated opportunity costs and balance them against the expected benefits. Blazejczak *et al.* (2014) also highlight the importance of labour market policies to support the development of renewable energy sources. Net employment impacts of renewable energy development strongly rely on labour market conditions.

According to IRENA (2017a), the number of renewable energy jobs globally could increase to 24 million by 2030. By 2050, the renewable energy sector could create about 25 million jobs globally. New job creation in renewables and energy efficiency would be more than the job losses in the traditional energy sector (IRENA, 2017b).

3.3 Impact on CO₂ emissions

According to a study by EEA (2017), the share of renewable energy in total energy consumption in the EU rose to 16.7 percent in 2015, from 15 percent in 2013. This allowed a gross reduction of 436 Mt CO₂ emissions, accounting for 10 percent of the total GHGs emitted by the EU in 2015. In the EEA (2018), further improvements are seen in 2016 and 2017 and the share climbed up to 17 and expected 17.4 respectively leading to reductions of 460 Mt and 499 Mt of CO₂. EU-wide renewable energy target of a minimum of 20% at 2020 and 32 % of gross final consumption by 2030.

IEA (2017) shows that the amount of global carbon dioxide (CO₂) emitted from the energy sector have not changed since 2014 reaching 32.1 gigawatts in 2016, despite the global economy grew by 3.1 percent. This was the effect of rising renewable power generation, shifts from coal to natural gas, and improvements in energy efficiency. The U.S., carbon dioxide emissions, declined by 160 million metric tons, although the economy grew by 1.6 percent. IEA (2018) however, shows that carbon dioxide (CO₂) related to global energy emissions rose by 1.6% in 2017 and is expected to continued growth in 2018. This is not in line with the climate goal to reduce air pollution, which is causing premature deaths for millions of people each year.

Shafiei & Salim (2014) investigate the determinants of CO₂ emissions using Stochastic Impacts by Regression on Population, Affluence, and Technology (STIRPAT) model on OECD countries over 1980-2011 periods. They find that nonrenewable energy consumption raises CO₂ emissions, while renewable energy consumption reduces CO₂ emissions. Bilgili, Koçak, & Bulut (2016) also show a negative impact of renewable energy consumption on CO₂ emissions. The study indicates the importance of implementing short term-midterm policies and long-term policies to increase the production and consumption of renewable energy sources. Similarly, Ito (2016) find for 31 developed countries that consumption of renewable energy decreased CO₂ emissions, using panel data for the period from 1996 to 2011.

Khanalizadeh, Khoshnevis, & Mastorakis (2014) use the ARDL approach to examine the relationship between CO₂ emissions, economic growth and renewable energy consumption, non-renewable energy consumption and population in Iran for the period from 1975-2011. The results show that the variables are cointegrated. Moreover, there is a long-run relationship between CO₂ emissions and GDP. BUŞU & BUŞU (2017) investigate the impact of renewable energy consumption, total population, and urbanisation on CO₂ emission using a time series cross-sectional multiple linear regression analysis with panel data for the EU countries for ten years. The study states that the population growth and levels of urbanisation have a positive impact on CO₂ emissions, while renewable energy has a negative impact on the level of CO₂ emissions. EU countries should increase the share of renewable energy by using public policy, while population growth and level of urbanisation should come with more restriction regarding CO₂ emissions.

Few studies were investigating the impact of renewable energy on CO₂ emissions in the MENA region. For example, Arouri et al. (2012) examine the relationship between energy consumption, real GDP, and CO₂ emissions using data of twelve MENA countries, between 1981 and 2005. They conclude that in the long-run energy consumption has a significant positive impact on CO₂ emissions. Kahia, Kadria, & Aissa (2016) assess the impact of renewable energy consumption on CO₂ emissions and the economic and financial development. They use a PVAR approach covering 24 Middle East and North African Countries (MENA) for the period from 1980 until 2012. Increasing consumption of renewable energy sources plays a critical role in reducing CO₂ emissions. The study suggests that the examined countries should implement effective support policies to increase investment in renewable energy technologies to reduce CO₂ emissions and to achieve economic growth.

Twumasi (2017) argues that it is not a necessity that increased production of renewable energy leads to a reduction in CO₂ emissions. The study shows that despite the increase in renewable energy production in the U.S. in 2009, CO₂ emissions have not decreased. The study concludes that there was a positive and significant relationship between population and CO₂ emissions and between GDP and CO₂ emissions, while there was no particular pattern between renewable energy and CO₂ emissions. Bulut (2017) shows a positive relationship for electricity production from nonrenewable energy as well as renewable energy on CO₂ emissions, using fixed parameter and time-varying parameter estimation methods in Turkey during the period from 1970 to 2013. The study suggests that the Turkish authority should implement long-term energy policies to reduce CO₂ emissions. Despite increasing renewable energy to about 30% of Germany's energy mix in 2016, CO₂ emissions did not decrease much. Germany's carbon emissions per person rose slightly in 2013 and 2015. This is because the diversity of renewable energy sources requires Germany to continue to use coal in operating its plants (Conca,2017).

According to OECD /IEA, & IRENA (2017), Renewable energy and energy efficiency will play a critical role in reducing emissions by 90 percent by 2050, while fossil fuels will reduce emissions by 10 percent. The study recommends that renewable energy sources should represent 65 percent of the total primary energy supply in 2050, compared to 15 percent in 2015.

3.4 Impact on welfare

Lotz (2013) investigates the impact of renewable energy consumption on economic welfare in all the OECD countries using panel data techniques. The study finds that renewable energy consumption has a significant positive impact on economic growth. Terrapon-pfaff, Dienst, König, & Ortiz (2014) analyzed 23 small-scale local renewable energy projects within developing countries. The result of the analysis testified that most projects have a positive impact on factors such as energy access, employment, communication and/or access to information, energy costs, and health. World Wide Fund for Nature (WWF, 2016) also provided evidence that renewable energy is an effective way to better livelihoods and health, improved education and gender balance and better learning conditions, which in turn can facilitate environmental protection.

Renewable energy can play a crucial role in reducing poverty around the world. For example, in Bangladesh, more than 3.5 million households have electricity from the solar home system since 2002. The solar home system can help poor households save kerosene costs of over \$600 million and reduce CO₂ emissions by 1.7 million tons during the 20-years of solar home system life cycle (Marro & Bertsch, 2015). Kyte (2015) shows that small-scale solar power plays a significant role in changing the lives of the poor in both Bangladesh and Macedonia. Jairaj, Deka, Martin, & Kumar (2017) highlight the importance of renewable energy for India in reducing poverty by generating jobs for poor people.

Liu (2016) examines the impact of renewable energy use on GDP growth and local rural income in a panel data framework for 31 provinces of China for the period from 2000 to 2010. The study indicates that energy consumption has a significant positive impact on income increase of rural households. In this regard, Nepal (2012) highlights the importance of renewable energy in improving access-to electricity in rural areas and reducing the dependence on conventional fossil fuels. Rahman, Khan, Mustafa, & Ullah (2017) investigated the socioeconomic and environmental impacts to the households of a far-flung village of Bajaur agency in Pakistan using house holds survey, after the installation of the solar home system. The study concluded that the solar system has positive impacts on human and physical capital of these households.

Böhringer et al. (2013) argue that subsidised electricity production from renewable energy sources (RES-E) in Germany have a little impact on employment and welfare. The study used a Computable General Equilibrium (CGE) model, and they found a negative impact on welfare and employment that will appear if labour taxes finance RES-E subsidies. Cebotari,

Cristea, Moldovan, & Zubascu (2017) compare villages with deployed renewable energy projects and villages without such project to investigate the impact of renewable energy projects on four variables evolution of employment, revenues, demographics and processed agriculture. This comparison reveals that a renewable energy project has no positive impact on any of the four variables. Private investors deploy the vast majority of renewable energy projects in urban centres.

IRENA (2016) estimates that the impact of renewable energy expansion on welfare by using Energy-Environment-Economy Global Macro-Economic (E3ME) model will be three to four times more than its impact on GDP, with global welfare set to grow by around 3.7 percent.

3.5 Impact on electricity prices

Martinez-anido, Brinkman, & Hodge (2016) analyse the influence of wind power on electricity prices using the production cost model of the ISO-NE power system. The study shows that increasing wind penetration leads to lower electricity prices and increase electricity price volatility. In the short term, the effect of wind power on volatility is more significant. Ketterer (2012) found a similar result for Germany but highlighted the risk of building new plants because of the profitability of traditional or renewable power plants is uncertain, which greatly affects the energy market and the security of supply. In Germany and Denmark, solar and wind power production have an economically significant impact (Rintamaki, Siddiqui, & Salo, 2017).

Pham & Lemoine (2015) Used GARCH model under a panel data framework to estimate the impact of the subsidised renewable electricity on spot prices in Germany. The study found that, over the period from October 2009 to December 2012, wind and solar power generation decreased the electricity spot prices and increased their volatility. The total merit order effect of renewable energy ranges from 3.86 to 8.34 €/MWh. Meneguzzo, Ciriminna, Albanese, & Pagliaro (2016) revealed the positive impact of solar PV and wind energy in Sicily on electricity price. In 2015, high penetration of renewable energy sources led the zonal electricity price in Sicily to be below the national wholesale price in Italy. Trujillo-baute, Rio, & Mir-artigues (2018) tested the impact of support schemes for electricity from renewable energy sources (RES-E) on the retail electricity prices for households and industrial consumers at the EU members over the period 2007-2013, using panel data. They indicated that renewable energy promotion costs have a positive effect and statistically significant on retail electricity prices, but this impact is relatively small compared to other variables. A 1% increase in renewable energy promotion costs non-renewable energy consumption increases the industrial, retail prices by 0.023% and an increase of 0.008% in the residential, as well as retail prices.

Paraschiv, Erni, & Pietsch (2014) find that electricity day-ahead prices in Germany dropped due to the promotion of wind and PV. Clò, Cataldi, & Zoppoli (2015) show that the rise in the hourly average of daily production from solar and wind sources by 1 GWh, resulted in a decrease of 2.3€/MWh and 4.2€/MWh respectively decrease in the wholesale electricity prices in Italy. Gulli & Balbo (2015) investigate the influence of photovoltaic energy (PV) generation on the wholesale electricity prices in Italy, using a hybrid analysis. The results indicate that photovoltaic energy growth can reduce electricity prices if combined with other influences.

Pereira, Pesquita, & Rodrigues (2017) use an ARX-GARCHX model to examine the influence of wind generation and hydro availability on the electricity price in Spain. The study applied over the period from 2007 to 2014 and finds that hydro energy availability reduces the volatility of electricity prices, while wind availability raises the volatility.

Jonathan (2015) compared the effects of four different types of renewable energy and energy efficiency DSM base, DSM peak, Solar PV, and Wind on public health and climate in six different locations within the Mid-Atlantic and Lower Great Lakes in the United States by using Environmental Policy Simulation Tool for Electrical grid Interventions (EPSTEIN) model. The study estimated that the annual benefits ranged from the US \$5.7 million to \$210 million. Abrar-ul-haq (2017) shows that solar energy in developing countries played a key role in improving the health of the population, increasing their income, improving the level of education, and improving their social life, which has improved people's ability to adapt to climate change. Gibon, Hertwich, Arvesen, Bhawna, & Verones (2017) concluded that most renewable energy projects have a positive impact on the environment and human health compared to fossil fuels, especially coal.

3.6 Impacts on fuel imports

According to Hager (2013), The growing share of wind power in the energy mix in America has reduced dependence on imported fossil fuels. Arapogianni & Moccia (2014) indicated that it is possible to reduce dependence on domestic and imported fuels by replacing energy generation from fossil fuels with wind energy, thereby reducing the cost of fuel imports and greenhouse gas emissions. Investigated the relationship between renewable energy generation and imports dynamics by using import demand equations. The study highlighted the importance of generating renewable energy for the economy in reducing its external dependence and debt by reducing import growth.

Ebinger, Banks, & Potvin (2014) estimated that Germany's shift to renewable energy in the electricity sector had saved the country €11 billion in fossil fuel imports during the period from 2009 to 2012. Valodka & Valodkienė (2015) predicted that the expansion of renewable energy in Lithuania would save 278 million euros in fuel imports per year. In 2016, Ireland managed to save about € 70 million in foreign energy imports as a result of the expansion of wind energy (IWEA, 2016).

A recent study by Mathews & Xin (2018) argues that China's shifting from conventional energy to renewable energy has not only reduced its dependence on fossil fuel imports but also expanded to increase energy security. In the same context, Richardson believes that improving trade balance and GDP can be by reducing imports of fossil fuels.

4. Conclusion

Numerous authors believed that renewable energy policies could be used to overcome the barriers facing the growth of renewable energy, which increases its competitiveness against traditional energy. The major renewable energy policies include tax incentives, loans, feed-in tariffs, and renewable portfolio standards. Tax incentives played a critical role in encouraging renewable energy investors, companies, and households to transfer from conventional energy to renewable energy. Also, loans are another supporting scheme that is used by about 100 countries to support the development of a renewable energy.

Scholars have recognised that Feed-in tariff (FIT) and renewable portfolio standard (RPS) are the most popular renewable energy policies to support the development of renewable energy. The German feed-in-Tariff has been wildly successful in promoting electricity from renewable energy sources. Different studies have tested the impacts of Feed-in tariff (FIT) policy on the deployment of renewable energy by using different models and different countries. These studies found positive impacts on the deployment of renewable energy.

By reviewing the existing research literature, there are many impacts due to the development of renewable energy, including the impacts on economic growth, job creation, CO₂ emissions, welfare, electricity prices, and fuel imports. Renewable consumption has a positive impact on economic growth in different countries. However, renewable energy can have negative impacts in some countries like Nigeria and Iran, because the absence of institutional framework and policies used to support renewable energy.

Many studies documented that the deployment of renewable energy sources generates significant direct employment in different countries. However, some studies find that there are negative employment impacts because renewable energy employment could crowd out other sectors employment. Although most studies have confirmed that renewable energy consumption leads to declines in emissions, some studies have confirmed that it is not necessarily an increase in renewable energy that leads to lower emissions. Different studies show that renewable energy plays a significant role in improving public health and the life of the poor.

References

- [1] Abolhosseini, S., & Heshmati, A. (2014a). The main support mechanisms to finance renewable. *Renewable and Sustainable Energy Reviews*, 40, 876–885.
- [2] Abolhosseini, S., & Heshmati, A. (2014b). The Main Support Mechanisms to Finance The Main Support Mechanisms to Finance Renewable Energy Development, (8182).
- [3] Anwar, Y., & Mulyadi, M. S. (2011). Income tax incentives on renewable energy industry : Case of USA , China , and Indonesia. *The Business Review Cambridge*, 17(2), 153–159.
- [4] Arapogianni, A., & Moccia, J. (2014). Avoiding fossil fuel costs with wind energy Avoiding fossil fuel costs with wind energy.

- [5] Arouri, M. E. H., Youssef, A. Ben, M'henni, H., Rault, C., Ben, A., M'henni, ... Christophe. (2012). Energy Consumption, Economic Growth and CO2 Emissions in Middle East and North African Countries. *Energy Policy*, 45, 342–349.
- [6] Beerepoot, M., Laosiripojana, N., Sujjakulnukij, B., Tippichai, A., & Kamsamrong, J. (2013). Incentives for Renewable Energy in Southeast Asia: Case study of Thailand. The International Institute for Sustainable Development (IISD), Winnipeg, Canada.
- [7] Bhattacharya, M., Reddy, S., Ozturk, I., & Bhattacharya, S. (2016). The effect of renewable energy consumption on economic growth : Evidence from top 38 countries. *Applied Energy*, 162, 733–741.
- [8] Bilgili, F., Koçak, E., & Bulut, Ü. (2016). The dynamic impact of renewable energy consumption on CO 2 emissions : A revisited Environmental Kuznets Curve approach. *Renewable and Sustainable Energy Reviews*, 54, 838–845.
- [9] Blazejczak, J., Brauna, F. G., Edler, D., & Schill, W.-P. (2014). Economic Effects of Renewable Energy Expansion: A Model-Based Analysis for Germany. *Renewable and Sustainable Energy Reviews*, 40, 1070–1080.
- [10] Böhringer, C., Keller, A., & Werf, E. Van Der. (2013). Are green hopes too rosy? Employment and welfare impacts of renewable energy promotion. *Energy Economics*, 36, 277–285.
- [11] Bulavskaya, T., & Reynès, F. (2018). Job creation and economic impact of renewable energy in the Netherlands. *Renewable Energy*, 119, 528–538.
- [12] Bulut, U. (2017). The impacts of non-renewable and renewable energy on CO 2 emissions in Turkey. *Environmental Science and Pollution Research*, 24(18), 15416–15426.
- [13] BUŞU, C., & BUŞU, M. (2017). How Does Renewable Energy Impact Carbon Emissions? An Eu Level Analysis. In 11th International Management Conference "The Role of Management in the Economic Paradigm of the XXIst Century (pp. 502–510).
- [14] Cebotari, S., Cristea, M., Moldovan, C., & Zubascu, F. (2017). Energy for Sustainable Development Renewable energy ' s impact on rural development in northwestern Romania. *Energy for Sustainable Development*, 37, 110–123.
- [15] Christoph, B., Rivers, N. J., Rutherford, T. F., & Wigle, R. (2012). Green jobs and renewable electricity policies: employment impacts of Ontario's feed-in tariff. *The BE Journal of Economic Analysis & Policy*, 12(1), 1–38.
- [16] Ciarreta, A., Espinosa, M. P., & Pizarro-irizar, C. (2017). Optimal regulation of renewable energy: A comparison of Feed-in Tariffs and Tradable Green Certificates in the Spanish electricity system. *Energy Economics*, 67, 387–399.
- [17] Clement, D., Lehman, M., Hamrin, J., & Wiser, R. (2005). *International Tax Incentives for Renewable Energy : Lessons for Public Policy*. California.
- [18] Clò, S., Cataldi, A., & Zoppioli, P. (2015). The merit-order effect in the Italian power market : The impact of solar and wind generation on national wholesale electricity prices \$. *Energy Policy*, 77, 79–88.
- [19] Cox, S. (2016). *Financial Incentives To Enable Clean Energy Deployment: Policy Overview And Good Practices* (National Renewable Energy Lab.(NREL),). United States.
- [20] Damuri, Y. R., & Atje, R. (2013). Investment Incentives for Case study of Indonesia. international institute for sustainable development(IISD).
- [21] de Jager, D., Klessmann, C., Stricker, E., Winkel, T., Erika de Visser, M. K., Corinna Klessmann, Eva Stricker, T. W., & Erika de Visser, M. K. (2011). *Financing Renewable Energy in the European Energy Market*. Utrecht.
- [22] Dees, P., & Auktor, G. (2018). Renewable energy and economic growth in the MENA region : Empirical evidence and policy implications. *Middle East Development Journal*, 1–23.
- [23] Dijkgraaf, E., Van Dorp, T. P., & Maasland, E. (2018). On the effectiveness of feed-in tariffs in the development of solar photovoltaics. *Energy Journal*, 39(1), 81–99.
- [24] Dippenaar, M. (2018). The role of tax incentives in encouraging energy efficiency in the largest listed South African businesses. *South African Journal of Economic and Management Sciences*, 21(1), 1–12.
- [25] DOE, the U. D. of E. (2017). *u.s. energy and employment report*.
- [26] Donastorg, A., Renukappa, S., & Suresh, S. (2017). Financing Renewable Energy Projects in Developing Countries : A Critical Review. *IOP Conference Series: Earth and Environmental Science*, 83(1).
- [27] Ebinger, C., Banks, J. P., & Potvin, J. (2014). Transforming the Electricity Portfolio Lessons from Germany and Japan in Deploying Renewable Energy. *The Energy Security Initiative*, (September).

- [28] EEA. (2017). Renewable energy in Europe 2017 Recent growth and knock-on effects. European Environment Agency, Luxembourg.
- [29] EEA (2018). Renewable energy in Europe - 2018 Recent growth and knock-on effects, EEA Report No 20/2018, European Environment Agency, Luxembourg.
- [30] Ernst & Young. (2014). Capitalizing on China's renewable energy opportunities. Ernst & Young, China.
- [31] Ferroukhi, R., Lopez-Peña, A., Kieffer, G., Nagpal, D., Hawila, D., Khalid, A., ... Fernandez, A. (2016). Renewable Energy Benefits: Measuring the Economics. International Renewable Energy Agency (IRENA), Abu Dhabi.
- [32] Fowler, L., & Breen, J. (2014). Political Influences and Financial Incentives for. *The Electricity Journal*, 27(1), 74–84.
- [33] Garcia-Álvarez, M. T., Cabeza-García, L., & Soaresc, I. (2017). Analysis of the promotion of onshore wind energy in the EU_ Feed-in tariff or renewable portfolio standard? *Renewable Energy*, 111, 256–264.
- [34] Garrett-peltier, H. (2016). Green versus brown : Comparing the employment impacts of energy e ffi ciency , renewable energy , and fossil fuels using an input-output model. *Economic Modelling*, (November), 0–1. <http://doi.org/10.1016/j.econmod.2016.11.012>
- [35] Garrett-Peltier, H. (2017). Green versus brown: Comparing the employment impacts of energy efficiency, renewable energy, and fossil fuels using an input-output model. *Economic Modelling*, 61, 439–447.
- [36] Gibon, T., Hertwich, E. G., Arvesen, A., Bhawna, S., & Verones, F. (2017). Health benefits , ecological threats of low-carbon electricity. *Environ. Res. Lett.*, 12.
- [37] Gioutsos, D., & Ochs, A. (2017). Policy Brief The Employment Effects of Renewable Energy Development Assistance. Brussels.
- [38] Grover, D., & Daniels, B. (2017). Social equity issues in the distribution of feed-in tariff policy benefits: A cross sectional analysis from England and Wales using spatial census and policy data. *Energy Policy*, 106, 255–265.
- [39] Gulli, F., & Balbo, A. Lo. (2015). The impact of intermittently renewable energy on Italian wholesale electricity prices : Additional bene fits or additional costs ? *Energy Policy*, 83, 123–137.
- [40] Haerer, D., & Pratson, L. (2015). Employment trends in the U . S . Electricity Sector , 2008 – 2012. *Energy Policy*, 82, 85–98.
- [41] Hager, J. (2013). Wind Energy Benefits.
- [42] Harrison, B. (2015). Expanding the renewable energy industry through tax subsidies using the structure and rationale of traditional energy tax subsidies. *University of Michigan Journal of Law Reform*, 48(3), 845–877.
- [43] Haselip, J. A. (2011). FIT for use everywhere? Assessing experiences with renewable energy feed-in tariffs (Technology Transfer Perspectives Series). Denmark.
- [44] Hejazi, M. M., Shakouri G. H., Sedaghat, S., & Mashayekhi, A. N. M. (2016). Evaluation of Feed-in Tariff policy effects on sustainable development of renewable energies in Iran : A System Dynamics Approach. In 34th International Conference of the System Dynamics Society. Delft, Netherlands.
- [45] Hitaj, C., Schymura, M., & Löschel, A. (2014). The Impact of a Feed-In Tariff on Wind Power Development in Germany The Impact of a Feed-In Tariff on Wind Power Development in Germany (No. 14–035 The). Germany.
- [46] Hogg, K., & Regan, R. O. (2010). Renewable energy support mechanisms : an overview, 41–47.
- [47] Hussain, M. Z. (2013). Financing renewable energy Options for Developing Financing Instruments Using Public Funds. Washington DC.
- [48] IEA. (2013). Energy Policies of IEA Countries Germany. Paris.
- [49] IEA finds CO2 emissions flat for third straight year even as global economy grew. (n.d.).
- [50] IEA (2018) World Energy Outlook, Executive Summary OECD/IEA, International Energy Agency Website: www.iea.org
- [51] IISD. (2014). Public Finance for Renewable Energy in China: Building on international experience. Manitoba.
- [52] Inglesi-lotz, R. (2016). The Impact of Renewable Energy Consumption to Economic Growth: A Panel Data Application. *Energy Economics*, 53, 58–63.
- [53] Inglesi-Lotz, R. (2016). The impact of renewable energy consumption to economic growth: A panel data application. *Energy Economics*, 53, 58–63.
- [54] IRENA. (2013). Practical Policies for Financing Renewable Energy Action Plan Investments Renewable Power Investments Required in South East Europe (IRENA Executive Strategy Workshop on Renewable Energy in South East Europe Background Paper Topic B).

- [55] IRENA. (2017a). Renewable Energy and Jobs Annual Review 2017. Abu Dhabi.
- [56] IRENA. (2017b). RENEWABLE ENERGY BENEFITS : UNDERSTANDING THE SOCIO-ECONOMICS.
- [57] IRENA. (2018). Renewable Energy Policies in a Time of Transition. IRENA, OECD/ IEA and REN21.
- [58] IRENA, & CPI. (2018). Global landscape of renewable energy finance. Abu Dhabi.
- [59] IRENA, I. R. E. A. (2011). Renewable Energy Jobs :Status, Prospects & Policies.
- [60] Ito, K. (2016). CO2 emissions, renewable and non-renewable energy consumption, and economic growth: evidence from panel data for developed countries. *Economics Bulletin*, 36(1), 553–559.
- [61] IWEA, I. W. E. A. (2016). Irish Wind Energy Association - Indigenous Wind Energy Saved Ireland €70 Million in Energy Imports Since January.
- [62] Jairaj, B., Deka, P., Martin, S., & Kumar, S. (2017). Can Renewable Energy Jobs Help Reduce Poverty in India? World Resources Institute, India. Retrieved from <https://www.wri.org/sites/default/files/can-renewable-energy-jobs-reduce-poverty-india.pdf>
- [63] Jenner, S., Groba, F., & Indvik, J. (2013). Assessing the strength and effectiveness of renewable electricity feed-in tariffs in European Union countries. *Energy Policy*, 52, 385–401.
- [64] Johnson, E. P. (2014). The cost of carbon dioxide abatement from state renewable portfolio standards. *Resource and Energy Economics*, 36(2), 332–350.
- [65] Kahia, M., Kadria, M., & Aissa, M. S. Ben. (2016). What impacts of renewable energy consumption on CO2 emissions and the economic and financial development? A panel data vector autoregressive (PVAR) approach. In 7th International Renewable Energy Congress (IREC) (pp. 1–6).
- [66] Ketterer, J. C. (2012). The Impact of Wind Power Generation on the Electricity Price in Germany (Ifo working paper No. 143).
- [67] Khanalizadeh, S., Khoshnevis, Y., & Mastorakis, N. (2014). Renewable , Non-Renewable Energy Consumption , Economic Growth and CO2 emission : Evidence for Iran, 399–404.
- [68] Khobai, H., & Roux, P. Le. (2017). Does renewable energy consumption drive economic growth: Evidence from Granger-causality technique (MPRA Paper).
- [69] Kyte, R. (2015). World Bank_ clean energy is the solution to poverty, not coal _.
- [70] Lantz, E., & Doris, E. (2009). State Clean Energy Policies Analysis (SCEPA): State Tax Incentives State Clean Energy Policies Analysis (SCEPA): State Tax Incentives. National Renewable Energy Lab.(NREL), United States.
- [71] LCA, L. C. A. (2006). Analysis of a renewable portfolio standard for the state of North Carolina. La Capra Associates, Inc., Boston.
- [72] Lehr, U., Mönning, A., Missaoui, R., & Marrouki, S. (2012). Renewable energy and energy efficiency in Tunisia – employment , qualification and economic effects. Internationale Zusammenarbeit (GIZ) GmbH, Tunis.
- [73] Liu, W. (2016). Is renewable energy effective in promoting local economic development ? The case of China. *Journal of Renewable and Sustainable Energy*, 8(2).
- [74] Loiter, J. M., & Norberg-bohm, V. (1999). Technology policy and renewable energy : public roles in the development of new energy technologies. *Energy Policy*, 27, 85–97.
- [75] Lotz, R. I.-. (2013). The Impact of Renewable Energy Consumption to Economic Welfare : A Panel Data Application Roula Inglesi-Lotz (Department of Economics Working Paper Series No. 2013–15).
- [76] M.Bento, A., Garg, T., & Kaffine, D. (2018). Emissions reductions or green booms? General equilibrium effects of a renewable portfolio standard. *Journal of Environmental Economics and Management*, 90, 78–100.
- [77] Maji, I. K. (2015). Does clean energy contribute to economic growth ? Evidence from Nigeria. *Energy Reports*, 1, 145–150.
- [78] Markandya, A., Arto, I., González-eguino, M., & Román, M. V. (2016). Towards a green energy economy ? Tracking the employment effects of low-carbon technologies in the European Union. *Applied Energy*, 179.
- [79] Marro, P., & Bertsch, N. (2015). Making renewable energy a success in Bangladesh: Getting the business model right (ADB South Asia Working Paper Series No. 41).
- [80] Martinez-anido, C. B., Brinkman, G., & Hodge, B. (2016). The impact of wind power on electricity prices. *Renewable Energy*, 94, 474–487.
- [81] Mathews, J., & Xin, H. (2018). China's green energy revolution has saved the country from catastrophic dependence on fossil fuel imports.

- [82] Meneguzzo, F., Ciriminna, R., Albanese, L., & Pagliaro, M. (2016). The remarkable impact of renewable energy generation in Sicily onto electricity price formation in Italy. *Energy Science and Engineering*, 4(3), 194–204.
- [83] Mu, Y., Cai, W., Evans, S., Wang, C., & Roland-holst, D. (2018). Employment impacts of renewable energy policies in China : A decomposition analysis based on a CGE modeling framework. *Applied Energy*, 210(May 2017), 256–267.
- [84] Nepal, R. (2012). The roles and potentials of renewable energy in less-developed economies. *Renewable and Sustainable Energy Reviews*, 16(4), 1–21.
- [85] Nicolini, M., & Tavoni, M. (2017). Are renewable energy subsidies effective ? Evidence from Europe. *Renewable and Sustainable Energy Reviews*, 74, 412–423.
- [86] OECD, /IEA, & IRENA. (2017). Perspectives for the Energy Transition Investment Needs for a Low-Carbon Energy System.
- [87] Ogunlana, A. O., & Goryunova, N. N. (2017). Tax Incentives for Renewable Energy : The European Experience. *The European Proceedings of Social & Behavioural Sciences (EpSBS)*, 19(Lifelong Wellbeing in the World (WELLSO 2016)).
- [88] Ohlan, R. (2016). Renewable and Non-Renewable Energy Consumption and Economic Growth in India, 1–18.
- [89] Paraschiv, F., Erni, D., & Pietsch, R. (2014). The impact of renewable energies on EEX day-ahead electricity prices. *Energy Policy*, 1–15.
- [90] Pereira, J., Pesquita, V., & Rodrigues, P. M. M. (2017). The effect of hydro and wind generation on the mean and volatility of electricity prices in Spain. In *European Energy Market (EEM), 2017 14th International Conference* (pp. 1–8). IEEE.
- [91] Pestel, N. (2014). Employment effects of green energy policies Does a switch in energy policy toward more renewable sources create or destroy jobs in an industrial country ? (IZA Policy Paper No. 76).
- [92] Pham, T., & Lemoine, K. (2015). Impacts of subsidized renewable electricity generation on spot market prices in Germany: evidence from a garch model with panel data (CEEM Working Paper 2015-15).
- [93] Rahman, S. U. R., Khan, M. I., Mustafa, U., & Ullah, A. (2017). Role of Solar Energy in Improving the Livelihood of Rural Household: A Case Study of Bajaur Agency (Working Paper presented at March 27, 2017). Pakistan Institute of Development Economics, Islamabad.
- [94] REN21. (2018). Renewables 2018 global status report.
- [95] Rennkamp, B., Haunss, S., Wongsa, K., Ortega, A., & Casamadrid, E. (2017). Competing coalitions : The politics of renewable energy and fossil fuels in Mexico, South Africa and Thailand. *Energy Research & Social Science*, 34, 214–223.
- [96] Rintamaki, T., Siddiqui, A. S., & Salo, A. (2017). Does Renewable Energy Generation Decrease the Volatility of Electricity Prices? An Analysis of Denmark and Germany. *Energy Economics*, 62(2017), 270–282.
- [97] Shafiei, S., & Salim, R. A. (2014). Non-renewable and renewable energy consumption and CO2 emissions in OECD countries: A comparative analysis. *Energy Policy*, 66, 547–556.
- [98] Shafiei, S., Salim, R. A., & Cabalu, H. (2013). The nexus between energy consumption and economic growth in oecd countries: a decomposition analysis. In *Australian Conference of Economists*. (pp. 1–24).
- [99] Shokri, A., & Heo, E. (2012). Energy Policies to promote Renewable Energy Technologies ; Learning from Asian Countries Experiences. In *Conference: International Association for Energy Economics* (pp. 1–10). Kyoto.
- [100] Shrimali, G., Goel, S., Srinivasan, S., & Nelson, D. (2014). Solving India ' s Renewable Energy Financing Challenge : Which Federal Policies can be Most Effective ? *Climate Policy Initiative& The Indian School of Business*.
- [101] Shrimali, G., Jenner, S., Groba, F., Chan, G., & Indvik, J. (2012). Have State Renewable Portfolio Standards Really Worked?Synthesizing Past Policy Assessments to Build an Integrated Econometric Analysis of RPS Effectiveness in the U.S. (DIW Berlin Discussion Papers No. 1258). Berlin.
- [102] Silva, P. P. (2013). Employment effects and renewable energy policies : applying input-output methodology to Portugal. *International Journal of Public Policy*, 9(3).
- [103] Silva, S., Soares, I., & Pinho, C. (2012). The Impact of Renewable Energy Sources on Economic Growth and CO2 Emissions - a SVAR approach. *European Research Studies*, XV(special issue on Energy), 133–144.
- [104] Singh, R. (2015). India ' s renewable energy targets : How to overcome a \$ 200 billion funding gap. *Renewable Energy Focus*, 16(4), 60–61. Retrieved from <http://dx.doi.org/10.1016/j.ref.2015.09.002>

- [105] Sun, P., & Nie, P. (2015). A comparative study of feed-in tariff and renewable portfolio standard policy in renewable energy industry. *Renewable Energy*, 74, 255–262. Retrieved from <http://dx.doi.org/10.1016/j.renene.2014.08.027>
- [106] Taghvaei, V. M., Shirazi, J. K., Boutabba, M. A., & Aloo, A. S. (2017). Economic Growth and Renewable Energy in Iran. *Iran. Econ. Rev.*, 21(4), 789–808.
- [107] Terrapon-pfaff, J., Dienst, C., König, J., & Ortiz, W. (2014). A cross-sectional review : Impacts and sustainability of small-scale renewable energy projects in developing countries. *Renewable and Sustainable Energy Reviews*, 40, 1–10. Retrieved from <http://dx.doi.org/10.1016/j.rser.2014.07.161>
- [108] Trujillo-baute, E., Río, P. del, & Mir-artigues, P. (2018). Analysing the impact of renewable energy regulation on retail electricity prices. *Energy Policy*, 114(October 2017), 153–164.
- [109] Twumasi, Y. (2017). Relationship between CO2 Emissions and Renewable Energy Production in the United States of America. *Archives of Current Research International*, 7(1)(March).
- [110] UN Environment. (2017). *Renewable Energy and Energy Efficiency in Developing Countries: Contributions to Reducing Global Emissions Second Report* (Vol. 2). Retrieved from http://edgar.jrc.ec.europa.eu/news_docs/onegigatonreport_2016.pdf
- [111] UNEP. (2012). *Feed-in Tariffs as a Policy Instrument for Promoting Renewable Energies and Green Economics in Developing Countries*.
- [112] Upton Jr., G. B., & Snyder, B. F. (2017). Funding Renewable Energy: An Analysis of Renewable Portfolio Standards. *Energy Economic*, 66, 205–216.
- [113] Valodka, I., & Valodkienė, G. (2015). The Impact of Renewable Energy on the Economy of Lithuania. *Procedia - Social and Behavioral Sciences*, 213, 123–128.
- [114] Wallace, C. W. (n.d.). *Renewable Energy in China Renewable Energy Policy in China : Financial Incentives Renewable Energy Policy in China : Financial Incentives*.
- [115] Wang, K. M., & Cheng, Y. J. (2012). The Evolution of feed-in tariff policy in Taiwan. *Energy Strategy Reviews*, 1(2), 130–133.
- [116] Wisner, R., Barbose, G., Heeter, J., Mai, T., Bird, L., Bolinger, M., ... Millstein, D. (2016). A Retrospective Analysis of the Benefits and Impacts of U . S . Renewable Portfolio Standards.
- [117] WWF. (2016). *WWF CASE STUDIES ON ENERGY ACCESS SUSTAINABLE LIVELIHOODS : The World Wide Fund for Nature(WWF),Switzerland*.
- [118] Xin-gang, Z., Yu-zhuo, Z., Ling-zhi, R., Yi, Z., & Zhi-gong, W. (2017). The policy effects of feed-in tariff and renewable portfolio standard_ A case study of China's waste incineration power industry. *Waste Management*, 68, 711–723.
- [119] Young, D., & Bistline, J. (2018). The costs and value of renewable portfolio standards in meeting decarbonization goals. *Energy Economics*, 73, 337–351.
- [120] Yuliani, D. (2016). Is feed-in-tariff policy effective for increasing deployment of renewable energy in Indonesia ? (WIDER Working Paper 2016/59 No. 2016/59).

The Relationships of Contextual Performance with Person-Organization Fit, Perceived Organizational Prestige and Organizational Identity Strength: the Mediating Role of Organizational Commitment

Hatem Öcel Collen

Abstract

The primary purpose of this paper is to investigate whether affective, normative and continuance commitment mediates the relationships between person-organization fit, perceived organizational prestige, organizational identity strength and contextual performance. Contextual performance does not contribute through the organization's core technical process but it does maintain the broader organizational, social and psychological environment in which the technical core must function (Borman and Motowidlo, 1993). They said that "contextual performance includes activities that promote the viability of the social and organizational network and enhance the psychological climate in which the technical core is embedded; activities such as helping and cooperating with others; following organizational rules and procedures even when personally inconvenient; endorsing, supporting and defending organizational objectives; persisting with extra enthusiasm when necessary to complete own task successfully; and volunteering to carry out task activities that are not formally part of the job" (Borman and Motowidlo, 1993). Such growth in the number of studies addressing to determining which factors affect the contextual performance. In this studies conscientiousness (Kamdar and Van Dyne, 2007), job satisfaction (Bowling, 2010; Crede, Chernyshenko, Bagraim and Sully, 2009), organizational justice and emotional intelligence (Devonish and Greenidge, 2010), perceived external prestige and affective commitment (Carmeli, 2005) was examined. Carmeli emphasized that employees who hold strong affective commitment are more likely to be involved in organizational citizenship behavior than employees possessing weak affective commitment. Muhammad (2014) also pointed out that when employee received an organizational support from his/her own organization this might be working as an impulsion for his/her organizational behaviors. In addition, it would be reasonable to analysis cause effect of person-organization fit, oragnizational identity strength, and perceived organizational prestige on organizational commitment and contextual performance.

Keywords: relationship, contextual, performance, person-organization, organization, prestige, organizational, identity strength, mediating, role, organizational, commitment

Introduction

Person-organization fit is defined as compatability between characteristics of the people such as personality, values, goals, and those of the organization such as culture, values goals and norms (Ostrof, Shin and Kinicki, 2005). They maintain that when individuals' values are consistent with the organization's values as defined by the manager, interpersonal interactions, cognitive processing of information, and communication are facilitated, thereby leading to more positive work attitudes. Arthur and colleaqes considered person-organization fit as a criteria of the personel sellection processing. The results indicate that person-organization fit is good predictor of job performance and turnover behavior (Arthur, Bell, Doverspike, Villado, 2006). On the other hand, it could be thought organizational identity strength also has an effect on the contextual performance. Mainly organizational identity strength taken in hand as the extent to which individual member's identity perceptions are widely held and deeply shared (Kreiner and Ashforth, 2004). Organization members use an organization's image which is the way they believe others see the organization, to deliberate how outsiders are judging them. The organizational identity strength construct is theoretically distinguishable from the concept of organizational identity because, whereas an organization's identity captures the essential features believed to be central, enduring, and distinctive of an organization (Albert and Whetten, 1985), organizational identity strength reflects the degree to which its members perceive the identity as being special or unique (Milliken, 1990). Each member's own construal of the organization's external image may or may not match the reputation of the organization in the minds of outsiders (Dutton, Dukerich and Harquail, 1994). There have been no studies of a direct relationship between organizational identity strength and contextual performance.

According to Ostrof and colleagues when the employee have strength organizational identity they will display positive work behaviors (Ostrof, Shin and Kinicki, 2005). From this point, the study includes organizational identity strength as well. The last variable that examine effect on the contextual performance is perceived organizational prestige. Organizational prestige is the feelings of members about outsiders' perceptions of the organization. Members' identification is sensitive to how they think outsiders view the organization. While the perceived organizational identity is a member's assessment of the organization's character, construed external image refers to a member's beliefs about outsiders' perceptions of the organization. The construed external image provides more than just information about the probable social evaluation of the organization. Carmeli (2005) indicated that perceived external prestige and citizenship behaviors will be mediated by affective commitment. Perceived external prestige seems to have a larger effect on employee affective commitment.

Organizational commitment is affective attachment to the organization, perceived costs associated with leaving the organization, and obligation to remain with the organization (Meyer and Allen 1991). In short organizational commitment to be composed of three parts. These are affective commitment, normative commitment and continuance commitments. According to Meyer and Allen (1991), affective commitment indicates that an employee is committed to the organization for emotional reasons. The people working in the workplace have a strong affective commitment continue to stay in an organization because they want to do so. Continuance commitment refers to an awareness of the costs associated with leaving from the organization. Workers have a high level of continuance commitment remain because they need to do so. Finally, normative commitment reflects a feeling of obligation to continue to work. The employees feel high level of normative commitment they ought to remain with the organization (Meyer and Allen, 1991). When the employees feel organizational commitment to the organization they will display voluntarily more positive social behavior for the organization and they want to be continue to work for the organization. In another words they will be willing to show extra role behaviors on the positive side or the negative one. In fact recent meta-analytic evidence has reported commitment to predict a wide range of job attitudes such as turnover intention, citizenship behaviors etc. (Cooper-Hakim and Viswesvaran, 2005; Meyer et al., 2002).

From this perspective, the aim of the present study was to determine the mediator role of organizational commitment in the relationship between person-organization fit, perceived organizational prestige, organizational identity strength and contextual performance. Accordingly, the following hypothesis is suggested:

Hypothesis 1: The relationship between person-organization fit, perceived organizational prestige, organizational identity strength and contextual performance will be mediated by the affective commitment.

Hypothesis 2: The relationship between person-organization fit, perceived organizational prestige, organizational identity strength and contextual performance will be mediated by the normative commitment.

Hypothesis 3: The relationship between person-organization fit, perceived organizational prestige, organizational identity strength and contextual performance will be mediated by the continuance commitment.

Method

Participants

A total of 190 questionnaires were distributed to academic staff at Karabük University. The participants aged between 22 and 56 years old (\bar{X} =33.15, ss=7.71) and the tenure of the participants changed between 1 and 20 years (\bar{X} =3.20, ss= 3.95). Respondents were 57 female (% 30) and 132 male ((% 69.5) and the rest of them did not mentioned about the marital status.

Materials

Demographic Information Form. In this study demographic information form was used for collecting data about participants' age, sex, marital status, academic position in a university (professor, lecturer, assistant professor etc.) and tenure.

Contextual Performance Scale. This 5-point Likert type scale developed by Borman and Motowidlo (1993). It was translated in Turkish by Karakurum (2005) using 5 items of 11. 5-point scale rangin from never to always. The internal reliability alpha score was found .80 for Turkish sample (Karakurum, 2005).

Organizational Commitment Scale. The scale, 7-point Likert type was developed by Allen and Meyer (1990) consisting 24 items. The scale has three subscales identified as affective commitment, normative commitment and continuance

commitment. In the present study, the Cronbach Alpha scores for affective commitment, normative commitment and continuance commitment were .84, .82 and .70, respectively (Wasti, 2003).

Person-Organization Fit Scale. To determine how similar values there are between employees and their organizations and colleagues the person-organization fit scale was used (Cable and Judge, 1996). This 5-point Likert type scale was adapted to Turkish by Karakurum (2005) have 3 items (“My values match those of current employees in organization”) and ranging from 1=not at all to 5= completely. The resulting internal consistency estimate for the three-item scale was .84 (Karakurum, 2005).

Perceived Organizational Prestige. This scale was developed to measure of the perceived organizational prestige (Mael and Ashforth, 1992). Perceived Organizational Prestige Scale consists of 8 items (This organization does not have a good reputation in my community). Each item is rated between 1 to 5 (1 = Strongly agree; 5= Strongly disagree). The scale was adapted in Turkish by Güleriyüz (2010) and coefficient alpha was found .77.

Organization Identity Strength. Organizational identity strength was measured with Kreiner and Ashforth’s (2004) four-item scale (“This organization has a clear and unique vision”). Each item is rated between 1 to 5 (1 = Strongly disagree; 5= Strongly agree). The scale was adapted in Turkish by Güleriyüz (2010) and internal consistency of the scale was .86.

Procedure

All questionnaires were administered to the participants in their rooms.

Table 1. Correlations, means and standart deviations

	1	2	3	4	5	6	7	8	9	10
1.Age										
2.Gender	.25**									
3.Tenure	.44**	.17*								
4.Person-Organization Fit	.20**	.24**	.13	(.84)						
5.Örganizational Prestige	.27**	.09	.07	.60**	(.77)					
6.Örgan. Identity Strength	.20**	.04	.08	.52**	.58**	(.86)				
7.Contextual Performance	.19**	.12	.06	.47**	.52**	.49**	(.80)			
8.Affective Commitment	.35**	.25**	.22**	.64**	.65**	.58**	.60**	(.84)		
9.Normative Commitment	.28**	.24**	.14*	.59**	.50**	.51**	.48**	.73**	(.82)	
10.Continuanance Commitment	.07	.19**	.19**	.30**	.31**	.28**	.19**	.42**	.54**	(.70)
Means	33.15	-	3.20	9.93	29.26	14.69	19.15	65.64	43.68	36.17
Stand. Deviat.	7.71	-	3.95	2.80	5.88	3.18	3.76	15.89	12.66	9.21
Female 1(Mean)	30.16	-	2.19	8.91	28.40	14.43	18.43	59.47	38.96	33.38
Male 2 (Mean)	34.46	-	3.65	10.39	29.65	14.76	19.41	68.28	45.65	37.28

*p< .05, ** p< .01

Results

In this study, regression analyses were done to the test the relationships between contextual performance and person-organization fit, perceived organizational prestige, organizational identity strength. It has been performed a series of hierarchical regression analyses while controlling for the effects of age, gender, and tenure in a first step. Results showed that affective commitment and normative commitment have a mediating role in between the person-organization fit,

perceived organizational prestige, organizational identity strength and contextual performance. Provided that continuance commitment does not any mediator role in these relationships.

Table 2. Regressions Analyses for Affective, Normative and Continuance Commitment

Dependent Variable: Organizational Commitment							
Affective Commitment							
Variables	B	β	t	p	R ²	Adjusted R ²	F
Age	.57	.28	3.57**	.00			
Gender	6.38	.18	2.60**	.01	.16	.15	11.59**
Tenure	.26	.06	.84	.39			
Person-Organization Fit	3.29	.57	10.0**	.00			
Organizational Prestige	1.19	.42	6.77**	.00	.60	.59	44.84**
Organ. Identity Strength	1.12	.21	3.58**	.00			
Normative Commitment							
Age	.37	.23	2.91**	.00			
Gender	5.41	.20	2.76**	.00	.12	.10	8.14**
Tenure	.01	.00	.01	.94			
Person-Organization Fit	2.47	.55	9.10**	.00			
Organizational Prestige	.52	.24	3.30**	.00	.46	.44	25.17**
Organ. Identity Strength	.84	.20	2.95**	.00			
Continuance Commitment							
Age	-.06	-.05	-.66	.51			
Gender	3.29	.16	2.22*	.02	.06	.04	4.02**
Tenure	.43	.19	2.35*	.02			
Person-Organization Fit	.94	.29	3.97**	.00			
Organizational Prestige	.38	.24	2.75**	.00			
Organ. Identity Strength	.31	.10	1.22	.22	.18	.15	6.56**

*p< .05, **p< .01

Table 3. Regression Results Involving Affective Commitment as a Mediator

Variables	β	t	R ²	R ² chang.	F
-----------	---------	---	----------------	-----------------------	---

Step 1			.04	.04	2.93*
Age	.09	2.27*			
Gender	.69	1.14			
Tenure	-.02	-.36			
Step 2			.36	.32	16.57**
Age	.01	.51			
Gender	.22	.43			
Tenure	-.01	-.24			
Person-Organization Fit	.23	2.18*			
Organizational Prestige	.19	3.70**			
Organ. Identity Strength	.24	2.66**			
Step 3			.42	.06	17.98**
Age	-.00	-.03			
Gender	-.10	-.20			
Tenure	-.04	-.71			
Person-Organization Fit	.10	.98			
Organizational Prestige	.11	2.04*			
Organ. Identity Strength	.14	1.60*			
Affective Commitment	.08	4.14**			

*p < .05, **p < .01

Table 4. Regression Results Involving Normative Commitment as a Mediator

Variables	β	t	R^2	$R^2_{chang.}$	F
Step 1			.04	.04	2.93*
Age	.09	2.27*			
Gender	.69	1.14			
Tenure	-.02	-.36			
Step 2			.36	.32	16.57**
Age	.01	.51			
Gender	.22	.43			
Tenure	-.01	-.24			
Person-Organization Fit	.23	2.18*			
Organizational Prestige	.19	3.70**			

Organ. Identity Strength	.24	2.66**			
Step 3			.38	.02	15.49**
Age	.00	.24			
Gender	.04	.08			
Tenure	-.01	-.26			
Person-Organization Fit	.14	1.27			
Organizational Prestige	.17	3.31**			
Organ. Identity Strength	.19	2.10*			
Normative Commitment	.06	2.46*			

*p < .05, **p < .01

Table 5. Regression Results Involving Continuance Commitment as a Mediator

Variables	β	t	R ²	R ² _{chang.}	F
Step 1			.04	.04	2.93*
Age	.09	2.27*			
Gender	.69	1.14			
Tenure	-.02	-.36			
Step 2			.36	.32	16.57**
Age	.01	.51			
Gender	.22	.43			
Tenure	-.01	-.24			
Person-Organization Fit	.23	2.18*			
Organizational Prestige	.19	3.70**			
Organ. Identity Strength	.24	2.66**			
Step 3					
Age	--	--	--	--	--
Gender					
Tenure					
Person-Organization Fit					
Organizational Prestige					
Organ. Identity Strength Continuance Commitment					

* $p < .05$, ** $p < .01$

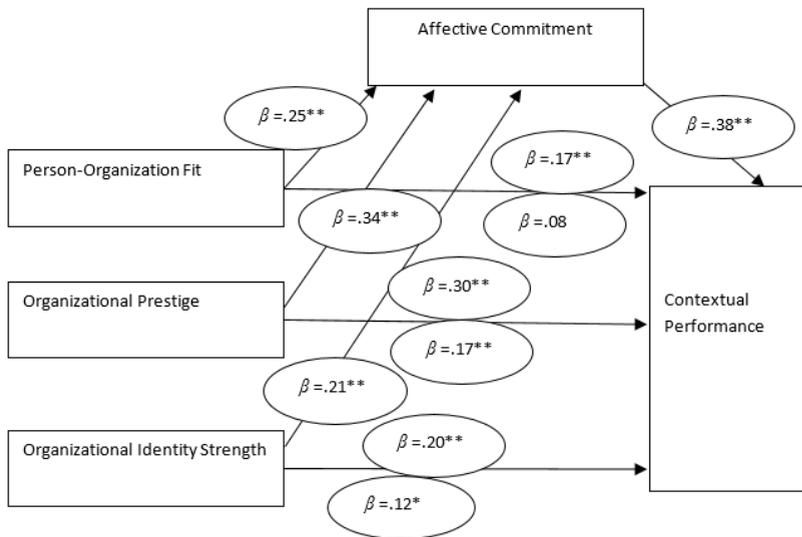
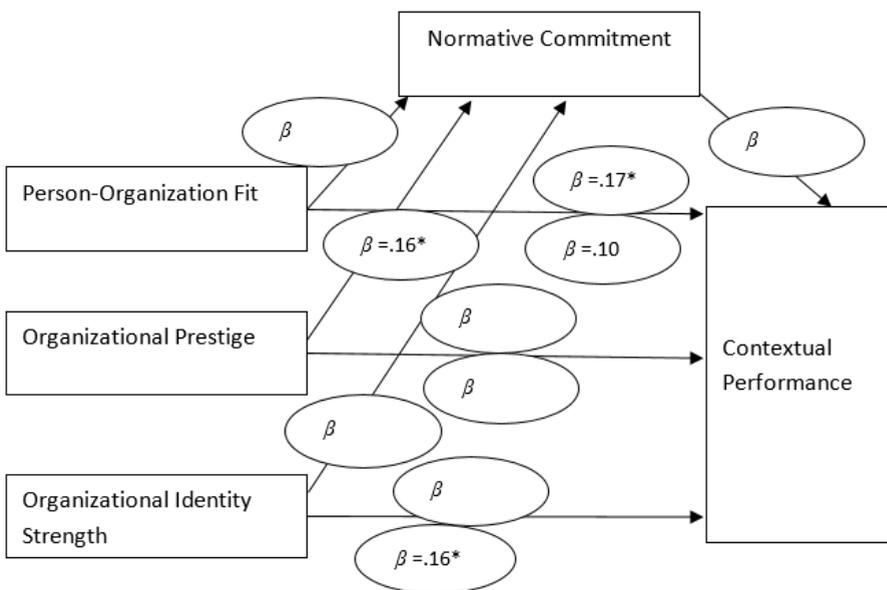


Figure 1. Mediating effects of affective commitment on the relationship between person-organization fit, organizational prestige, organizational identity strength and contextual performance. * $p < .05$, ** $p < .01$



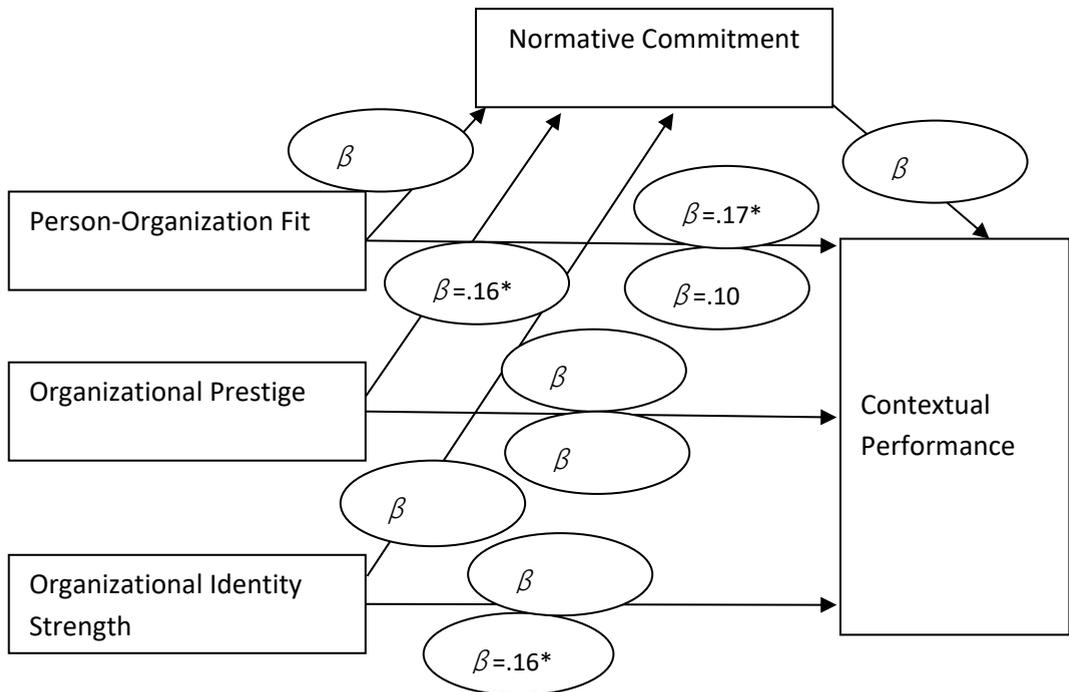


Figure 2. Mediating effects of normative commitment on the relationship between person-organization fit, organizational prestige, organizational identity strength and contextual performance. * $p < .05$, ** $p < .01$

Discussion and Limitations

In the present study it has been studied the mediator role of organizational commitment in the relationship between person-organization fit, perceived organizational prestige, organizational identity strength and contextual performance.

The results of the study showed that perceived organizational prestige predict contextual performance. According to Dutton and Dukerich organizational image fosters the identification of an employee with his/her organization (Dutton and Dukerich 1991; Dutton et al. 1994). An employee is likely to develop a strong attachment to an organization that holds favorable prestige (reputation) as part of his/her connection with reflected glory which, in turn, translates into citizenship behaviors (Dutton et al. 1994). Similarly, Saboor, Rehman, and Rehman (2018) have shown in their study, organizational respect improve the contextual performance in the organization. Moreover, positive perception of organizational image by workers lead to improve their performance (Dhir & Shukla, 2019).

In previous reviews of the literature, it has been suggested that PO fit would be more strongly related to organizational-level outcomes like OCB (Hofmann ve Woehr, 2006). As expected, it is found that organizational identity strength also predict contextual performance. While strong organizational identity has a positive relationship between organizational citizenship behaviors and performance negative relationship between turnover (Abrams, Ando and Hinkle, 1998; Mael and Ashforth, 1995). Finally person-organization fit, also predict contextual performance. According to main aim the study, the regression analysis results have revealed that the affective and normative commitment have mediator role in between person-organization fit, perceived organizational prestige, organizational identity strength and contextual performance. However, continuance commitment does not have any mediator role in this relationships. Conversely, third hypotheses has not been supported. This study has a number of limitations that should be acknowledged: First, there is a possible risk of common method bias in this study due to the use of self-report instrument to collect data from a single source. Although constructs such as P-O fit, organizational commitment, and OCB are typically measured using self-report data, it cannot

rule out the possibility of common method bias. However, future research could lessen this risk by asking questions at different points in time or designing separate questionnaires for collecting data from multiple respondents. Second, the results of the study are, therefore, specific to this group, and extrapolation of the results to other settings and environments may not be suitable without further evaluations of those situations.

References

- [1] Abrams, D., Ando, K., ve Hinkle, S. (1998). Psychological attachment to the group: Cross-cultural differences in organizational identification and subjective norms as predictors of workers' turnover intentions. *Personality and Social Psychology Bulletin*, Vol. 24, Iss. 10, s.1027-1040.
- [2] Albert, S., & Whetten, D. A. (1985). Organizational identity. *Research in Organizational Behavior*, 7, 263–295.
- [3] Allen, N. J. ve Meyer, P. (1990). The measurement ve antecedents of affective, continuance ve normative commitment to the organization. *Journal of Occupational Psychology*, Vol.63, s.1-18.
- [4] Arthur, W. Jr., Bell, S. T., Doverspike, D. ve Villado, A. J. (2006). The use of person-organization fit in employment decision making: An assessment of its criterion-related validity. *Journal of Applied Psychology*, Vol.91, No:4, s.786-801.
- [5] Bowling, N. A. (2010). Effects of job satisfaction and conscientiousness on extra-role behaviors. *Journal of Bussiness Psychology*, Vol.25, s. 119-130.
- [6] Borman, W. C. ve Motowidlo, S. J. (1993). Expanding the criterion domain to include elements of contextual performance. In Neil Schmit and Walter C. Borman (Eds) *Personal selection in organizations*, San Fransisco: Jossey-Bass.
- [7] Cable, D. ve Judge, T. A. (1996). Interviewers' perceptions of person-organization fit and organizational selection decisions. *Journal of Applied Psychology*, Vol.82, No:4, s.546-561.
- [8] Carmeli, A. (2005). Perceived external prestige, affective commitment, and citizenship behaviors. *Organization Studies*, Vol.26, No:3, s.443-464.
- [9] Cooper-Hakim, A., and Viswesvaran, C. (2005). The construct of work commitment: testing an integrative framework. *Psychological Bulletin*, 131, 241–259.
- [10] Crede, M., Chernyshenko, O. S., Bagrami, J. ve Sully, M. (2009). Contextual performance and the job satisfaction-dissatisfaction distinction: Examining artifacts and utility. *Human Performance*, Vol. 22, s.246-272.
- [11] Devonish, D. ve Greenidge, D. (2010). The effect of organizational justice on contextual performance, counterproductive work behaviors, and task performance: Investigating the moderating role of ability-based emotional intelligence. *International Journal of Selection and Assessment*, Vol.18, No:1, s.75-86.
- [12] Dhir, S., & Shukla, A. (2019). Role of organizational image in employee engagement and performance. *Benchmarking: An International Journal*.
- [13] Dutton, J. E. ve Dukerich, J. M. (1991). Keeping an eye on the mirror: Image and identity in organizational adaptation. *Academy of Management Journal*, Vol.34, No:3, s.517-554.
- [14] Dutton, J. E., Dukerich, J. M., ve Harquail, C.V. (1994). Organizational images ve member identification. *Administrative Science Quarterly*, Vol.39, s.239-263.
- [15] Gülerüz, E. (2010). *Öncülleri ve Sonuçları Bağlamında Örgütsel Özdeşimin Örgütsel Bağlılığın Duygusal Bağlılık Boyutuyla İlişkisi*. Yayınlanmamış doktora tezi, Hacettepe Üniversitesi, Ankara.
- [16] Hoffman, B. J. ve Woehr, D. J. (2006). A quantitative review of the relationship between person–organization fit and behavioral outcomes. *Journal of Vocational Behavior*, Vol.68, s.389-399.
- [17] Kamdar, D., ve Van Dyne, L. (2007). The joints effects of personality and workplace social exchange relationships in predicting task performance and citizenship performance. *Journal of Applied Psychology*, Vol.92, No:5, s. 1286-1298.
- [18] Karakurum, M. (2005). *The effects of person-organization fit employee job satisfaction, performance ve organizational commitment in a Turkish public organization*. Unpublished master's thesis, Middle East Technical University, Ankara.
- [19] Kreiner, G. E., ve Ashforth, B. E. (2004). Evidence toward an expanded model of organizational identification. *Journal of Organizational Behavior*, Vol.25, s.1-27.
- [20] Kristof-Brown, A. L. (1996). Person-organization fit: An integrative review of its conceptualizations, measurement and implications. *Personnel Psychology*, Vol. 49, No:1, s.1–49.

- [21] Mael, F., ve Ashforth, B. E. (1992). Alumni and their alma mater: A partial test of the reformulated model of organizational identification. *Journal of Organizational Behavior*, Vol.13, s.103-123.
- [22] Mael, F., ve Ashforth, B. E. (1995). Loyal from day one: Biodata, organizational identification, and turnover among newcomers. *Personnel Psychology*, Vol.48, s.309-333.
- [23] Meyer, J. P., ve Allen, N. J. (1991). A three-component conceptualization of organizational commitment. *Human Resources Management Review*, Vol.1, No:1, s.61-89.
- [24] Meyer, J. P., Stanley, D. J., Herscovitch, L., and Topolnytsky, L. (2002). Affective, continuance, and normative commitment to the organization: a meta-analysis of antecedents, correlates, and consequences. *Journal of Vocational Behavior*, 61, 20-52.
- [25] Milliken, F. J. (1990). Perceiving and interpreting environmental change: an examination of college administrators' interpretation of changing demographics. *Academy of Management Journal*, 33, 42–63.
- [26] Muhammad, A.H. (2014). Perceived organizational support and organizational citizenship behavior: The case of Kuwait. *International Journal of Business Administration*, 5, 59–72.
- [27] Ostroff, C., Shin, Y.Y., ve Kinicki, A. J. (2005). Multiple perspectives of congruence: relationship between value congruence and employee attitudes. *Journal of Organizational Behavior*, Vol.26, s. 591-623.
- [28] Saboor, A., Rehman, M., & Rehman, S. (2018). Organizational justice and employee contextual performance: the moderating effect of organizational respect. *Pakistan Business Review*, 19(4), 995-1011.
- [29] Wasti, S. A. (2003). Organizational commitment, turnover intentions and the influence of cultural values. *Journal of Occupational and Organizational Psychology*, Vol.76, s.303-321.

The Dissolution of Municipal Councils due to Organized Crime Infiltration

Filomena Occhiuzzi

PhD candidate in Studies on Organized Crime, University of Milan, Italy

Abstract:

The paper proposal is focused on the evolution of a specific legal instrument, which consists of the Central government's power to "dissolve" municipal councils in the case of infiltrations by organized crime. In Italian administrative legislation, local councils may be dissolved for several reasons such as the ongoing violation of the law and the neglect of duty, but one of the most debated causes is the interference and the pressure that organized crime may exercise on the members of municipal councils. This specific administrative law instrument is defined in art. 143 T.U.E.L. and is part of a series of public anti-mafia policies. It was introduced in 1991 as an emergency law to cope with the risk of maladministration due to local authorities' subjugation to criminal power (Mete, 2009). The aim of the dissolution of local councils is to preserve constitutional and fundamental values such as democracy and the rule of law, but it is a very severe legal tool as it affects a democratically elected community. This instrument is also closely related to the prevention of corruption in the public sector, as often the infiltrations by organized crime in municipalities are due to the corruption of public officials. The institution in charge of applying this legal tool is the Prefect, which has the power to enforce the orders of the central government and oversees local authorities. The procedure for the adoption of this instrument involves the major constitutional bodies such as the Parliament, the Ministry of Interior and the President of the Republic.

Keywords: Democracy, Organized Crime, Public Administration, Voting, Corruption.

Introduction:

The dissolution of municipal councils due to organized crime infiltration represents a unique instrument in the Italian legal system to combat and prevent serious criminal infiltration into municipalities. Criminal infiltration within local governments of Italian municipalities seriously undermines the basic principles of democracy, has a negative impact on the public sector and the economic system, and heavily compromises citizens' rights and freedoms. Studies also show that there is a direct connection between infiltrated local governments and the allocation of public resources and revenue collection on a local level (Di Cataldo and Mastrococco, 2019). Moreover, collusion between organized crime and politicians violates the constitutional principles of the rule of law, of impartiality and best practice in public administration, as provided for in Article 97 of the Italian Constitution (Rolli, 2013). This justifies the enforcement of this legal tool regulated in Article 143 T.U.E.L., which aims to restore the proper functioning of the decentralized levels of government although it is a very severe legal tool as it causes the suspension of normal democratic practices by completely demolishing the entire political body of the community that elected it, heavily affecting the citizens' right to choose political representation through election. The reason criminal organizations are so interested in local governments is "control of the territory" which is one of the mafia's traditional activities. Indeed, organized criminal groups have a great ability to gain control over the territory and local public administration (Mete, 2009). This kind of control is carried out mainly by corrupting local politicians who will, in return, influence decision-making, therefore collusion with local authorities is functional to various illicit purposes: awarding public contracts, urban development speculation, money laundering, waste management, and so forth. Signing public contracts with municipalities may be also a useful opportunity for criminals to appear as fictitious businessmen. For example, the construction of public infrastructure which offers job opportunities to the population will allow the criminal group to achieve social respectability, and social consensus is essential to carry out illicit activities virtually undisturbed (Angelosanto and Rivola, 2011). Therefore, according to *the Parliamentary Committee of Inquiry into Mafia-related and other criminal organizations* (2018) the strength of criminal organizations nowadays, lies not least in the powerful support which they

receive from those sectors “that owe their wealth or survival to the economic activities that flourish around organized crime” (p. 24).¹

More recently, investigations have revealed that criminal infiltration occurs not only in the southern regions, specifically Sicily, Calabria, Campania and Apulia² where Italian organized crime groups traditionally have influence and are well rooted within the socio-cultural and political context, but also in non-traditional regions in northern Italy, precisely Lombardy, Piedmont, Emilia-Romagna and Liguria.

At this point, it is appropriate to note that the subject of the dissolution of local governments due to the infiltration of organized crime is currently an extremely relevant problem throughout Italy and is often at the centre of public debate, and hence in December 2018 amendments were made to national legislation regarding this legal instrument which will be analysed below.

The obvious relevance and topicality of this issue also emerges from the data processed by *Avviso Pubblico*, an antimafia association which brings together local authorities and regions focusing on promoting awareness of legality and combatting organized crime (*Avviso Pubblico Enti Locali e Regioni per la formazione civile contro le mafie, n.d.*), according to which from 1991 to 21 May 2019, 301 local authorities were dissolved due to mafia infiltration, twenty-three of which were disbanded in 2018, and there have already been eight in the first five months of 2019 alone (*Avviso Pubblico*, 2019).

The aim of this paper is to analyse the main aspects of Italian legislation that allow the dissolution of mafia-infiltrated municipalities upon evidence of collusion between local authorities and organized crime groups. Therefore, the rest of the paper is organized as follows: paragraph 1 of the paper focuses on the legislative development of the legal instrument since its introduction in 1991; paragraph 2 describes how the legal tool works according to Article 143 T.U.E.L.; paragraph 3 reports the typical circumstances which may occur as evidence of criminal infiltration; paragraph 4 presents the latest legislative changes that were implemented in December 2018 with Law No 132/2018; paragraph 5 concludes.

1. Evolution of the legislation

Throughout the 1980s collusion between local politicians and organized crime emerged dramatically in southern Italy, as in many municipalities in Sicily, Calabria and Campania there was evidence of criminal oppression of the elected officials. At the time there were no legal tools to deal with this emergency until 1991, when the Italian central government introduced a specific regulation in response to what is known as the “massacre of Taurianova”, a town in the province of Reggio Calabria, where a violent mafia war took place and the following investigations revealed a high level of corruption and collusion within the local administration and a general feeling of fear and intimidation among the local population.³ Thus, the central government acted in defence of democracy and legality, which led to the introduction of Decree Law No 164/1991, converted into Law No 221/1991, providing urgent measures for the dissolution of municipal and provincial councils and other local government bodies, due to organized crime infiltration and conditioning (Decree Law No 164/1991 of 3rd May 1991). Article 1 of Law 221/1991 introduces art. 15 bis in the antimafia law n. 55/1990, already regulating organized crime prevention and other socially dangerous phenomena (Law No 55/1990 of 19th March 1990). The enforcement of this law allows for the dissolution of a municipality “when evidence emerges regarding direct or indirect links between members of the local government and criminal organisations...jeopardising the free will of the electoral body and the sound functioning of the municipal administration” (Di Cataldo and Mastrorocco, 2019, p. 8).

Immediately after the enactment of this specific antimafia measure, on 2nd August 1991, the city council of Taurianova was dissolved (Mete, 2009). Among the reasons that justified the dissolution of the local government of Taurianova were direct or indirect links between criminal organizations and town councillors which affected the efficiency of the administration and

¹ *The Parliamentary Committee of Inquiry into Mafia-related and other criminal activities* explains that the problem of consensus to mafia does not regard only Italian society but involves several other countries where criminal organizations have become key players in certain sectors of the economy which depend on criminal activities. “This mirrors other places around the world where entire sectors of society know that they owe their existence to illicit or criminal activities”. (final report, 2018, p. 24)

² While the origin of criminal organizations in Sicily, Campania and Calabria dates back at least to the unification of Italy in 1861, Apulia first “experienced such presence only one century later, as a consequence of events that were largely independent of ...[its] economic and social conditions” (Pinotti, 2015, p. F211).

³ For further insights into the historical background of the tool for the dissolution of municipal councils due to organized crime see, e.g. Mete (2009), Gratteri and Nicaso (2010).

public provision of basic services. The report also revealed a growing mistrust among the local population (Official Gazette – Decree of the President of the Republic 2 August 1991).

Two years after its enactment, National Law No 164/1991 was amended by Legislative Decree No 420/1993, then converted into Law No 108/1994. The amendments aimed to strengthen the role of the Prefect and the other bodies in charge of implementing this law and to provide support to local communities involved in the struggle for their civil rights (Cupi et al, 2011). The regulation was finally transferred to *Single text of the laws on the organization of local authorities* – T.U.E.L. *Testo unico delle leggi sull'ordinamento degli enti locali*, approved by Legislative Decree No 267/2000.

Over time, the practical implementation of the legal tool has raised some critical issues, which in 2009 led to a new to a new regulatory framework with the adoption of Law No 94/2009 (Cupi et al, 2011); the framework was further amended with the recent Law No 132/2018.

2. The discipline

Article 143 T.U.E.L., regulates the procedure required for dissolving an infiltrated local government as follows.¹ Firstly, the law states that municipal and provincial councils may be dissolved when, concrete, unambiguous and relevant elements emerge on direct or indirect links between organized crime and elected politicians, or on forms of conditioning of the administrators that could alter the process of formation of their will and could compromise the good governance or impartiality of local authorities, as well as the proper functioning of local services, or when these links with organized crime are likely to cause serious and lasting prejudice to public security.

The institution in charge of applying this legal tool is the Prefect, a peripheral body of the State Administration which represents the government at the provincial level and exercises all the functions of the State at the local level; and also has supervisory powers over the institutions of province and municipalities.² Therefore, when the Prefect is informed of the above-mentioned risks of infiltration and criminal conditioning, he appoints a Committee of Inquiry consisting of three officials within the state administration.

The committee investigates the work of the local administration and verifies whether the criminal infiltrations have occurred. The investigations may go from a period of three to six months after which the committee submits its conclusions to the Prefect who, within 45 days, sends a report to the Minister of the Interior containing the various elements which can be considered to determine the dissolution.

The proposal for dissolution must state all detected irregularities and anomalies within the local council and must specify which local authorities have allegedly colluded with criminal organizations. The proposal for dissolution is drafted by the Minister of the Interior, after deliberation of the Cabinet -Council of Ministers- and finally the dissolution decree is issued by the President of the Republic.

If the elements provided are not sufficient to dissolve the municipal council, the Minister of the Interior must nevertheless issue a decree on the conclusion of the procedure in which he reports on the results and on the activity of the commission of inquiry.

The decree of the President of the Republic, attached to the Minister's proposal for dissolution and to the Prefect's report, is then published in the Official Gazette, unless the Cabinet of Ministers decides to keep part of the documents confidential. The purpose of publication is to guarantee transparency and public access to these official documents for all citizens who

¹ Article 141 T.U.E.L. indicates other reasons for dissolving municipal councils, including: violation of the Italian Constitution, persistent violation of laws and serious threats to public order; inability of the mayor or more than half of the council to regularly exercise their duties due to: 1. permanent impediment, removal, withdrawal or death, 2. the mayor's resignation, 3. Resignation of more than half of the council; inability to approve the budget.

See also Article 142 T.U.E.L. for the causes of local level administrator's removal and suspension (which do not entail the dissolution of the municipal council).

² For further information on the functions and responsibilities of the prefect, see the website of the Italian Ministry of the Interior, <http://www.interno.gov.it/it/temi/territorio/governo-sul-territorio-prefettura>

want to be aware of the reasons for the dissolution, in order to better target their political and electoral choices¹ (Garofoli Commission in charge of elaborating proposal against crime and measures targeting the assets of organized crime, 2014).

Once the infiltrated municipal council is disbanded, the mayor, the council people and the members of executive committee of the municipality are removed from their offices.

The dissolution decree shall maintain its effects for a period of twelve months to eighteen months, which may be extended up to a maximum of twenty-four months in exceptional cases.

According to Article 144 T.U.E.L., upon removal of the authorities, another commission is appointed in the dissolution decree, the so-called Extraordinary Commission, made up of three members who take over council duties and carry out ordinary management for all the period of dissolution, i.e. from twelve to a maximum of twenty-four months; at the end of this period local elections are held.

The major amendments introduced by the 2009 reform concerned the following (Cupi et al, 2011):

- The definition of the necessary conditions to implement the legal tool. The evidence of direct or indirect connection between members of the local council and criminal organizations must be concrete, univocal and relevant. More precisely, concreteness means that the elements must be ascertained in the historical reality; univocity implies that the elements must be contrary to what the measure intends to protect; relevance means that the elements must be likely to compromise the regular performance of the functions of the local authority (Italian Council of State, 2013).² Furthermore, criminal influence over the local government has to determine an alteration in the process of public decision-making, it has to compromise impartiality and best practice in the local administration as well as hinder the proper functioning of public services, or be likely to pose a serious and enduring threat to security and public safety.

- Preventing local politicians who have colluded with organized crime to run for re-election in the first round of regional, provincial and local elections in the region where the disbanded municipality is located, after the local government dissolution. This represented a solution to the fact that quite often, the same corrupt politicians were elected after the transition period held by the Extraordinary Commission, negating the commissioner's work and the purpose of the dissolution. The ineligibility to run for office must be stated by the tribunal, therefore the Minister of the Interior sends the proposal for dissolution to the court having jurisdiction, which will then analyze the authorities' responsibility and eventually declare this ineligibility (Article 143 T.U.E.L.).

The discipline on ineligibility has recently been modified by Decree Law No 113/2018 converted into Law No 132/2018 which will be further analyzed.

The members of the disbanded councils are entitled to initiate action against the dissolution decree at first instance before the Regional Administrative Court of the Region of Lazio – *TAR Lazio*; finally appeal may be brought before the Italian Council of State against the decision of the Regional Administrative Court seeking annulment of the dissolution decree.

All the rulings of the administrative courts form a conspicuous case law which provides significant examples of recurrent cases of mafia infiltration in municipalities, which will be addressed in the next paragraph.

3. Typical causes of the dissolution of municipal councils

Although Law No 94/2009 introduced the necessary conditions for the application of the dissolution tool, it does not indicate the specific cases that can be considered as evidence of criminal infiltration. More precisely, the law, while setting out the requirements of "concreteness, univocity and relevance" for the evidence of infiltration and conditioning, does not indicate the concrete circumstances on the basis of which the proposal for dissolution can be drafted (Romei, 2014).

¹ Recent empirical studies indicate that populations of disbanded municipal councils due to organized crime infiltration tend to shift their votes towards higher educated candidates as a consequence of the local council dissolution, proving that enforcement of a stricter legal tool affects criminal organizations' impact on society and on politics in terms of increasing average education level of local politicians (Daniele and Geys, 2015).

² Italian Council of State, 12/01/2013, Judgement No 126/2013.

Organized crime aims to influence politics in several different ways and the practical cases of the collusion between them may be retrieved from the Italian administrative case-law and from the Minister's proposals for dissolution as these documents contain all the details of the links between organized crime and politicians (Mete, 2009).

According to notable studies (Angelosanto and Rivola, 2011; Mete, 2009) the most common reasons for dissolving a local government under Article 143 T.U.E.L. are:

- Murders, feuds and other risks which endanger public safety and public order: these circumstances are less frequent than in the past, indeed the use of homicide to stop a hostile politician from working properly and to intimidate others like him, is the last resort for organized crime as it causes immediate law enforcement intervention to prosecute the perpetrators of the attack, representing an obstacle to criminal business (Di Cataldo and Mastrococco, 2019; Daniele and Dipoppa, 2017).¹ Nevertheless it is important to underline that in Italy, 132 local politicians were murdered from 1974 to 2014, 47% of whom were killed by organized crime (Lo Moro et al., 2015).² According to the *Parliamentary Committee of Inquiry into the phenomenon of intimidation against local administrators*, with regard to local administrators, "besides the fallen of law enforcement, no other category has recorded more deaths in Italy" (p. 50).

- Other types of violence: threats and intimidations against administrators happen more often than homicides, e.g. arson attacks targeting cars and the City Hall or its structures, threatening letters, dead animals and bullets through the post are among the methods commonly used to deliver threats to public officials (Avviso Pubblico, 2018). *Avviso Pubblico* has recorded 2,182 acts of intimidation against local administrators from 2013 to 2017, and 574 in 2018; the data show that there has been an escalation in the use of violence since 2011, during which 212 cases of intimidations were recorded, these violent behaviours increased by 170%; the survey conducted by Avviso Pubblico involved 19 Italian regions, 84 provinces and 309 municipalities and revealed that in 2017 violence against municipal-level politicians increased by 6% compared to the previous year. With regard to infiltrated municipalities, in 2018, 68 episodes, from threats to personal attacks, have been recorded in 45 disbanded municipalities due to organized crime infiltration, approximately 12% of the total number of cases dealt with by Avviso Pubblico (2018).³

- Contamination of the electoral competition, e.g. the conclusion of pre-election agreements with which it is agreed that criminal groups give their electoral support to politicians who will, in turn, distort policy-making in the interest of criminal groups. Recent empirical studies, analyzing how organized crime uses violence to influence local politics, have observed that criminal organizations may strategically use violence either before elections, in order to discourage unwanted candidates from running for office and to manipulate the electoral outcomes, or after elections in order to influence the local government's decisions and activities (Daniele and Dipoppa, 2017).⁴ Moreover, the Italian Parliamentary Commission investigating intimidation against local government officials, also focuses on the issue of electoral violence, providing evidence that the use of violence by organized crime is strictly connected to political competition. The parliamentary

¹ On this point the *Parliamentary Committee of Inquiry into Mafia-related and other criminal organizations underlines* "The violent and military components of the mafias' methods have gradually been losing importance nationwide and in every criminal organization. They are being replaced by the establishment of mutually profitable relationships in illegal and especially legal markets" (final report, 2018). For more details on the murder of Italian local politicians see also the research carried out by the *Parliamentary Committee of Inquiry into the phenomenon of intimidation against local administrators* whose work has also been committed to reconstructing the stories of all the local administrators murdered in Italy in the last forty years (Lo Moro et al., 2015).

² The *Parliamentary Committee of Inquiry into the phenomenon of intimidation against local administrators* has detected all the circumstances in which municipal-level politicians were killed from 1974 to 2014 and reported the main facts for each of them in its final report (Lo Moro et al., 2015).

³ For a more detailed insight into the attacks against municipal-level politicians see the report of the *Parliamentary Committee of Inquiry into the phenomenon of intimidation against local administrators* which collected all the excerpts from the municipal dissolution decrees from 1991- 2014, providing evidence of all the violent episodes used by criminal organizations to influence politics (Lo Moro et al., 2015).

⁴ Note that, according to Daniele's and Dipoppa's research results, "attacks on politicians in Italy remarkably increase immediately after an election, but only in Southern Italian regions historically characterized by an active presence of criminal organizations in the political arena ... In such regions, we observe a peak of attacks in the month immediately after local elections. The increase in the relative probability of observing an attack is almost 10% (50% of a standard deviation). The presence of attacks only tied to the electoral cycle in such areas provides strong evidence for the idea that such attacks are not isolated events, but rather part of a strategy used by criminals to influence politics". (Daniele and Dipoppa, 2017, p. 11).

commission also underlines that electoral competition as a means of inciting violence against local governments is not acceptable in a democratic system (Lo Moro et al., 2015).

- Administrators or bureaucrats who have friendly or family relationships with members of criminal organizations or with individuals with recurrent criminal records, e.g. a key role is often played by relatives of the mafia members who are employed by municipal offices such as the technical office and who abuse the powers related to their office, favouring criminal interests (Transcrime, 2018); in other cases, individuals connected to the mafia were hired by the town council (Italian Council of State, 2016)¹.

- Criminal proceedings for mafia-type offences against one or more administrators or bureaucrats: in these cases, the investigations on mafia infiltration originate from investigations by the judiciary into the activities of criminal organizations and usually the dissolution decree is based on the acts of the criminal proceedings. However, it must be specified that the local council may be dissolved regardless of the outcome of the criminal proceedings against the administrators; this means that it is not necessary to prove the commission of crimes by local officials, but the dissolution requires just sufficient elements that provide evidence of the influence of mafia organizations over administrators (T.A.R. Lazio, 2013).²

- Administrative irregularities which include: securing municipal contracts awarded illegitimately due to corruption; severe infringement of building regulations; absence of rigorous inspections in the execution of public works; clientelism (Di Cataldo and Mastrorocco, 2019). For example, in urban planning, the management of public and private infrastructures by the mafia groups means that they take on a leading role in the local economic fabric. This allows criminal groups to control labour supply and thus to offer employment opportunities to the local population, which will allow criminal organizations to obtain social consensus which is essential to maintain control of the territory (Angelosanto and Rivola, 2011).

These administrative irregularities are recurrent in the administrative case law and often judges link such circumstances to the negligence and weakness of the local politicians who are considered unable to control and supervise the activities of the municipal offices (T.A.R. Lazio, 2016).³

The Italian administrative case-law also shows how the abovementioned elements should be interpreted. All the facts must be interpreted as a whole, since an episode considered individually may seem of insufficient value, while, together with others, it is able to give evidence of a local administration controlled by organized crime. Furthermore, these circumstances do not necessarily need to have criminal relevance to be taken into account, it is sufficient that they constitute evidence of the bargaining between criminals and local politicians, independently from the administrator's will or commission of crimes (Longo, 2008). However, it would be misleading to interpret the elements in a fragmentary way or indeed to consider them in abstract terms, that is, without accounting for the territorial context in which the criminal infiltration occurs, especially if in areas where organized crime traditionally has influence and is committed to keeping the territory under strict control (Italian Council of State, 2018).⁴

4. Latest legislative changes implemented with Law 132/2018

To provide an exhaustive overview of the tool of the dissolution of municipal councils due to organized crime infiltration, it is important to mention the very recent amendments introduced with Legislative Decree No 113/2018 converted with Law No 132/2018. Article 28 of Law No 132/2018 providing "Amendments to Article 143 of Legislative Decree 18 August 2000, n. 267", ascribes extraordinary powers of intervention to the Prefect in the event that the proposal for dissolution is rejected but the efficiency of the local administration is highly compromised. In this case the Prefect shall grant a reasonable time for the local administration to adopt the necessary acts to restore the proper administration operating conditions, and the Prefect also provides the local authorities with the necessary technical support. Otherwise the Prefect will appoint a commissioner to take over the council duties.

¹ Italian Council of State, 15/03/2016, Judgement No 1038/2016.

² Regional Administrative Court of the Region of Lazio – TAR Lazio, sez. I, 7th October 2013, Judgment n. 8670/2013.

³ Regional Administrative Court of the Region of Lazio – TAR Lazio, sez. I, 05/10/2016, Judgment n. 10049/2016.

⁴ Italian Council of State. 10/01/2018. Judgement No 96/2018.

Article 28 of Law No 132/2018 extends the sanction of ineligibility to those politicians who have colluded with organized crime, preventing them to run for re-election for two rounds after the dissolution, and it also concerns national and European elections, in addition to regional, provincial and local elections.

Finally, Article 32 *bis* of Law No 132/2018 provides for the establishment at the Ministry of the Interior of a special unit composed of prefectural career personnel, to be part of the Extraordinary Commissions which take over council duties and carry out ordinary administration management.

Such amendments to Article 143 T.U.E.L. were expected to be enacted as the legal tool was not always considered the appropriate instrument for targeting organized crime infiltration. In particular, with regard to the ineligibility measure introduced with the 2009 reform, experts argued that it was indeed a rather weak tool as it was limited in time and space; they also agreed on the need for more highly specialized officials to be part of the extraordinary committees appointed for the ordinary management of the disbanded municipality (Commissione Garofoli, 2014), as well as the need to introduce a solution for those municipalities which are not disbanded but are compromised by bad governance due to potential criminal influences (Parliamentary Committee of Inquiry into Mafia-related and other criminal organizations, including foreign organizations, 2018).

5. Conclusions

Organized crime aims to infiltrate local governments in order to control the territory and influence local politicians in public decision making. Criminal organizations use different strategies to gain control over local bodies, amongst which corruption, intimidation, electoral conditioning and various relationships with politicians or employees of the bureaucratic structure. Collusion with local politicians allows criminal organizations to engage in a wide range of illegal activities and to illicitly award public contracts (Pinotti, 2015), therefore criminal conditioning over local bodies seriously compromises the functioning of the democratic system and consequently the well-being of the population. This distortion in the democratic system and in the functioning of local public administration, enables the enforcement of the legal tool allowing the dissolution of municipal council due to organized crime infiltration as defined in Article 143 T.U.E.L (Legislative Decree No.267/2000).

The paper analyzes the legislative evolution of this legal tool since its introduction in 1991 as an emergency anti-mafia law following a terribly violent mafia attack; it analyzes the current framework according to Article 143 T.U.E.L as amended by the 2009 reform and most recently by Law No.132/2018. The implementation of this legal tool aims to prevent the risk of criminal infiltration within local governments and to safeguard the proper functioning of local public administration. The paper also provides an overview of the most common circumstances that may provide evidence of criminal influence on local-level politicians.

In conclusion, the paper aims to create awareness of the phenomenon of dissolution of local governments due to organized crime interference and consequently on the risks for democracy following criminal infiltration. Moreover, the phenomenon of infiltrated municipal councils is very common in the southern regions and is gradually spreading to the north of the country, thus the enforcement of this very strict instrument, and indeed its strengthening, are necessary for safeguarding the democratic system.

References

- [1] Angelosanto P., Rivola R. (2011). Lo scioglimento dei consigli comunali. *Rassegna dell'arma*, n.3 July-September 2011, Retrieved from www.carabinieri.it
- [2] Avviso Pubblico Enti Locali e Regioni per la formazione civile contro le mafie. (n.d.). Carta di intenti. Retrieved from https://www.avvisopubblico.it/home/wp-content/uploads/2014/02/avvisopubblico_carta-di-intenti.pdf
- [3] Avviso Pubblico Enti Locali e Regioni per la formazione civile contro le mafie. (2019, April 30). Amministrazioni sciolte per mafia: dati riassuntivi. Retrieved from <https://www.avvisopubblico.it/home/home/cosa-facciamo/informare/documenti-tematici/comuni-sciolti-per-mafia/amministrazioni-sciolte-mafia-dati-riassuntivi/>
- [4] Avviso Pubblico Enti Locali e Regioni per la formazione civile contro le mafie. (2018). Rapporto Amministratori sotto tiro. Retrieved from https://www.avvisopubblico.it/home/wp-content/uploads/2019/04/Cartella-stampa_DEF.pdf
- [5] Commissione Garofoli per l'elaborazione di proposte in tema di lotta, anche patrimoniale, alla criminalità. (January 2014). *Per una moderna politica antimafia*. Retrieved from [https://www.penalecontemporaneo.it/upload/1392822728rapporto%20Comm%20%20Garofoli%20\(3\).pdf](https://www.penalecontemporaneo.it/upload/1392822728rapporto%20Comm%20%20Garofoli%20(3).pdf)

- [6] Cupi A., Fedullo E., Mannella P., Mondello T., Moscarella R., Mucci G., Riflesso R. (2011). Governo degli enti locali e gestioni commissariali. *I quaderni della formazione n. 3/2011. Scuola superiore dell'amministrazione dell'Interno*.
- [7] Daniele G., Dipoppa G. (2017). Mafia, elections and violence against politicians. *Journal of Public Economics*. Volume 154, October 2017, Pages 10-33. <https://doi.org/10.1016/j.jpubeco.2017.08.004>
- [8] Daniele G., Geys B. (2015). Organised crime, institutions and political quality: empirical evidence from Italian municipalities. *The Economic Journal*, 125 (August), F233–F255. Doi: 10.1111/ecoj.12237
- [9] Di Cataldo M., Mastrorocco N. (2019). Organised Crime, Captured Politicians and the Allocation of Public Resources. *TEP Working Paper No. 1018, Trinity Economics Papers. Department of Economics*. Retrieved from <http://dx.doi.org/10.2139/ssrn.3124949>
- [10] Decree Law 31 May 1991, n. 164. Official Gazette - Gazzetta Ufficiale - serie generale - n. 126 of 31 May 1991, coordinated with the Conversion Law 22 July 1991, n. 221 (in G.U. 25/07/1991, n.173). Retrieved from <https://www.gazzettaufficiale.it/eli/id/1991/07/25/091A3362/sg>
- [11] Decree of the President of the Republic (2 August 1991). Official Gazette - Gazzetta Ufficiale. Retrieved from <https://www.gazzettaufficiale.it/eli/id/1991/08/02/091A3499/sg>
- [12] Gratteri N., Nicaso A. (2010). *Fratelli di sangue, Storie, boss e affari della 'ndrangheta, la mafia più potente del mondo*. Piccola Biblioteca oscar Mondadori.
- [13] Italian Council of State. (12/01/2013). Judgement No 126/2013.
- [14] Italian Council of State. (15/03/2016). Judgement No 1038/2016.
- [15] Italian Council of State. (10/01/2018). Judgement No 96/2018.
- [16] Italian Ministry of the Interior. (2017). Governo sul territorio: le Prefetture. Retrieved from <http://www.interno.gov.it/it/temi/territorio/governo-sul-territorio-prefetture>
- [17] Law 19/03/1990, n. 55. Official Gazette - Gazzetta Ufficiale - serie generale n. 69 of 23 March 1990. Retrieved from https://www.gazzettaufficiale.it/atto/serie_generale/caricaDettaglioAtto/originario?atto.dataPubblicazioneGazzetta=1990-05-25&atto.codiceRedazionale=090A2289&elenco30giorni=false
- [18] Law 1 December 2018, n. 132. Official Gazette - Gazzetta Ufficiale - serie generale n.281 of 3 December 2018. Retrieved from <https://www.gazzettaufficiale.it/eli/id/2018/12/03/18G00161/sg>
- [19] Legislative Decree n.267/2000. Official Gazette Gazzetta Ufficiale - Serie Generale n. 227 of 28-09-2000 - Suppl. Ordinario n. 162. Retrieved from <https://www.gazzettaufficiale.it/eli/id/2000/09/28/000G0304/sg>
- [20] Lo Moro, D., Gualdani, M., Zizza, V., Cirinnà, M. (2015). Commissione Parlamentare d'inchiesta sul fenomeno delle intimidazioni nei confronti degli amministratori locali. Final report. Sitting of 26th February 2015. Senato della Repubblica Italiana. Retrieved from https://www.senato.it/application/xmanager/projects/leg17/file/repository/commissioni/intimidazioni17/doc_XXI l-bis-n1.pdf
- [21] Longo F. (2008). Lo scioglimento dei consigli comunali per fenomeni di infiltrazione e di condizionamento di tipo mafioso è questione di contesto. *Foro amm. CDS, fasc.3*.
- [22] Mete, V. (2009). *Fuori dal Comune. Lo scioglimento delle amministrazioni locali per infiltrazione mafiosa*.
- [23] Catania, Bonanno Editore.
- [24] Parliamentary Committee of Inquiry into Mafia-related and other criminal organizations, including foreign organizations. Final report. Sitting of 21st February 2018.
- [25] Pinotti, P. (2015). The economic costs of organised crime: evidence from southern Italy. *Economic Journal*, vol. 125(586), pp. F203–32. <https://doi-org.pros.lib.unimi.it:2050/10.1111/ecoj.12235>
- [26] Regional Administrative Court of the Region of Lazio – TAR Lazio, sez. I, 7/10/2013, Judgment n. 8670/2013.
- [27] Regional Administrative Court of the Region of Lazio – TAR Lazio, sez. I, 05/10/2016, Judgment n. 10049/2016.
- [28] Romei D. (2014). Lo scioglimento dei consigli comunali e provinciali per infiltrazioni o condizionamento mafioso. *Rassegna Avvocatura dello Stato*, N. 2/2014,
- [29] Rolli R. (2013). *Il comune degli altri, lo scioglimento degli organi di governo degli enti locali per infiltrazioni mafiose*. Rome, Aracne.

- [30] Savona E. U., Riccardi M. (eds). 2018. *Mapping the Risk of Serious and Organised Crime Infiltration in European Businesses — Annex to the final report of the MORE Project*. Milan: Transcrime – Università Cattolica del Sacro Cuore.

Competency Profile of the Teaching Profession in Croatia After Initial Education

Lorena Lazarić

Dr. Juraj Dobrila University of Pula, Faculty of Educational Sciences, Croatia

Snježana Močinić

Assist. Prof. Dr. Juraj Dobrila University of Pula, Faculty of Educational Sciences, Croatia

Ivana Paula Gortan-Carlin

Assist. Prof. Dr. Juraj Dobrila University of Pula, Faculty of Educational Sciences, Croatia

Abstract

The teachers' competence profile is in a constant discrepancy due to demands posed by life in the contemporary world of change. The base for the development of teachers' professional competences is set during initial education, although professional qualifications continue to be developed further through internship, teaching practice and lifelong professional training. Teachers' competences have to be expanded from traditional to new ones, such as the skill to diagnose pupils' needs for learning, the ability to methodically designate the environment for active learning and the development of competences, the ability of critical deliberation about achieved work results and individual research with the aim to implement innovations in teaching, develop collaboration and organization skills and other competences necessary to the teacher who searches for his or her way, and is not only the realiser of other people's ideas. This paper presents the results obtained by comparing teachers' competences quoted in some teacher study curricula in Croatia (Universities of Pula, Rijeka and Zadar) as to determine if the description of competences implies a teacher who is the leader and animator of the learning process, the one ready for reflection and research, or it indicates a teacher who is the technical realiser of the curriculum.

Keywords: Competence Profile, Professional Competences, Teacher, Animator, Researcher

Introduction

In the period between the 60s and 90s of the 20th century the notion of competency gradually passes from economics to pedagogic terminology, often replacing the meaning of one or more of the following terms: knowledge, ability, skill, art, attitudes and values, at the same time creating chaos of different definitions and interpretations (Perini, Puricelli, 2013: 14-15). Between the years 2000 and 2010 the competency approach becomes the base of the overall design of the European educational policy and slowly enters the Croatian educational policy and school practice. It is an extremely complex, controversial and ambiguous notion which has lately been preoccupying Croatian pedagogues, but does still not have a unique pedagogic interpretation or is recognised in the area of pedagogy (Palekčić, 2007: 146; Strugar, 2012: 38-40). Among the important domestic documents on education, the ones based on the concept of competences are *The Croatian Framework of Qualifications* (2009) (abbreviated as CFQ) and *The National Curriculum Framework for Preschool Education, General Compulsory and Secondary Education* (2014) (abbreviated as NCF). The former document, CFQ, recognises the following definition of competences: a set of knowledge and skills, as well as autonomy and responsibility, with an explanation that competences relate to all that can be acquired by learning. The CFQ differentiates *factual* (information) and *theoretical* (links of information) *knowledge*, as well as *cognitive*, *psychomotor* (practical) and *social skills*. The latter, NCF, does not give an expressed definition of competence, but it can be read between the lines that the term used implies knowledge, skills, abilities, values and attitudes.

Numerous Croatian pedagogues have dealt with competences in their theoretical deliberations and empirical research, some of them being: Mijatović, 2002; Vizek Vidović, 2005; Domović, 2006, 2009, Hrvatić, Piršl, 2007; Peko et al., 2007; Kostović Vranješ, Ljubetić, 2008; Bežen, 2008; Lončarić, Pejić Papak, 2009; Matijević, 2009; Cindrić, Miljković, Strugar,

2010; Jurčić, 2012; Strugar, 2012; Piršl, 2014. According to Bežen (2008) the notion of competence can be considered a replacement for traditional terms as knowledge, abilities and skills used in defining an individual's qualifications to perform certain works. Bežen (2008: 26-27), lacking an accepted definition in Croatian pedagogy, quotes Weinert's (2001:22) definition and derives from it the minimal criteria to determine this ambiguous concept: a) competence is derived from the task which should be performed, b) it consists of cognitive, motivational, wilful, ethical and social components, c) it is complex and enables the performance of whole tasks, d) it is different from a skill which is an automated activity, e) to achieve it, it is necessary to learn. Piršl (2014: 48-49) differentiates among the "*cognitive* (knowledge), *functional* (application of knowledge), *personal* (behaviour) and *ethical* (principles and values in behaviour) dimension" of a competence integrated by individuals during their activities in a specific context. The author emphasizes one's personal creativity in applying the resources, but also the dependence of an individual's action on contextual characteristics.

The advocators of using the concept of competences in the area of pedagogy (Kerka, 1998; Lersch, 2005; Pogia, 2006, Moscato, 2007; Capperucci, 2008; Puricelli, Perini, 2012) think that the concept is a consequence of the operative integration of scientific knowledge and technical skills occurring after the superiority of scientific knowledge, ruling for centuries in the European society, has been overruled. By applying the notion of "competence" the problem of correlating theory and practice, general and vocational education, school knowledge and life reality, gets resolved. However, in the area of educational sciences the correlation between those two components still encounters a low level of practical application. On the one hand, a reason for that can be found in the necessary increase of practical activities in the teaching practice necessary for the development of competences. On the other hand, there are objective limitations to the educational process revealed by this concept (Perini, Puricelli, 2013; Perrenoud, 2000, 2010). It is questionable how much an educational institution can achieve, assess and evaluate the process of competence development which is by its definition dynamic and long-lasting, and depends on the pupil's integration of abilities, knowledge and skills. The knowledge and skills not integrated by pupils into their overall system of personal competences do not have an educational importance and are, in fact, useless and inefficient. However, teachers have a limited influence on the integration process because the activation of this process depends exclusively on individual pupils' decisions. Furthermore, the complexity of the competence concept brings difficulties in the evaluation of its level of development and makes it inseparable from the context they developed in, while the greatest difficulty is found in studying their real genesis, and the controlled monitoring of their development (Castoldi, 2009: 51-62; Palekčić, 2007: 146-147). Namely, human competences have a high degree of vagueness linked to character traits, values and attitudes, so it is very difficult to transform them into coded behaviour patterns and developmental programmes. Moreover, in the school context it is very hard to design a valid assessment of competences for each individual, apply their quantitative assessment and ensure their efficient confirmation. Besides, competences development depends on the overall life environment, both formal and informal (family, friends, sports, religious and cultural organisations, media), not only on school, and it extends over the developmental age in the narrower sense. However, the advocators of competences development at school (Capperucci, 2008; Moscato, 2007; Castoldi, 2009: 22-27; Perrenoud, 2000, 2010; Pellerey, 2004; Perini, Puricelli, 2013) claim that this concept is encouraging and brings along positive shifts in pedagogy and didactics, thus becoming worth of attention from both the psychological-pedagogic research and the educational practice point of view. Therefore, acknowledging competences as the key category for an effective renewal of the school encourages the revision of existing teaching and learning methods, methods and styles of assessment, while demanding from teachers to critically reassess them and find an adequate replacement. Perrenoud (2010:113) agrees with that. He is of the opinion that the process of changing the learning method and assessment of pupils' achievement has to be radical and necessarily demands for giving up usual teaching methods and standardized assessment of individuals' knowledge and skills in favour of active learning and global, holistic evaluation of competences, where the criteria would be publicly agreed on and pupils would participate in the educational process.

The teaching profession competence profile

Since the society's demands, new cognitive paradigms postulates and new findings in educational sciences gradually change the traditional teacher's role, it is clear that they cannot just be passive realisers of other's ideas, but have to become persons searching for their own pedagogic path (Mušanović, 2001; Stoll, Fink, 2000; Cindrić, Miljković, Strugar, 2010). This implies a radical change of the teaching profession: instead of teaching teachers organise and form supportive learning environments, include pupils in activities and activate all their abilities, engage in studying educational issues, actively cooperate with colleagues, professional school's service, the school's administration, pupils' parents, representatives of the wider social community with the aim to commonly achieve the educational activity and improve activities for the individualisation and personalisation of teaching. Teachers' competences should, therefore, be expanded

from knowing, planning and programming the subjects' contents, their methodological processing and transfer to pupils, as well as the evaluation and assessment of knowledge to the skill of diagnosing individual needs for learning, classroom management, methodical designation of active acquisition of knowledge and development of competences, critical deliberation on chosen strategies and achieved results of work, research aiming at the implementation of innovations in teaching, development of cooperative and organisation competence, self-motivation in achieving goals and the control over one's own moods and reactions. It is not easy to reach those changes. First of all, it is necessary to define the basic teacher competences and how to efficiently develop them during the initial education. Their choice can be done in line with theoretical starting points set by professionals in teacher education, respecting the determined competences possessed by successful teachers, the chosen model of the ideal teacher in a certain social context, results of international evaluation studies about quality teachers, research done by teacher associations and institutes for pedagogic research, and documents about international and national educational policies and other criteria (Fumarco, 2006; Razdevšek Pučko, 2005, Terhart, 2005). Terhart (2005:71) emphasizes that the procedure is always similar in its internal logic: the competences which a "good" teacher should possess are derived from the image of a good teacher. Such a choice of teacher's competences is necessarily based on their standardisation and norming which neglects the development of special personal skills. The Italian author Margiotta (2002:51) is of a similar opinion, while the Croatian pedagogue Jurčić (2012) and the Italian Fumarco (2006:51) take the area of professionalism necessary for the performance of the teaching profession as the starting point.

The aforementioned authors quote different classifications and teacher competence lists. Jurčić (2012:16) includes personal characteristics in the list (communicativeness, flexibility, balance, openness, empathy), as well as the subject, communicational, didactic-methodical, reflexive, social and organisational competence. Fumarco (2006:76) mentions subject-content, methodical-didactic, research, pedagogic-psychological, communicational competences and personal characteristics (openness, flexibility, balance, empathy, communicativeness, etc.). The author Vizek Vidović (2011:67) doubts the possibility of development and assessment of such complex competences during teachers' initial education where university instruction and school practice are poorly correlated and students do not have a sufficient possibility of practicing what they have learned in the study programme. Meyer (2002:224) remarks that practicums, pedagogic workshops and school practice should have a prominent place in the study programme to ensure enough space for the correlation of theoretical education and practical teaching.

From the many existing models, the one presented here as an example of teachers' competence profile is the model by the Swiss sociologist and pedagogue Perrenoud (2002), a long-time researcher in this area. His model is structured around 10 competences, grouped into three areas: *the area of learning, administrative and extracurricular activities, and contemplation about the profession*. He is also interesting due to his innovative vision of the teaching profession and the school it is based on, without turning it into a utopia. What follows is the presentation of the mentioned model:

A) *The area of learning*

1. Organise and animate learning situations (know the learning content, express contents in learning outcomes, plan and conceive teaching sequences, include pupils into research activities, etc.).
2. Manage learning progress (conceive and manage problem situations in line with pupils' capabilities and long-term educational aims, correlate teaching with learning theories, observe and assess pupils in learning situations, prepare periodical reports about developed competences and consider them when planning follow-up activities).
3. Conceive and develop differentiation systems (manage the group heterogeneity, remove obstacles, practice integrated teaching, offer support to endangered pupils, develop cooperation among pupils).
4. Actively include pupils in learning and instruction (encourage the wish to learn, raise consciousness about the relationship to knowledge, link learning to life reality, develop the pupils' ability for self-assessment, set up pupils' councils and negotiate conduct rules with them, make a contract about class rules, offer the possibility of choosing elective modules or subjects).
5. Organise group work (develop group work projects, animate the work group, conduct meetings, form and renovate the work group, face and analyse complex situations and problems, manage crises or conflicts among individuals).

B) *Area of administrative or extracurricular activities*

6. Participate in school management (take part in the creation of the school curriculum, manage school resources, coordinate and animate school's external associates: local political authority representatives, parent associations, etc., organise and improve the participation of pupils in school management).
7. Inform and include parents into the educational process (animate informative meetings and discussions on school activities, conduct talks with parents, include parents in the valorisation of teaching activities).
8. Use information technology (use the multimedia in teaching, document editing programmes, pictures, audio and video recordings, the educational software potentials in line with educational aims, as well as communication via e-mail and e-learning).

C) Area of contemplation about the profession

9. Face the professional obligations and dilemmas (analyse the pedagogic relationship with pupils, teacher's authority, classroom communication, develop the sense of responsibility, solidarity, sense of justice, prevent school violence, fight prejudices against ethnic, social, religious and sexual discrimination, participate in the creation of classroom rules).
10. Manage their professional training (know how to present their teaching practice in front of others, evaluate their professional competences themselves, conceive their personal programme of continuous professional training, agree upon a project of education individually or with colleagues).

The presented model lacks *organisational* and *research* competences, as well as teachers' personal characteristics like openness, balance, flexibility, communicativeness, empathy. The last ones are not included into the competence profile by some authors because they should be general conditions for the access to the teaching profession and, besides, they can be limitedly affected during education (Fumarco, 2006:76). Each model is different and does usually not explain in details all teacher competences, and this should certainly not be aimed at since long lists of fragmented skills lose sight of global competences. Beginning from the chosen profile a curriculum for the education of teachers is being prepared, and the activities are directed toward the development of competences. If the students are going to really develop advisable competences during their study depends on the structure, organisation and dynamics of the study. Research has shown that in designing the teachers' initial education curriculum certain elements make the difference, and they relate to:

1. *content of teacher's education* – what is learnt and how it is correlated, how much are candidates helped to form the mental map of the teaching structure which would help them to notice relations among areas of pedagogic knowledge and to correctly correlate theory and practice which support their professional training
2. *learning process* – to which extent does the study programme develop competences and enable candidates' readiness to work in schools, and to what extent is it based on experiential learning and teacher training to understand the context and reach decisions in the classroom
3. *learning context* – to what extent is the future teacher's learning carried out in contexts which enable the development of the professional practice; such contexts include areas of subject methodologies and communities of practice which encourage the exchange of personal experience through the presentation of good practice examples and deliberation about them, which enriches the acquired knowledge. (Darling Hammond, Bransford et al., 2005:394-395).

We completely agree with Perrenoud's (2010:144) opinion stating that the necessary integration of theoretical and practical knowledge is possible only if teachers' initial education is distnced from the prevailing acquisition of academic and pedagogic-psychological knowledge which should be reduced to a smaller, but more conscious part in the overall study programme. What does not contribute to the development of future teachers' professional profile at all is, as claimed by Terhat (2005:71), to rely full of enthusiasm and hope on planned effects, perseveringly claiming that with more education the teachers' actions will become more efficient.

Besides, university institutions for teacher education are not completely independent in designing the curriculum of teachers' initial education because they have to take care about the prescribed national standards and international recommendations to ensure the acquisition of necessary competences (Domović, 2009:28). This is also introduced in Croatia, where the professional standards for the teaching profession are to be prepared based on the European Framework of Qualifications and the Croatian Framework of Qualifications which has been designed in line with the former one. This European Union initiative represents a tendency toward the standardization of competences which could hinder

the flexibility of initial education and the development of the teaching profession, as well as limit the teaching profession to the technical training to perform teaching instead of research and reflexive competences to be developed as the priority.

Research methodology, aim and sample

The research is based on the qualitative methodology which includes the analysis of Teacher Study programmes at Universities of Pula, Rijeka and Zadar (Croatia). The research base was the analysis of Teacher Study curricula with the aim to define the pedagogic concept of competence, as well as to determine which competences are developed during the teachers' initial education. The research sample consists of collected teacher study curricula at Universities of Pula, Rijeka and Zadar.

Results of the analysis of teacher study syllabuses in Croatia regarding the development of general and specific competences

During the university reform in 2005, all higher education institutions in Croatia opted for the introduction of learning outcomes in curricula. Since "during the designation of new curricula what was lacking (...) was the definition of the national standard in the area of teachers' professional competences" (Domović, 2009:16), in 2005 the institutions of the analysed sample introduced learning outcomes only at the intermedial and micro level, which means that they are operatively defined only in certain subject's syllabi (detailed performance teaching plans) and during teaching the teaching units. In the academic year 2013/2014 the Ministry of Science, Education and Sport officially demanded for the list of competences developed by single teacher studies. In the meantime, university institutions were preparing teacher competence profiles using as the starting point the referential guidelines given in different European educational policy documents, the basic provisions of national and international documents about competences which teachers should develop in pupils, the existing examples of list of competences which contemporary education demands from teachers and the analysis of professional jobs and tasks which should be done by teachers. A few years ago most teacher studies carried out a revision of the 2005 curricula, or were completing this ample work during the academic year 2013/2014. That is why it is important to remark that the following lists of competences are only a working version of the higher education institutions from the sample and during this research they were not found in the curricula available at university web pages, except for the Zadar University. The first in Croatia to publicly publish a study of a possible teacher competence profile for their teacher study were authors from Rijeka, Lončarić and Pejić Papak in 2009. This programme is presented in the following part and it is compared to working versions of the teacher study competence profile of the Universities of Pula and Zadar.

There are many doubts in understanding the concept of competence which influences its formulation. Clearly and precisely defined competences at the level of the syllabus are a support in planning the expected outcomes at the syllabus level and have to be in agreement with competences in a certain profession and CFQ. Initial education has to ensure to students the development of competences demanded by the contemporary teaching profession and the realisation of the national framework curriculum for lower grades of primary school. In any case, the concepts of works and competences cannot be equalised. Namely, competences imply a set of knowledge, abilities, skills, attitudes and values which an individual is able to use to perform certain works and solve familiar and unfamiliar problem situations. Competences as a concept are a nuance to pedagogy and educational institutions which have to operationalise this concept. It is normal that the need for contemplation is present to form a theoretical and practical-operational framework for the application of this concept for pedagogic-didactic purposes. All the more since the concept is primarily used in the area of sociology, economy, occupational psychology and linguistics, all being areas not close to pedagogy and education (Perini, Puricelli, 2013). Therefore, the disagreement found among pedagogy expert in defining, classifying, identifying and using this concept in the area of pedagogy is not surprising. The aforementioned definition points out, besides the skill to perform a certain work, personal creativity, style of behaviour, engagement of the whole self, including convictions, values, attitudes and emotions. Competences unite all those characteristics into a unique approach to solving a certain working task. Besides, an individual's activity is to a great extent conditioned by the social context and an actual educational situation. To equalise competence with the qualifications necessary to perform a certain job means that the complexity of this concept is not accepted, and neither are the consequences it brings along in planning and realising the educational process.

Before starting to analyse curricula according to the competence development principle, it is necessary to clarify differences in the formulation of educational aims as transfer of knowledge and acquisition of skills compared to the development of competences. Contrary to knowledge and skills which can be simply expressed as educational process aims, it is much harder to define competences as learning aims. To notice the difference, a competence will be defined as a complex

learning outcome: each student has to know how to successfully do a task in any situation using the skills and knowledge at his/her disposal. The unknown in the former description of a competence is linked to the unique approach of each individual to a defined concrete situation, as well as to the specificity of the context in which this individual will act. The mentioned characteristics of the concept of competence lead to the conclusion that it is possible to describe it as an educational aim only by excluding the personal component, i.e. by eliminating all the unpredictable dimensions of learning. The following conclusion is derived from the formerly mentioned stating that it is not completely possible to teach or learn competences.

It is possible to study usual procedures and practice the use of various teaching tools and aids used to solve a task successfully, while everything else depends on the students' personal reaction and procedures. Furthermore, since competences are not culturally defined and transferable knowledge, it is not possible to manage the process of their acquisition externally, but individuals have to build and develop them themselves. It can be derived that teaching understood as the traditional transfer of knowledge does not contribute to the development of competences. It is much more useful to give support in learning and organising adequate environment. Next, during the assessment and evaluation of competences, since they are not completely predictable, it is not possible to use a unified assessment model which would suit each individual because students are significantly different. Accepting competences as indeterminate and unpredictable, subject to only partial learning and teaching, their implementation in pedagogy opens for the possibility of personalizing education and evaluation of personal differences, accepting the free and responsible expression of the individual self.

In the following part the competence definition which excludes elements of personal interpretation of competent actions will be used. Although there is no definite version of analysed curricula' competence profiles at disposal, it will be presented since one of the aims of this research was to determine which competences are developed during initial teacher education. For reasons of transparency, the criteria of general and specific competence was applied which the Rectorial Court (2004) suggested in its instruction for the design of new curricula during the implementation of reforms linked to the Bologna process. What follows is the analysis of the working version of general and specific competences in the chosen sample of curricula.

Table 1: The competence profile of teachers at the University of Pula, Zadar and Rijeka Teacher Study (general instrumental competences)

General competences Teacher Study - Pula	General competences Teacher Study - Zadar	General competences Teacher Study - Rijeka
Demonstrate a wide general culture.	Communicate mathematically, make logical conclusions and give arguments for personal mathematical ideas as part of elementary mathematics.	-
Plan and organise one's own learning and training (lifelong learning) individually	-	Reassess one's own work and work upon its improvement.
Communicate in the mother tongue fluently and with arguments.	Communicate in the mother tongue in spoken and written forms; apply standard linguistic norms at all levels (spelling, grammar, lexical, orthoepic and stylistic).	Apply knowledge and understanding as to responsibly encourage linguistic literacy adequate to situations, age and level of education.
Use one foreign language at the level of active communication.	Communicate in one foreign language in spoken and written form.	-

Actively use information technology (ECDL)	Use computer technology to create and edit texts and photographs, and to communicate.	Apply knowledge and understanding to responsibly encourage information and communication literacy.
Demonstrate the possession of personal qualities significant for the teaching profession (communicativeness, empathy, openness, flexibility, etc.).	-	-

It is important to remind that all educational areas are responsible for the development of general or transferable competences. Transferable competences can be used in many situations which are not exclusively linked to the specific academic context and they include instrumental, interpersonal and system competences. Specific competences relate to theoretical and practical knowledge, skills and techniques characteristic for a certain study programme or area, including the specific demands of aimed professions (e.g. teachers). The level of the competence profile abstraction has to be high, but applicable in practice and based upon a real possibility of developing the planned competences by successfully mastering a programme.

Table 2.: Expected general competences at the University of Pula, Zadar and Rijeka Teacher Study (general interpersonal competences)

General competences Teacher Study - Pula	General competences Teacher Study - Zadar	General competences Teacher Study - Rijeka
Establish cooperation relationships with work colleagues and the society as a whole (organise team work, peacefully solve disputes, take over responsibility for the performance of tasks, respect set deadlines).	-	Collaborate with colleagues, professionals and others to promote learning.
Respect the professional ethic.	-	Appreciate oneself as a professional. Appreciate the community and work devotedly for the community.
Respect differences and multiculturality.	Apply the principles of human rights, democratic values, differences, social sensitivity. and tolerance in working with children.	Appreciate and show devotion for social justice. Respect children's rights and the principle of equal possibilities for development through education. Describe traits in pupils with special needs' behaviour and notice their developmental potentials.

The aforementioned general competences (Table 1. and 2.) are under the influence of European documents about key competences¹ which should be acquired by each citizen and which each successful learning outcome, employment and coping with everyday life depends on. Those are the following competences: a) communication in the mother tongue, b) communication in a foreign language, c) mathematical literacy and basic knowledge of science and technology, d) digital competence, e) learn how to learn, f) interpersonal and citizenship competence, g) entrepreneurship, h) cultural expression.

Taking into consideration that general competences are not linked to a certain area and that such a division was not used in the analysed curricula, it was extremely difficult to determine how much and which part of a certain curriculum includes their development. All the analysed programmes have mother tongue and foreign language courses, at least one, and it is possible to learn more foreign languages as elective courses. Two programmes consist of the module training students to become English language teachers in lower grades of primary school. Computer science has also been included in all programmes, while two programmes consist of the module of information and communication technology which prepares students to teach computer science in primary schools. The reinforcement of personal characteristics significant for the successful performance of the teaching profession, and the knowledge about how to study on their own, depend to a great extent on subjective factors which can be only partly influenced by teaching. Most of the aforementioned competences have a high level of vagueness, and without indicators transforming them into coded behaviour patterns and enabling the assessment of their presence in curricula it is not possible to determine if their development was planned. Therefore, attention was directed toward the analysis of specific competences representation.

Table 3.A: Expected specific competences at the University of Pula, Zadar and Rijeka Teacher Study

Specific competences Teacher Study - Pula	Specific competences Teacher Study - Zadar	Specific competences Teacher Study - Rijeka
Demonstrate knowledge of artistic areas and basic sciences and their disciplines which interpret laws, occurrences and processes included in the first cycle programme of primary education.	Describe and display kinesiological operators with the aim to make an advancement in pupils motor, functional and cognitive abilities.	Use thorough practical knowledge in the class.
Plan, programme and evaluate curricula in all educational areas (linguistic-communicational, mathematical, scientific, technical and information, social-humanistic, artistic, and physical-health) according to pupils needs and interests.	Define and apply elementary mathematical definitions, procedures and concepts in the methodical designation of mathematical contents according to the prescribed syllabus for lower grades of primary school. Define and apply elementary scientific concepts in the methodical designation of content in teaching nature and society according to the prescribed syllabus for lower grades of primary school.	Individually plan teaching for efficient learning. Correctly interpret fundamental educational concepts. Design a teaching plan which supports efficient learning. Determine teaching aims with regard to learning outcomes.

¹ Recommendation of the European Parliament and of the Council of 18 December 2006 on key competences for lifelong learning. // Official Journal of the European Union L394/10, 2006, p. 4-9.
Available at: http://eurlex.europa.eu/LexUriServ/site/en/oj/2006/l_394/l_39420061230en00100018.pdf. Report on Key Competencies for a Successful Life and a Well-Functioning Society Available at: <http://www.oecd.org/dataoecd/47/61/35070367.pdf>.

The list of expected specific competences (tables 3.A, 3.B, 3.C) in three teaching programmes has a different level of abstraction and degree of correlation with contents of appropriate courses. Common elements of analysed programmes are teachers' competences relating to programming and preparation of teaching, methodical processing of teaching contents, the conduction of teaching and classroom management, monitoring and assessment of pupils' achievements, or the capability to perform traditional teaching jobs.

Table 3.B: Expected specific competences at the University of Pula, Zadar and Rijeka Teacher Study

Specific competences Teacher Study - Pula	Specific competences Teacher Study - Zadar	Specific competences Teacher Study - Rijeka
Individually conduct the teaching of all subjects and areas represented in the primary school lower grades' syllabi, in Croatian or Italian, in all forms of work they are realised (compulsory, elective, remedial and additional classes, extracurricular activities, cultural and public activity).	Articulate and analyse the Croatian language, Mathematics, Nature and Society, Physical Education, Art, Music lessons according to the prescribed syllabus for primary school lower grades. Apply practical knowledge and skills in the realisation of music activities (singing, playing and instrument, listening to music and music creativity). Understand and apply various art media and techniques and articulate the Art lesson in primary school.	Individually conduct organised forms of work in educational areas. Correctly interpret the fundamental concepts for subject methodologies. Analyse and critically reflect upon programme contents. Show the ability to teach individuals, groups and classes. Encourage creativity in interest areas at the focus of pupils. Individually plan, programme and conduct pupils out-of-school activities.
Efficiently use the information and communication technology in the educational process.	Use computer technology to create and edit texts and photographs, and for communication.	Individually use the computer in the realisation of educational aims. Apply different multimedia teaching activities in practice.
Actively correlate and evaluate the theoretical principles and practical experience in the area of education.	Manage the teaching process in changeable conditions, respecting pedagogic principles and principles of differences.	Individually practically apply the fundamental psychological-pedagogic-didactic processes of cognition. Understand and use the main elements of the educational system; show their attitude and opinion about educational issues; understand the nature and areas of the primary school curriculum. Justify their approaches to learning and teaching and understand their effect on the pupil.
Create and apply different teaching strategies and encourage learning and the development of the child's self and monitor and note down advancement done by each child in all developmental areas (cognitive, emotional, social and motor).	Apply various teaching methods, depending on the children's developmental dimension and possibilities.	Use various strategies and approaches to work adapted to the topic, subject and pupils needs. Harmonise expectations and working pace to the pupils' needs. Discipline pupils' behaviour in a right, socially sensitive and consistent way. Evaluate and advance teaching using evaluation results.

Table 3.C: Expected specific competences at the University of Pula, Zadar and Rijeka Teacher Study

Specific competences Teacher Study - Pula	Specific competences Teacher Study - Zadar	Specific competences Teacher Study - Rijeka
Create and apply various strategies of the teaching process and pupils' achievements evaluation (including the evaluation of the personal practical experience, organisation and efficiency of work).	-	Apply the principles of monitoring and assessment. Show knowledge in the use of various methods of evaluation adequate to the children's age and determine the levels of achievement. Monitor advancement according to aims, identify problems, confirm achievements and outcomes. Use evaluation to determine the following aims of work.
Creatively and efficiently designate the educational environment according to pupils' needs and possibilities.	-	Efficiently organise work and teaching.
Recognise and together with other members of the expert service team evaluate children's special needs (giftedness, developmental impairment)	Recognise specific pupils' needs conditioned by their differences and peculiarities at the individual level.	Show the capability of adequate reactions to gender, social, cultural, religious and language differences among pupils. Designate creative contents to work with gifted children.
Collect, create and keep simple and complex didactic means of working with children and take care about the aesthetic and functional arrangement of the space where teaching and other activities are conducted.	-	Plan and ensure a well organised class aiming at pupils' safety and motivation, with various social forms of work. Use the environment and resources out of the school to enrich teaching.
Establish close cooperation relationships with parents, members of the school expert team, and other professionals and participators of children's education in the local community, and engage into the achievement of active participation of the school and pupils in the local community life.	Organise activities for the inclusion of parents into their children's education Organise and conduct various extracurricular and out-of-school activities.	Cooperate with colleagues, professionals and others to promote learning. Have a successful cooperation with parents. Respect the need for scientific and nature education and show responsibility for their personal progress and the community.
Actively follow and critically evaluate relevant professional and scientific literature in the area of education with the aim of lifelong training.	Critically evaluate various sources of knowledge in the area of education.	Understand research and its contribution to education. Find and evaluate professional and scientific literature.

Conduct a scientific research and thus achieve new knowledge with the aim of improving the educational process.	Conduct research with the purpose of the advancement of the profession, taking into consideration the ethical codex of researching children participants.	Competently conduct scientific research and thus create new knowledge in the interdisciplinary area of education.
-	Understand and analyse contents of the national and world's history. Understand the pedagogical aspect of children's literature and correlations with other areas of educational work.	Apply knowledge and understanding to responsibly support mathematical and scientific literacy adequate to the situation, age and level of education.

Competences formulated in the area of teaching indicate the different conceptualisation of the teaching profession in certain programmes: a) *"Plan, programme and evaluate curricula ... according to the pupils' needs and interests."* b) *"Create a teaching plan which supports efficient learning."* c) methodically shape *"contents of Nature and Science teaching according to the prescribed curricula for lower grades of primary school"* or *"articulate and analyse the Croatian language, Mathematics, Nature and Society, Physical Education, Art and Music lesson according to the prescribed curriculum for lower grades of primary school"*.

The first and the second description of competences implies a teacher leader and animator of the learning process, while the third formulation indicates a teacher who is the technical realiser of the curriculum. When there is a transfer from teacher competences for the performance of the traditional function of the teaching professional to new roles and adequate competences, like for instance, the explorer of the educational reality, organiser and animator of social occurrences, professional who recognises the pupils' special needs, the described competences are more a reflection of the idealised professional profile of a good teacher than the really possible development of these competences during initial education. Descriptions of competences which cannot be developed based on syllabi planned for that purpose also appear. This is confirmed by course syllabi which are included in the study programmes with the aim to develop certain competences, and they include all the typical characteristics of teaching directed to the transfer of knowledge, beginning from the planned teaching methods to tests as a method of knowledge assessment.

Conclusion

The teaching profession is very complex, multidimensional and extremely demanding in the contemporary society of continuous changes. To be a competent teacher demands for a synergic integration of knowledge, abilities and action, because teachers act in complex, changeable, insecure situations which almost never repeat in the same form. To achieve autonomy and responsibility for work, the future teacher has to develop dynamic qualities of their professional profile, namely the art of critical thinking, initiative, creativity, research abilities, which are contrary to static characteristics like order, discipline and the feeling of duty. The latter are sufficient if teachers fulfil the prescribed curriculum and face the familiar educational situations, but not in the new and unfamiliar ones, when they have to find an original solution themselves. According to Donald Schön (1987) in facing a problem situation, teachers can act in two different ways:

Applying the technical rationality (familiar behaviour patterns)

Applying the reflexive rationality (there are no familiar solutions, but teachers have to find them contemplating on the formed experience)

The level to which students change and integrate the theoretical cognition and teaching practice as part of their study programme has an unmeasurable importance for the development of abilities of deliberation and correlation of the acquired knowledge with practical experience. This goes along the educational theses characteristic for the postmodern period which avoid the separation of theory and practice present in traditional curricula, and emphasizes the importance of personal experience in learning and deliberating about the same, instead of remembering huge amounts of factual and procedural knowledge.

To become a competent practitioner who thinks of his/her activities includes intellectual engagement, the theoretical understanding of educational reality and the autonomous application of found solutions. Thus, the development of teacher competences is impossible without the constant practicing of procedural and metacognitive knowledge, and organised research and deliberation. Initial education is only an introduction to the process of "becoming" a teacher, but it has to set the foundations to the critical-reflexive competence for a continuous reorganisation of personal emotional and cognitive resources.

References

- [1] Bežen, A. (2008). *Metodika, znanost o poučavanju nastavnog predmeta*. Zagreb: Učiteljski fakultet, Profil.
- [2] Capperucci, D. (2008). *Dalla programmazione educativa e didattica alla progettazione curricolare. Modelli teorici e proposte operative per la scuola delle competenze*. Milano: Franco Angeli.
- [3] Castoldi, M. (2009). *Valutare le competenze. Percorsi e strumenti*. Roma: Carocci editore.
- [4] Cindrić, M.; Miličković, D.; Strugar, V. (2010). *Didaktika i kurikulum*. Zagreb: IEP – D.
- [5] Darling Hammond, L.; Bransford, J. (2005). *Preparing teachers for a changing the world*. San Francisco: Jossey Bass.
- [6] Domović, V. (2006). Profesionalne kompetencije studenata nastavnčkih fakulteta i predmetnih nastavnika. *Metodika*, 7(1), 43-52.
- [7] Domović, V. (2009). Kurikulum – osnovni pojmovi. In: V. Vizek Vidović, (ur.) *Planiranje kurikulumuma usmjerenoga na kompetencije u obrazovanju učitelja i nastavnika*, Zagreb: Filozofski fakultet Sveučilišta u Zagrebu i Učiteljski fakultet Sveučilišta u Zagrebu. Available at: <http://infed.org/mobi/david-a-kolb-on-experiential-learning/> 28 October 2018.
- [8] Fumarco, G. (ed.). (2006). *Professione docente. Ruoli e competenze*. Roma: Carocci.
- [9] *Hrvatski kvalifikacijski okvir. Uvod u kvalifikacije*. (2009). Zagreb: Vlada Republike Hrvatske. Ministarstvo znanosti, obrazovanja i športa.
- [10] Jurčić, M. (2012). *Pedagoške kompetencije suvremenog učitelja*. Zagreb: RECEDO.
- [11] Kerka, S. (1998). *Competency-based education and training. Myths and Realities* http://academicos.iems.edu.mx/cired/docs/tg/macroacademiaquimica/Competency-based%20education%20and%20training%20myths%20an%20realities_Kerka.pdf 9 August 2018.
- [12] Kostović- Vranješ, V.; Ljubetić, M. (2008). „Kritične točke“ pedagoške kompetencije učitelja. *Život i škola*, 56(2), 147-162.
- [13] Lersch, R. (2005). Nastava kao čin ravnoteže. Didaktičko-metodička razmatranja o novoj kulturi učenja. *Pedagogijska istraživanja*, 2(1), 85-99.
- [14] Lončarić, D., Pejić Papak, P. (2009) Profiliranje učiteljskih kompetencija, *Odgojne znanosti*, 11 (2), 479-497
- [15] Margiotta, U. (ed.). (2002). *L'insegnante di qualità. Valutazione e performance*. Roma: Armando editore.
- [16] Matijević, M. (2009). Od reproduktivnog prema kreativnom učitelju. U: Bognar, L.; Whitehead, J. (ed.). *Poticanje stvaralaštva u odgoju i obrazovanju*: zbornik radova; Encouraging creativity in education: proceedings, Zagreb: Profil International, 17-23.
- [17] Meyer, H. (2002). *Didaktika, razredne kvake. Rasprava o didaktici, metodici i razvoju škole*. Zagreb: Educa.
- [18] Mijatović, A. (2002), *Obrazovna revolucija i promjene hrvatskoga školstva*. Zagreb: Hrvatski zemljopis.
- [19] Moscato, M. T. (2008). *Diventare insegnanti. Verso una teoria dell'insegnamento*, Brescia: Edizioni La Scuola.
- [20] Mušanović, M. (2001). *Teachers educational philosophies and action research /Odgojno - obrazovne filozofije učitelja i akcijska istraživanja*. In: Theoretical and Methodological Foundations of Educational Research. Rijeka: Filozofski fakultet u Rijeci, 133-143.
- [21] *Nacionalni okvirni kurikulum za predškolski odgoj i obrazovanje te opće obvezno i srednjoškolsko obrazovanje* (2014). Zagreb: Ministarstvo znanosti, obrazovanja i športa.
- [22] *Nastavni program Integriranog preddiplomskog i diplomskog sveučilišnog učiteljskog studija*. Odjel za odgojne i obrazovne znanosti Sveučilišta Jurja Dobrile u Puli. Available at: <http://www.unipu.hr/index.php?id=113> 26 October 2018.
- [23] *Nastavni program Integriranog preddiplomskog i diplomskog sveučilišnog učiteljskog studija*. Učiteljski fakultet Sveučilišta u Rijeci. Available at: <http://www.ufri.uniri.hr/> 23 October 2018.

- [24] *Nastavni program integriranog preddiplomskog i diplomskog sveučilišnog učiteljskog studija*. Odjel za izobrazbu učitelja i odgojitelja predškolske djece Sveučilišta u Zadru. Available at: <http://www.unizd.hr/Default.aspx?alias=www.unizd.hr/ucitelji-odgojitelji> 9 November 2018.
- [25] Palekčić, M. (2007). Od kurikuluma do obrazovnih standarda. Previšić, V. (ed.), *Kurikulum: teorije - metodologija - sadržaj - struktura*. Zagreb: Školska knjiga, 39-115.
- [26] Palekčić, M. (2008). Uspješnost i/ili učinkovitost obrazovanja nastavnika. *Odgovne znanosti*, 10(2), 403-423.
- [27] Peko, A.; Mlinarević, V.; Sablić, M. (2007). *Učitelj i zahtjevi nastavnih kompetencija*. In: Babić, N. (ed.). Zbornik radova Kompetencije i kompetentnost učitelja. Competences and teacher competence. Osijek: Sveučilište Josipa Jurja Strossmayera, Učiteljski fakultet, 327-331.
- [28] Pellerey, M. (2004). *Le competenze individuali e il Portfolio*. Milano: RCS Libri.
- [29] Perini, R.; Puricelli, E. (2013). *Didattica per competenze*. Roma: Editoriale Anicia.
- [30] Perrenoud, P. (2000, 2010). *Costruire competenze a partire dalla scuola*. Roma: Anicia.
- [31] Perrenoud, P. (2002). *Dieci nuove competenze per insegnare: invito al viaggio*, Roma: Anicia.
- [32] Piršl, E. (2014). (Re)definiciona pojma kompetencije i interkulturalne kompetencije. In: Hrvatić, N. *Interkulturalno obrazovanje i europske vrijednosti*. Znanstvena monografija. Zagreb, Virovitica: Odsjek za pedagogiju - Filozofski fakultet u Zagrebu. Visoka škola za menadžment u turizmu i informatici u Virovitici, 47-67.
- [33] Piršl, E.; Hrvatić, N. (2007). Kurikulum pedagoške izobrazbe učitelja. In: Previšić, V. *Kurikulum*. Zagreb: Školska knjiga, 333-356.
- [34] Poglia, E. (2006). Competenze: concetto efficace ma problematico? In: Quaderno dell'Istituto Comunicazione Istituzionale e Formativa *Competenze e loro valutazione in ambito formativo*, n. 12. Università della Svizzera Italiana. Lugano: Facoltà di Scienze della Formazione.
- [35] *Razdevšek Pučko, C.* (2005). Kakvog učitelja/nastavnika treba (očekuje) škola danas (i sutra)? *Napredak*, 146(1), 75-90.
- [36] *Rektorski zbor.* (2004). Prijedlog Povjerenstva Rektorskog zbora za pripremu i praćenje implementacije Bolonjske deklaracije. Available at: <http://www.public.mzos.hr> 12 September 2018.
- [37] Schön, D. A. (1987, 2006). *Formare il professionista riflessivo*, Ed. Striano, M., trad. Capperucci, D. Milano: Franco Angeli.
- [38] Stoll, L.; Fink, D. (2000). *Mijenjajmo naše škole*. Zagreb: Educa.
- [39] Strugar, V. (2012). *Znanje, obrazovni standardi, kurikulum. Teorijsko-kritički pristup obrazovnoj politici u Hrvatskoj*. Zagreb: Školske novine.
- [40] Vizek Vidović, V. (ed.). (2005). *Cjeloživotno obrazovanje učitelja i nastavnika: višestruke perspektive*. Zagreb: Institut za društvena istraživanja.
- [41] Vizek Vidović, V. (ed.). (2009). *Planiranje kurikuluma usmjerenoga na kompetencije u obrazovanju učitelja i nastavnika*. Priručnik za visokoškolske nastavnike. Zagreb: Filozofski fakultet Sveučilišta u Zagrebu. Učiteljski fakultet Sveučilišta u Zagrebu.
- [42] Vizek Vidović, V. et al. (ed.). (2011). *Učitelji i njihovi mentori. Uloga mentora u profesionalnom razvoju učitelja*. Zagreb: Institut za društvena istraživanja.
- [43] Weinert, F. E. (2001). *Concept of Competence: A Conceptual Clarification*. In: D. S. Rychen; L. H. Salganik (eds) *Defining and Selecting Key Competencies*. Seattle: Hogrefe & Huber Publishers.

Specific Articulation Disorders in Children Native Speakers of Bulgarian – Distribution, Characteristics, Demographic Patterns

Ekaterina Todorova

New Bulgarian University/ PhD, Assoc. Prof.

Department of Health Care and Social Work

Abstract

The article presents a study of the articulation behaviour in 610 Bulgarian children aged 4 years and 5 months up to 7 years and 6 months. In 503 children (82%), incorrect articulation of consonant sounds from early, middle and late ontogenesis is established. The highest percentage of non-normative production is registered with sounds of early ontogenesis [j] 79% and [r] 43%. The percentage distribution of impaired articulation of ontogenetically middle fricatives is 27% for the group of [ʃ], [ʒ], [tʃ] and 20% for the group of [s], [z], [ts] respectively. Incorrect articulation of the ontogenetically early sounds [k, g] is recorded in 1% of the subjects surveyed for the [k] sound and 4% for the [g] sound. What is observed is the presence of age dynamics of impaired articulation where the number of children without disorders tends to increase with age. Another factor of influence on the distribution of the articulation disorders to be noted is the demographic one, i.e. the place of residence. The results obtained show a significant difference in the number of registered articulation disorders in children living in the capital of Bulgaria (Sofia) and living in other places. The established differences are related to the lack of a comprehensive state policy (health and education) for the organization of prevention, diagnosis and therapy of communicative disorders.

Keywords: speech sound disorders, specific articulation disorders, speech pathology

Introduction

A specific speech articulation disorder is a specific developmental disorder in which the child's use of speech sounds is below the appropriate level for its mental age, but in which there is a normal level of language skills (ICD-10, 2015). Bowen (1998) talks about "functional speech disorder", which is manifested in the incorrect articulation of one or more than one speech sounds. Articulation disorders are difficulties with the way sounds are formed and strung together, usually characterized by substituting one sound for another, omitting a sound, or distorting a sound (Cuffaro, 2011). Articulation disorders affect a serious percentage of the population of children of preschool and school age. According to DSM-IV (2000) articulation disorders considerably hinder educational and professional achievements as well as social communication.

A fuller outline of the distribution and assessment of childhood articulation disorders is important for parents, specialists and health and education policy. They are related to the optimization of the assessment, interventions and the services offered for these children (P. Enberby, C. Pickstone, 2005). According to McKinnon, McLeod and Reilly (2007), the data in specialized literature on the percentage distribution of speech disorders in different language populations is controversial due to the application of different assessment methods and the different age of the surveyed children. According to Karbasi et al. (2011), what causes additional misunderstandings is the different terminology, definitions and interpretation in the designation of impaired articulation. This makes the comparative analysis of the epidemiological studies in the field extremely difficult. A survey of Keating et al. (2001) based on parent and teacher questionnaires shows that when examining 12,000 Australian children under the age of 14, 1.7% turned out to have speech disorders. According to the same authors, children with speech disorders are more likely to have additional health problems. A study of Zhao et al. (2009) observes a high degree of comorbidity and a number of behavioural problems in children with articulation disorders. The authors studied 112 Chinese children with articulation disorders between the age of 4 and 11. In 61.6%, comorbidity with another disorder was reported, i.e. language disorders, stuttering, tic disorders. At school-age Attention-Deficit Hyperactivity

Disorder (ADHD) is with the highest comorbidity (47.5%). Beitchman et al. (1986) report that the prevalence of communicative disorders in Canada at age 5 is 6.4%. Karbasi, Fallah and Golestan (2011) examined 7881 Iranian pre-school children and found that 14% of them had speech disorders (articulation, voice, stuttering). Of the total population of children with disorders (1166 children), the percentage of specific articulation disorders is the highest - 88.6% (1033 children). A general trend in the data from the various studies is the widespread prevalence of speech disorders in childhood, with a tendency to decrease with age. The National Center for Health Statistics (NCHS, as cited in Leske, 1981) reports that the distribution of articulation disorders covers about 1% of the population of all ages. For children aged 6 to 11 the percentage distribution is 8.4% compared to 4.2% among children aged 12 to 17. According to Shriberg et al. (1994) this is due to the practice-based evidence that impaired articulation could be overcome with age, or "outgrown" over time. Hereby the authors promote the theory of "long-term speech-sound normalization".

There isn't a national epidemiological study of specific articulation disorders for Bulgaria. Terminological diversity, conceptual contradictions and the lack of standardized assessment methods significantly complicate its implementation. These problems hinder the making of important decisions in the planning of policies and practices to address articulation disorders – screening, diagnosis and differential diagnosis, prevention, treatment.

Method

For the purpose of the study an original methodology for the study of articulation in pre-school and primary school age has been developed. The stimuli include linguistic material containing phonemes with high frequency in articulation disorders in children native speakers of Bulgarian. These are sounds of early ontogenesis [k], [g]; sounds of middle ontogenesis [s], [z], [ts], [ʃ], [ʒ], [tʃ] and late ontogenesis sounds [l], [r]. Research samples include stimulus material (109 linguistic items), which explores the articulation of these sounds and is grouped into four categories:

Articulation of isolated phonemes. The stimuli include isolated articulation of the 10 studied speech sounds.

Prompted articulation of words containing the studied speech sounds through visual stimulus in the form of object images. The research samples include 30 graphic images of nouns. The images are taken from *A Picture Test for morphological performance of plural forms of nouns* (E. Todorova, Part II., 2005: 8-67). The stimuli are selected so that each word contains the researched sound and doesn't contain any other sound of the same phonemic class.

Articulation in words with different position of the studied sound - beginning, middle, end. 39 stimuli are included, which examine the degree of influence (presence or absence) of the phoneme position distribution on the type of impaired articulation.

Articulation of words demonstrating combinatory rules of sounds. The stimuli include 30 words in which the studied sounds [are in a syllable, characterized by a consonant cluster of the type - CCV, CCCV, CCVC or demonstrate a consonant cluster at a syllable boundary. The items follow the phonological rules for combining sounds in Bulgarian.

The linguistic items thus constructed allow for an assessment of persistent errors in impaired articulation and allow control of the influence of the formal language structure (influence of the phonological rules).

Participants

In the epidemiological study 610 children aged between 4, 5 to 7, 6 years old took part. Their selection was based on the principle of a controlled sample, where the cases of established development problems were excluded. This is grounded in the accepted theoretical concept of defining the specific articulation disorders - incorrect production of one or more speech sounds (omissions, substitutions, distortions), which is not due to reduced hearing, mental retardation, linguistic violation, structural damage to the articulation apparatus, neurological disorders or adverse environmental influence.

The respondents are divided into four age groups: from 4, 5 to 5 years old, 20 children, 3.3%; from 5 to 6 years old, 183 children, 30%; from 6 to 7 years old, 246 children, 40.3%; from 7 to 7, 6 years old, 161 children, 26.4%. Of these, 283 are girls (46.39%) and 327 are boys (53.61%). The sample includes 530 children (86.9%) from a large place of residence (city) and 80 children (13.1%) from a small place of residence (village). The surveyed children from the capital are 352 (57.8%), from other places of residence 258 (42.2%).

Results

Percentage distribution

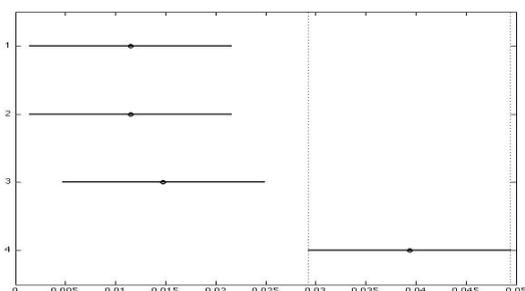
Of the 610 children aged 4, 5 to 7, 6, 503 children (82%) demonstrate some type of articulation disorder. Of these, 303 children (60%) have a monomorphic type of disorder, due to the incorrect articulation of late ontogenesis [l] and [r]. In 200 of the respondents (40%) a polymorphic type of disorder has been identified which affects several phonemic groups, predominantly of middle and late ontogenesis ([s], [z], [ts], [ʃ], [tʃ], [l], [r]) and less frequently of early ontogenesis ([k], [g]). The highest percentage of non-normative production is registered with [l] 79% and [r] 43%. The percentage distribution of impaired articulation of ontogenetically middle fricatives is - 27% for the group of [ʃ], [ʒ], [tʃ] and 20% for the group of [s], [z], [ts]. The results obtained correlate with the sound ontogenesis of the Bulgarian language. Due to the peculiarity of their articulation characteristics, the sounds [ʃ], [ʒ], [tʃ] are defined as sounds with a more complex articulation focus compared to the articulation of the sounds [s], [z], [ts]. Incorrect articulation of the ontogenetically early sounds [k, g] is registered in only 1% of the tested respondents for the sound [k] and 4% for the sound [g].

The analysis of the percentage distribution of incorrect articulation in the individual subtests shows persistence in the production errors of middle ontogenesis [s], [z], [ts], [ʃ], [ʒ], [tʃ] and late ontogenesis [l], [r]. The articulation of early ontogenesis sounds [k], [g] reveal a difference in the articulation behaviour in the different subtests presented in Table 1.

Table 1.

Phonemas	Subtest 1		Subtest 2		Subtest 3		Subtest 4	
	subject	%	subject	%	subject	%	subject	%
[k]	7	1.1475	7	1.1475	9	1.4754	24	3.9344
[g]	25	4.0984	25	4.0984	24	3.9344	27	4.4262

The results from ANOVA show a significant difference in performance in the different tests regarding the articulation of [k], at a value of $p = 0.00052$, the significance being determined by the results obtained from Subtest 4 presented in Graph 1.



Influence of the age factor

For the verification of the age factor and its influence on the type of articulation behaviour, the respondents are divided into three age groups based on months, respectively - from 53 to 60 months, from 60 to 72 months, from 72 to 84 months. The influence of the age factor in the different age groups is addressed according to three categories: children without disorders; children with a monomorphic type of articulation disorder; children with a polymorphic type of articulation disorder. Using a one-dimensional logistic model, the results categorically distinguish between two types of disorder (monomorphic and polymorphic) according to age at $p = 0.000$ and children with and without age-related disorders at $p = 0.006$. The results obtained define three important trends: (1) with age, the number of children without disorders increases; (2) with age, polymorphic disorders decrease; (3) the number of children with a monomorphic type of disorder remains constant among the studied age population.

Influence of the place of residence factor

What was used for the verification of the sociolinguistic factor - place of residence (according to the size of the place) and its influence on the articulation was ANOVA. The results show a statistically significant difference in the number of registered articulation disorders between large and small places of residence, with a value of $p \leq 0.1$ for all phonemes examined, except for the [l] sound Table 2. Table 2.

Articulation disorder	Large place of residence	Small place of residence	Result
(phonemes)	(respondents)	(respondents)	(P)
[k]	4	20	0.0757*
[g]	4	23	0.0359*
[s]	27	96	0.0025*
[z]	26	95	0.0018*
[ts]	27	98	0.0016*
[ʃ]	36	126	0.0003*
[ʒ]	36	126	0.0003*
[tʃ]	36	134	0.0000*
[l]	161	325	0.7445
[r]	73	213	0.0000*

* $p \leq 0.1$

The obtained results present a significant difference in the number of registered articulation disorders in children living in the capital of Bulgaria (Sofia) and the ones living in other places of residence. The results obtained with ANOVA show a significant difference at $p \leq 0.1$ for the sounds [k], [g], [l], [r] presented in Table 3.

Table 3.

Articulation disorder	Another place of residence	Sofia city	Result
(phonemes)	(respondents)	(respondents)	(P)
[k]	17	7	0.0174*
[g]	18	9	0.0014*
[l]	409	77	0.0000*
[r]	235	51	0.0012*

Regardless of the differences in the number of children with impaired articulation of the sounds [s], [z], [ts], [ʃ], [ʒ], [tʃ] among the surveyed respondents from Sofia and other places of residence, these differences have no significant value.

Discussion

The percentage distribution of articulation disorders demonstrates the influence of two factors, i.e. sound ontogenesis and motoric complexity. The highest percentage of impaired articulation is to be found in late ontogenesis sounds [l], [r]. The lowest rate of distribution is identified in sounds of early ontogenesis [k], [g]. In case of impaired articulation of the early [k] and [g], there is variability in the errors as a result of the phonological context. Therefore, in case of impaired articulation of sounds from early ontogenesis, the manifestation is a symptom of linguistic rather than speech pathology.

The obtained result regarding the age dynamics of impaired articulation is expected and shows the reliability of both the data obtained and the evaluation methodology used. The population sample reflects stages in the development of the motor skills for articulation and their respective ontogenetic sequence, both in norm and in pathology (in the case of a disorder). With age, children with disorders improve their speaking skills and, subsequently, non-normative articulation decreases.

The decrease in number of children with disorders corresponds to the decrease in number of children with polymorphic articular dysfunction. The polymorphic type of disorder is characterized by incorrect sound production from two or more phonemic groups. In the population sample, these are children with predominantly wrong articulation of the group including the sounds [s], [z], [ts], [ʃ], [ʒ], [tʃ] as well as [l], [r]. Significantly less often this type of disorder is also demonstrated with an incorrect sound production of the sounds [k, g]. The decrease in number of children with a polymorphic disorder in the sample is at the expense of the acquisition of normative articulation of early and medium ontogenesis sounds. The number of children with a monomorphic type of disorder remains constant. The monomorphic type of disorder is characterized by incorrect articulation of sounds from the same phonemic class. In the sample, these are children with incorrect articulation

of the sounds [l] and [r]. In other words, children with a monomorphic disorder demonstrate incorrect articulation of ontogenetically late sounds.

The results obtained for the age dynamics of articulation behaviour in pre-school age also have a significant diagnostic aspect. Knowing the child's age: from 53 to 60 months / from 60 to 72 months / from 72 to 84 months, we can predict the exact probability in which group he/she would fall: (1) children without disorders; (2) children with a monomorphic type of disorder; (3) children with a polymorphic type of disorder. This would ease the diagnostic procedures applied. At the age between 4, 6 to 6, the probability of impaired articulation being of a polymorphic nature is significantly greater than after 6 years of age. In children aged 6 years and over, it is more likely to expect a monomorphic type of dysfunction, mainly with sounds of late ontogenesis [l] and [r]. The probability of children aged between 6 and 7 demonstrating an articulation disorder is significantly lower than the probability of predicting articulation dysfunction in the remaining age categories.

The significant differences in the articulation behaviour of children based on the place of residence factor raise a number of alarming questions about the influence of various factors on the mechanisms of prevention, diagnosis and therapy of communicative disorders. The offered specialized services for these children are concentrated in the capital, while in the other places of residence they are insufficient or completely absent. At present, providers of childcare services for children with articulation disorders in Bulgaria are limited to the existence of: State Speech Therapy Centres - two for the whole country (Sofia, Varna); NGOs; private specialists; academic groups in universities. Practically, the only support in kindergartens and schools is limited to the appointment of a speech therapist from a state speech therapy centre who is usually responsible for several institutions. Private centres and offices have been opened in the cities of Sofia, Plovdiv, Varna and Burgas. In the remaining places of residence there are no specialists or organized speech therapy services.

Conclusion

The presented study was focused on speech behaviour in pre-school and primary school age and in particular on the distribution of articulation disorders. The results obtained show a widespread distribution of specific articulation disorders in children native speakers of Bulgarian, where the registered data show a prevalence of 82% in the studied population. The established high rate of impaired articulation is due to the use of a method of assessment carried out by experts on the basis of a face-to-face interaction with the surveyed subjects rather than through collecting data from parental and / or teacher questionnaires. The obtained results are relevant to the sound ontogenesis within a statistical norm. The sounds of early ontogenesis [k, g] are with the lowest rate of distribution followed by the sounds of middle ontogenesis, where a higher rate of distribution is observed of [l], [z], [tʃ] compared to the results of [s], [z], [ts]. The highest percentage of distribution is among the ontogenetically late [r] and [l]. With age, the number of children without disorders increases, so the number of articulation disorders also decreases. Children with disorders improve their speaking skills during the process of growing up. The articulation behaviour is influenced by sociolinguistic factors such as the place of residence, where the size and type of the place is important. The established differences are related to the lack of a comprehensive state policy (health and education) for organizing the prevention, diagnosis and therapy of communicative disorders.

References

- [1] American Psychiatric Association. (2000). Diagnostic and statistical manual of mental disorders (4th ed., text rev.). Washington, DC: Author.
- [2] Beitchman J., R. Nair, M. Clegg, P. Patel, B. Ferguson, E. Pressman, A. Smith (1986). Prevalence of speech and language disorders of 5-years-old kindergarten children in the Ottawa-Carleton region. *Journal of Speech and Hearing Disorders*, 51 (2): 98-110.
- [3] Bowen, C. (1998). *Developmental phonological disorders. A practical guide for families and teachers.* Melbourne: ACER Press
- [4] Enberby P., C. Pickstone (2005). How many people have communication disorders and why does it matter? *Advances of Speech Language Pathology*, 7 (1): 8-13.
- [5] Karbasi S., Fallah R., Golestan M. (2011). The Prevalence of Speech Disorders in Primary School Students in Yard-Iran. *Acta Medica Iranica*, 49 (1): 33-37.
- [6] Keating D., Turrell G., Ozanne A. (2001). Childhood speech disorders: reported prevalence, comorbidity and socioeconomic profile. *J Paediatr Child Health*; 37(5): 431-6.
- [7] Leske M. (1981). Prevalence estimates of communicative disorders in the U.S. *Language, hearing and vestibular disorders. ASHA*; 23(3): 229-37.

- [8] McKinnon D., S. McLeod, S. Reilly (2007). The Prevalence of stuttering, voice and speech-sound disorders in primary school students in Australia. *J Lang Speech Hear Serv Sch*, 38 (1): 5-15.
- [9] Shriberg L., F. Gruber, J. Kwiatkowski (1994). Developmental phonological disorders. III. Long-term speech-sound normalization. *Journal of Speech, Language, and Hearing Research*, 37(5): 1151-1177.
- [10] Todorova E. (2005). *Diagnosis of Language Deficit in Dyslexia. Part II. A Picture Test for morphological performance of plural forms of nouns*. Sofia: Romel Publ.
- [11] World Health Organization (2013). *How to use the ICF: A practical manual for using the International Classification of Functioning, Disability and Health (ICF)*. Exposure draft for comment. October 2013. Geneva: WHO.
- [12] World Health Organization (2015). *International Statistical Classification of Diseases and Related Health Problems 10th Revision (ICD-10)*. 2015, Geneva: WHO.
- [13] Zhao Y.J., Sun H., Ma H., Zhao Y.R. (2009). Co morbidities and behavioral problems in children with functional articulation disorders. *PubMed*, Mar; 11(3): 225-258.
- [14] Cuffaro M. (2011) *Articulation Disorder*. In: Goldstein S., Naglieri J.A. (eds) *Encyclopedia of Child Behavior and Development*. Springer, Boston, MA.

Global Challenges of Social Policy on the Example of the Labor Market: The Experience of Kazakhstan

G. Jussupova

PhD candidate at the National School of Public Policy

Academy of Public Administration under the President of the Republic of Kazakhstan.

Abstract

The processes of globalization affect many economic and social processes, and the labor market is no exception. The situation in the labor market is always the center of attention for the state, business, and society as a whole. It determines the economic development of the country, social policy, the competitiveness of enterprises, and human capital. This article discusses global challenges such as the fourth industrial revolution, the digital transformation of society and industry, migration processes and informal employment, the problems of identifying social status for the population, and the system of accounting for social benefits. Because the labor market is experiencing the strongest impact of political, economic, social, and demographic processes, it has its own characteristics in each country, and this article discusses the internal problems of the Kazakhstan labor market. In addition, the article provides suggestions for improving social policy issues, employment through the automation of social processes and services, the digitalization of the public and private sectors, and the creation and development of information infrastructure of the labor market.

Keywords: digital technologies, digital government, social policy, social status, employment, labor market, unemployment

Introduction

Currently, according to the International Labor Organization (ILO), more than 192 million people in the world are unemployed, which is 5 million people less than in 2016. The average unemployment rate is 5.6 percent (see Table 1.), and in 2019, this situation will remain unchanged. More than 700 million people in the world live in poverty. This causes severe problems of social insecurity in the population and an increase in labor-based migration. In 2013, international movement amounted to more than 232 million people, of which 89 percent of the working-age population and according to preliminary forecasts will grow.¹ Due to military conflicts, migration has critically affected the labor market in Europe.

The lack of employment opportunities for young people under the age of 25 is another severe global problem. The youth unemployment rate in the world is 13 percent, or 3 times higher than that of the adult population (4.3 percent). Due to demographic trends, the labor market is replenished annually by 40 million people, which requires the creation of more than 600 million new jobs in the global economy until 2030. At the same time, this is mainly in the services sector, which today accounts for about 50 percent of all employed people in the world compared with 29 percent in agriculture and 21 percent in industry.²

One of the global challenges of the labor market is the fourth industrial revolution (which includes robotics, digital technologies, process automation, nanotechnology, 3D printing, and biotechnology). On the one hand, innovation contributes to improving the productivity and efficiency of enterprises, lowering prices for products, increasing demand, expanding production and creating jobs. On the other hand, it reduces the need for labor resources, causes a reduction in the number of enterprises at enterprises using automation, and, in general, inflicts an increase in the so-called "technological" unemployment. Since 2017, the State Program "Digital Kazakhstan" has been launched in Kazakhstan, within which the digital transformation of the country's economy, the development, and creation of new modern automated

¹ International Labour Organization. (2018). Trends 2018. World Employment and Social Outlook

² World Development Report. (2019). The changing nature of work, World Bank

production facilities, the creation of a digital society, and the implementation of the next stage of e-Government - Digital Government are provided.

It is predicted that, on average, about 30 percent of jobs in the world may disappear because of a new wave of automation. This risk is mainly to those with professions with low and medium level qualifications (such as drivers, cashiers, attendants) because they concentrate mostly on the routine work functions.

For example, scientists Karl Frey and Michael Osborne in 2013 determined that 47 percent of the professions in the United States are at high risk of automation for 10–20 years.¹ Continuing this study with Citibank, in 2016, the authors extended the findings to more than 50 countries; on average in OECD countries, algorithms will replace people in 57 percent of all occupations.²

World Economic Forum experts (WEF) analyzed 15 developed and developing economies of the world covering 65 percent of the workforce and concluded that about 27 percent of jobs in the world will disappear as a result of a new wave of automation, and by the end of 2020, the number of posts will decrease by 5, 1 million units, two thirds of which are office and administrative.³ At the same time, according to the OECD report, the conclusions on the reduction are somewhat conservative, as only 9 percent of employees can be replaced with algorithmic solutions.⁴

Globalization and technological changes have contributed to the growth of the transition from “traditional” to non-standard employment (partial, temporary, and self-employment). The number of employed in part-time jobs is increasing by about 11 million per year. This is facilitated by employer initiatives to reduce costs, as well as the very desire of employees to be more mobile and independent freelancers.

In the US, 50 million people (45 percent of the workforce) are employed with the ability to work from home at least from time to time, and 2.9 million people work remotely permanently. For example, at IBM, 128 thousand specialists (29 percent) work remotely worldwide. An employer saves an average of \$10,000 per year per employee when transferring an employee to remote work. It is estimated that by 2020, there will be a new freelancer every second in the United States.⁵

This type of employment is attractive because there is no hard work schedule, the employee can find a “family-work” balance, and he or she can get several sources of income from the implementation of various projects in different countries. However, there is another problem. Temporary workers are less likely to receive training sponsored by the employer, which means their skills are becoming obsolete. Besides, the growth of partial employment calls into question the existing social insurance system, which provides for only two types of work (full-time and unemployed). As a result, freelancers face difficulties in obtaining a loan and are not entitled to social and pension contributions. Therefore, a revision of social policy is now required, taking into account structural shifts like employment to ensure equality of all workers.

In Kazakhstan, this type of employment was not sufficiently widespread. Only less than 5 percent of workers in Kazakhstan are hired based on fixed-term contracts, and only 2.7 percent of employees work less than 30 hours a week, which is the lowest rate compared to OECD countries.⁶ This is due to the legal regulation of the labor relations of the Republic of Kazakhstan and undeveloped legislation regarding fixed-term contracts and part-time employment.

The current state of the labor market in Kazakhstan

Currently, according to the international classification of employment status (ISCE-93), there are two types of employment employees and self-employed. In Kazakhstan, the number of employees increased by 1.8 million people (to 6.6 million),

¹ Frey C.B., Osborn M.A. (2013). The future of employment: how susceptible are jobs to computerisation?

² Frey C.B., Osborn M.A., Holmes C. (2016). Technology at Work v2.0.: The future is not What it used to be. Citi GPS: Global Perspectives & Solutions

³ World Economic Forum. (2018). The Future of Jobs. Report 2018

⁴ OECD, Arntz, M., T. Gregory and U. Zierahn. (2016). The Risk of Automation for Jobs in OECD Countries: A Comparative Analysis, OECD Social, Employment and Migration Working Papers, No. 189, OECD Publishing, Paris.

⁵ Rashid B. (2016). The Rise of Freelancer Economy. Forbes

⁶ OECD, (2017). Building Inclusive Labour Markets in Kazakhstan: A focus on Youth, Older Workers and People with disabilities.

the number of unemployed decreased by 184 thousand people (to 441 thousand), and the number of self-employed workers increased by 563 thousand people (up to 2.1 million).¹

In the last 8 years the overall unemployment rate fell in the previous 8 years 1.6 times to 4.9 percent, and youth unemployment (15-24 years) fell 3.1 times to 3.8 percent, which is one of the lowest in the world, with the other statistics being the United States (8.7 percent), Australia (11.8 percent), Canada (11.3 percent), and Sweden (16.4 percent). Over the past eight years, there has been a positive trend in reducing unemployment in Kazakhstan. In the Global Competitiveness Index of the World Economic Forum for the Labor Market Efficiency component, Kazakhstan ranks 35th with an average score of 4.6, ahead of China (38th) and Russia (60th). According to official statistics, over the past eight years, the share of the informally employed population decreased by more than two times, from 37 percent to 16 percent. The related indicators for such developed countries as Finland (18 percent), Germany (16 percent), Austria (16 percent) and France (15 percent).²

As of 1 July 2018, 1.2 million people or 14 percent are employed in agriculture, 1.7 million people (20 percent) in industry and construction, and 5.7 million people (66 percent) work in the service sector in Kazakhstan. A similar trend is taking shape all over the world. In the United States, the share of the service sector in the overall structure of employment is 81 percent, as it is in the United Kingdom; in Canada, it is 79 percent, in Finland, 74 percent, and South Korea, 70 percent.³

Against the background of global trends, the internal processes of Kazakhstan influence the further development of the Kazakhstan labor market.

First, 28 percent (about 589 thousand people) of self-employed people work “in the shadows”, as they have no official social status. In Kazakhstan, there is no separate legal form for the self-employed, and they automatically receive an “informal” status. Also, accounting for self-employed persons is complicated due to the lack of an information system for identifying the social status of a citizen of Kazakhstan. This is a huge problem, as information changes daily, and statistics are collected only once a year. It does not show a clear operational picture and causes difficulties in calculating social benefits and compensation, which causes the possibility of abuse of public authority and manifestations of corruption violations. It also impedes the introduction of Compulsory Social Health Insurance, more accurate budget planning, and tax reforms of the universal declaration. As a result, these reforms were postponed until 2025.

Secondly, there is a relatively low level of labor productivity in the economy. Insufficient use and development of modern technologies in the economy of the country restrain the growth of labor productivity. Kazakhstan still lags behind developed countries by an average of four times in this indicator.

Thirdly, there is also a low level of competence in labor resources. In the conditions of a new economy and technological revolution, the requirements for skills and qualifications of labor resources are growing. In Kazakhstan, only 11 percent of the country's population is employed in the field of the knowledge economy; in the employment structure of advanced countries, people of such a formation now make up at least 25 percent.

In the annual Global Talent Competitiveness Index (GTCI) in 2018, the position of Kazakhstan compared to 2013 started to deteriorate, the country dropped from 46th to 51st place out of 118 countries. Indicators on global knowledge and skills improved (+28 positions in the ranking). The leading positions in the ranking are occupied by the states of Switzerland and the United States.

The quality of education and the system of personal training do not correspond to the real requirements of the labor market, by inertia, humanitarian specialists produce (over 60 percent), and there is no system for flexible analysis of the labor market and the formation of state order. Grants are allocated according to the old scheme mainly to national and state universities.

¹ The official statistical information. (2018). Committee on statistics. Ministry of National Economy of the Republic of Kazakhstan

² OECD, (2017). Building Inclusive Labour Markets in Kazakhstan: A focus on Youth, Older Workers and People with disabilities.

³ OECD, (2017). Building Inclusive Labour Markets in Kazakhstan: A focus on Youth, Older Workers and People with disabilities

Besides, there is a very poorly developed system of learning throughout life. Many specialists who graduated from higher educational institutions several years ago are forced to relearn skills since new technologies, and innovative approaches place their demands on employees of organizations. At the same time, it is necessary to strengthen the integration of education, science, and production for the formation of updated educational programs and standards.

With the introduction of new technologies in traditional industries, there are risks of the release of obsolete occupations. There is an evident shortage of specialists with new competencies, such as IT, information security, cloud solutions, and so on.

Fourth, there is a need for digitization in labor market infrastructure. The lack of a systematic approach to the development of the labor market, digitalization of this area, and single electronic labor exchange, integrated with all information systems for the provision of vacancies, social benefits, and employment, causes problems of an objective analysis of the labor market. As a result, the majority of citizens are trying to find work independently, employers are experiencing a shortage of qualified specialists, enterprises do not have access to a database of job seekers, and the Ministry of Education does not see a real demand for personnel to form a state order. The measures are taken to modernize the employment services, establish an electronic labor exchange, and involve private employment agencies in the employment process require the involvement of all stakeholders and the development of joint solutions.

Consideration of unemployment and employment are based on the system of identification of the social status of a citizen of Kazakhstan. Unfortunately, the leading economic and social indicators are based on statistical data, preferably collected manually and on analytical reporting forms of enterprises and organizations. Moreover, the frequency of collecting such data is carried out once a year. Due to the lack of information systems, the digitization of this sector, the change of social status from the category of workers to the unemployed is done manually, without cross-checking data, and this generally distorts the overall picture of this problem. This causes the ambiguity of the appointment of social benefits and the possibility of corruption violations. As a result, the lack of targeted social assistance to the population, the inefficient use of public funds, the provision of inaccurate information about social policy in the country. For example, the number of self-employed people, according to official statistics, is about 2.1 million people, and in fact, over 3 million people have an indefinite social status. This problem is resolved by the complete digitalization and implementation of Digital Government in this sector, the creation of information systems, and social status identification databases with the provision of adequate access to all labor market stakeholders (employees, employers, social services, employment agencies, etc.).

Conclusion

An essential condition for the development of human capital is training, taking into account the real needs of the labor market, not only for the current moment but also for the future.

To obtain the real needs of the labor market and conduct high-quality planning for the future needs of the economy, it is necessary to continue working on the creation of the National Labor Market Forecasting System of Kazakhstan, which will be integrated with all information systems in the sphere of employment, a single labor exchange. This system will make it possible to form a likely need for the number and composition of the required labor resources in the medium and long term. It should take into account migration and demographic processes, market conditions, and global trends. It is necessary to unite the efforts of state employment centers for private recruitment agencies to ensure the effectiveness and efficiency of the development of the labor market.

The second prerequisite is the creation of an information system for identifying the social status of each citizen, with providing access to this system to employers, social services, and employment agencies. This opportunity will allow for a clear identification of social status, implementation in the targeting of social benefits, and the registration of self-employed and informally employed workers. This system will become the basis for the provision of social services in an automated mode, implement proactive public services, and implement social reforms, such as Mandatory Social Medical Insurance and per capita financing.

In order to ensure a balance between supply and demand of working places, work should be intensified on the development of the National Qualifications System, which should take into account the real requirements for labor resources, their qualifications, and quality, and the education system will provide training for relevant specialists to carry out advanced training systems. In order to provide targeted support to the least productive and low-skilled categories of citizens, it is necessary to continue implementing and improving state employment assistance programs, including tools for short-term

training, developing entrepreneurial initiatives, and stimulating the migration of labor required of the population from densely populated regions of the country.

Thus, for the active development of the labor market, it is necessary to take into account the impact of all factors and to involve all stakeholders in solving this issue, providing a systematic solution to this issue. Concurrently, a set of incentive and awareness-raising measures with the population of the country must be carried out. The new systematic approach in the field of employment will increase the percentage of jobs and the competitiveness of the country and its citizens.

References

- [1] World Development Report. (2016). Digital dividends, World Bank
- [2] McKinsey. (2018). Skill shift: automation and the future of the workforce, McKinsey
- [3] World Development Report. (2019). The changing nature of work, World Bank
- [4] International Labour Organization. (2017). Sustainable enterprises and jobs: Formal enterprises and decent work. World Employment and Social Outlook.
- [5] International Labour Organization. (2018). Trends 2018. World Employment and Social Outlook
- [6] Frei C.B., Osborn M.A. (2013). The future of employment: how susceptible are jobs to computerisation?
- [7] Frei C.B., Osborn M.A., Holmes C. (2016). Technology at Work v2.0.: The future is not What it used to be. Citi GPS: Global Perspectives & Solutions
- [8] World Economic Forum. (2018). The Future of Jobs. Report 2018
- [9] OECD, Arntz, M., T. Gregory and U. Zierahn. (2016). The Risk of Automation for Jobs in OECD Countries: A Comparative Analysis, OECD Social, Employment and Migration Working Papers, No. 189, OECD Publishing, Paris.
- [10] Rashid B. (2016). The Rise of Freelancer Economy. Forbes
- [11] OECD, (2017). Building Inclusive Labour Markets in Kazakhstan: A focus on Youth, Older Workers and People with disabilities.
- [12] The official statistical information. (2018). Committee on statistics. Ministry of National Economy of the Republic of Kazakhstan

Table 1. The dynamics of the main indicators of unemployment in Kazakhstan for the period 2010- 01 July 2018

Indicators	2010	2011	2012	2013	2014	2015	2016	2017	July 2018
Unemployed population Thousand people	496,5	473,0	474,8	470,7	451,9	454,2	445,5	442,0	441,4
Unemployment rate, %	5,8	5,4	5,3	5,2	5,0	5,1	5,0	4,9	4,9
Female unemployment rate,%	6,6	6,2	6,5	5,9	5,8	5,6	5,5	5,4	5,3
Youth unemployment rate (15-24 years),%	5,2	4,6	3,9	3,9	3,8	4,2	3,8	3,8	3,8
Youth unemployment rate (15-28 years),%	6,6	6,1	5,4	5,5	4,2	4,4	4,1	3,9	3,9
The level of long-term unemployment,%	2,2	2,1	2,5	2,5	2,4	2,5	2,2	2,2	2,2

Resource: Committee on statistics. Ministry of National Economy of the Republic of Kazakhstan

Form-Focused Instruction from the Learners' Perspective - Isolated or Integrated

Enriketa Sogutlu

PhD, Department of English Language and Literature,
University College Bedër, Tirana

Abstract

Approaches to explicit grammar teaching have constantly changed and research suggests that form-focused instruction plays a useful role in promoting the acquisition of linguistic features. This contribution has also been investigated from the learners' perspective with an increasing number of studies revealing learners' positive attitudes and their preferences for form-focused instruction. The present study explores the learners' preferences for isolated and integrated types of form-focused instruction. A total of 117 undergraduates completed a 20-item questionnaire developed by Spada and Lightbown. Results give insights into learners' positive attitudes towards both types of grammar instruction and suggest that the participant students have a more favorable approach towards integrated form-focused instruction.

Keywords: *ELT, grammar instruction, isolated FFI, integrated FFI, learners' preferences*

Introduction

With the introduction of communicative language teaching pedagogy and its rising popularity in the early 1970s, debates over the role of formal grammar instruction and its contribution to the learners' L2 proficiency level also arose. Based on the view that exposure to comprehensible input and sufficient motivation help the learners progress along the "natural order" of second language acquisition, researchers like Krashen (1982) argued that formal grammar instruction played no role in second language acquisition. However, other researchers (Canale & Swain, 1980; Celce-Murcia, 1991, 2008; Celce-Murcia, Dörnyei, & Thurrell, 1995) maintain that as part of language teaching, grammar does not stand alone, neither is it learned for its own sake; rather it is combined with meaning and functions to contribute to L2 acquisition.

The consensus in the second language acquisition literature that formal form-focused instruction (FFI) contributes to the learners' acquisition of target language features and their language proficiency, raises other issues, among which appropriate timing for explicit instruction is crucial. To address this question, Long (1991) used the label *focus on form* to refer to the provision of instruction only when deemed necessary, thus distinguishing it from *focus on forms* which referred to instruction of linguistic features according to a structural syllabus. Although originally defined as incidental and reactive, later interpretations of *focus on form* have included instruction of language features planned in advance through application of various pedagogical interventions.

To distinguish between two types of form-focused instruction in terms of timing instruction, Spada and Lightbown (2008) use the labels *integrated* and *isolated*. In *integrated* FFI, the language feature may be incidental, that is, the teacher intervenes to respond to difficulties students encounter when engaged in communicative activities. It may also be planned, that is the target feature may be predetermined in anticipation of the difficulty that might arise as students engage in communicative activities. They argue that this type of FFI is similar to the definition provided by Ellis (2002). In *isolated* FFI, instruction of the linguistic feature is separated from and provided before or after the communicative activity. In other words, it is intentional and explicit as the teacher aims to facilitate the students' acquisition of a target feature which might otherwise remain unclear. However, Spada and Lightbown distinguish their isolated FFI from Long's focus on form, which is based on the assumption that instruction of linguistic features should be systematic, that is, occurring in specific sequences.

While numerous studies of the way learners acquire a second language as well as of the effectiveness of grammar instruction have contributed to reconsidering the application of instructional types beneficial to the learner, the learners' perceptions of grammar instruction and their preferences for specific types are less researched; consequently, less

considered in the designation or choice of instructional types and activities. Following the author's previous research into learners' beliefs and preferences for grammar instruction in general, the present study investigates their preferences for isolated and integrated form-focused instruction.

Following the theoretical background to the study, methodology is described and the results are discussed.

Integrated form-focused instruction

In integrated form-focused instruction, focus on the language form takes place within the communicative activity. The primary aim of this intervention is to help the learner use the target form more accurately, therefore contributing to an effective expression of meaning. Drawing the learners' attention to form during the communicative activity does not suggest that the choice of the target feature is always incidental, that is, it does not occur only when the need arises; it may also be predetermined, that is, it may be planned by the teacher to be used in a communicative task. In other words, since effective communication is made possible through accurate use of particular language forms, tasks are designed in a way that they elicit occasions for the use of planned language forms (Nassaji & Fotos, 2004). Therefore, with particular task types, choice of specific language forms becomes necessary and has to be planned. Instruction in integrated FFI usually takes the form of explicit feedback and the teacher may provide brief explanations, state rules and use metalinguistic terminology.

Isolated form-focused instruction

Isolated form-focused instruction refers to provision of activities which primarily aim to clarify the learners about the form and meaning of particular language forms. This is done separate from communicative activities, either before or after them. *Pre-activity isolated FFI* consists in the introduction of a new linguistic item, which is deemed necessary for meaningful communication during the activity, yet highly unlikely to be acquired without prior instruction and practice (Spada & Lightbown, 2008). Instruction may be provided through explicit explanation, use of metalanguage terminology and statement of rules, as well as explicit error feedback. Depending on the type and difficulty of the linguistic feature, in order to contribute to the learners' acquisition of the target feature, this type of isolated FFI may also involve controlled practice. This can be done through structural drills and pattern practice such as putting the words in the correct form, underlining the correct word, finding and correcting mistakes in sentences, as well as finishing the sentences. Even though the feature is planned, unlike Long's focus on forms, this type of instruction is not organized around predetermined grammar items in a structural syllabus; rather, as Spada and Lightbown (2008) argue, it is "directly tied to communicative practice" (p.186).

Isolated FFI provided after the communicative activity that is *after-activity isolated FFI*, involves the explanation of language features which the learners find difficult to either understand or use correctly during a communicative activity. While the linguistic item may be planned, it may also be incidental. In both cases, the teacher may focus on the target form and provide his/her own examples and/or the learners' in order to draw their attention to both correct form and meaning.

Learners' preferences for form-focused instruction

The discussion about the different approaches to grammar teaching has led to the emergence of various classroom options for teachers as well as research into their effectiveness. Based on the assumption that teachers' decisions significantly affect their classroom techniques and instructional practices, many researchers have focused on exploring teachers' attitudes and preferences. However, research findings suggest these views and practices are also influenced by the learners' beliefs and their instructional preferences, which can help teachers enhance their instructional strategies too (Borg, 2003; Tomlinson & Dat, 2004; Loewen, 2009; Lightbown & Spada, 2013).

Exploration of second language learners' views and their preferences for form-focused instruction has been the focus of much research and overall findings reveal positive attitudes. Schluz's (2001) study with American and Colombian ESL learners revealed positive attitudes toward explicit grammar instruction and corrective feedback. In their large-scale study, Loewen et al (2009) report a general view of the effectiveness and contribution of grammar instruction. Research has demonstrated that learners' beliefs about grammar instruction may also vary across ages and proficiency levels. For example, participants in Savignon and Wang's study (Savignon & Wang, 2003) consider grammar instruction necessary only for initial instruction; attitudes towards form-focused instruction varied according to the learners age of initial language learning, with those beginning earlier expressing stronger negative views. Preferences for inductive or deductive approaches has also been the subject of research. While none of the respondents in Ranalli's study (Ranalli, 2001) considered grammar unimportant, the overwhelming majority expressed a preference for the inductive approach over the

deductive approach. Other research (Mohamed, 2004) has revealed learners have no strong preference for any of the two approaches rating both as effective tools of learning a new language.

However, investigation of learners' preferences for isolated and integrated FFI specifically starts with the development and validation of such a questionnaire by Spada, Barkaoui, Peters, So, & Valeo (2009). In addition to investigation of learners' preferences, studies with this focus have also explored possible relationships between preferences and other variables. Ansarin, Abad and Khojasteh (2015) explored the influence of the learners' proficiency level on their attitudes. Results revealed that although advanced learners preferred integrated FFI to isolated FFI, the proficiency level was not a predictor of such preferences. Another study (Ebrahimi, Motlagh, & Karampour, 2015) also explored the effect of the learners' preferences on their performance in a recognition test. The findings suggest neither a clear preference for isolated or integrated FFI nor a direct relationship of these perceptions with their performance. Although Songhori and Branch's (2012) research explored the congruence between learners' and teachers' views about each of the types, it also gives insight into the learners' preferences for integrated FFI over isolated FFI. Positive attitudes toward integrated FFI have also been reported from research conducted with primary school EFL learners (Elgün-Gündüz, Akcan, & Bayyurt, 2012). Findings from the same study also suggest a higher effectiveness of integrated FFI.

The study

The present study aims to explore Albanian undergraduate EFL learners' preferences for integrated and isolated form-focused instruction. It attempts to answer these research questions:

- a) What are Albanian EFL learners' attitudes towards isolated and integrated form-focused instruction?
- b) Is there a difference between learners' preferences for each of the constructs based on a) gender, b) proficiency level and c) study program?

The questionnaire

This research utilized the original version of a 20-item questionnaire developed and validated by Spada (2009). The learners' preferences were measured on a Likert scale ranging from strongly disagree (1) to strongly agree (5). Each construct contained 20 randomly ordered statements which were translated into Albanian by the researcher for facility purposes. In order to investigate if there exists a relationship between the participants' preferences and their gender, proficiency level and field of study, statements about demographic data were also included in the questionnaire.

Participants and context

The participants in this study were 117 Albanian undergraduate students majoring in German language and literature (19), English language and literature (36), communication sciences (27), education sciences (16), psychology (9) and Islamic sciences (10). The participants' self-reported level of proficiency ranged from elementary (35), pre-intermediate (29), intermediate (5), upper intermediate (4) and advanced (44) 92 (78.6%) of the participants were female and 25 (21.4%) were male.

Table 1 Descriptive statistics for learners' gender, proficiency level, and department

Department	N	Gender F/M	Elementary	Preinter	Intermed	Upper	Advanced
German	19	13/6	0	18	1	0	0
English	36	26/10	0	1	1	3	31
Communication	27	20/7	16	6	2	1	2
Education	16	16/0	11	4	0	0	1
Psychology	9	8/1	2	0	0	0	7
Islm.Sciences	10	9/1	6	0	1	0	3
Total	117	92/25	35	29	5	4	44

Data analysis

After data was collected students' scores were fed into the SPSS version 21 to be statistically analyzed. Descriptive statistics for each construct and for all the respondents were calculated in order to reveal learners' preferences for integrated and isolated form-focused instruction. To find out differences among preferences in terms of gender, level of proficiency and field of study, the data were analyzed inferentially. Paired samples t-tests were conducted to compare preferences for each construct within each subscale, while independent t-test was run to compare preferences between groups.

Results

Descriptive statistics analysis revealed the mean scores for isolated and integrated subscales were 4.26 and 3.77 and standard deviations were .473 and .444 respectively. As shown in Table 2, the mean score for integrated subscale revolves around 4, which indicates the respondents agree with integrated FFI. Although the mean score of 3.77 for isolated FFI is a bit lower than 4, the standard deviations for each subscale, which represent dispersion and variability from the average, are slightly different only. Therefore, in order to calculate possible significant differences, the data was analyzed inferentially through conduct of one-tailed paired test. As it is shown in Table 3, the one-tailed paired samples *t* test revealed that the learners prefer integrated FFI ($m = 4.27, s = .444$) to isolated FFI ($m = 3.77, s = .473$), $t(117) = -11.093, p = 0.000$. A *p* value of less than < 0.05 indicates that there is a statistically significant difference in learners' preferences for the integrated FFI when compared to their preferences for isolated FFI.

Table 2 Descriptive statistics for learners' preferences on isolated and integrated

Scales	N	Mean	Std.deviation	Std.error mean
Integrated	117	4.26	.444	.041
Isolated	117	3.77	.473	.444

Table 3 One tailed paired sample test comparing Learners' preferences for isolated or integrated FFI

Subscales	Mean	Std.Deviation	Std.Error	t	df	sig one-tailed
Integrated–isolated	.494	.482	.045	11.094	116	0.000

a) Learners' preferences for integrated and isolated FFI based on gender

In order to investigate possible differences in learners' preferences for isolated and integrated FFI based on gender, proficiency level and field of study, the mean scores for each subscale were calculated. Table 4 demonstrates preferences for each subscale based on gender. The paired sample t test revealed that female students have a higher preference for integrated FFI over isolated FFI ($m = .486, \text{st.error mean} = .051, t = 9.500$ and $p = .001$). The results of the paired t test within the male group revealed that the male students also showed a preference for integrated FFI over isolated FFI ($m = .528, \text{st.error mean} = .092, t = 5.744, p = 0.001$). The *p* values lower than 0.05 for both groups indicates a significant difference.

Table 4 Paired samples t test comparing preferences for isolated and integrated FFI based on gender

Groups	Paired differences			t	df	sig.(two-tailed)	
	N	Mean	St.deviation				Std.err.mean
Female Int-Iso	92	.486	.490	.051	9.500	91	0.001
Male Int-Iso	25	.528	.459	.092	5.744	24	0.001

Table 5 indicates the independent samples t test results between female and male. The *p* value above .005 indicates that there is no significant difference between female and male preferences for integrated FFI. In addition, the female and male

preferences for isolated FFI were not significantly different either. It can generally be concluded that female and male student preferences for each type of FFI are not significantly different from each other.

Table 5 Independent samples t test for comparison based on gender

Subscales	Groups	t test for equality of means				t	sig.two-tailed
		N	Mean	st.dev	st.error mean		
Integrated	Female	92	4.30	.401	.042	1.481	.141
	Male	25	4.15	.572	.114		
Isolated	Female	92	3.81	.457	.048	1.795	.075
	Male	25	3.62	.509	.102		

b) Learners' preferences for integrated and isolated FFI based on proficiency

In order to compare learner preferences based on their level of proficiency, paired samples test and independent samples t test were run. For purposes of this study the participant students were grouped as elementary (69 participants), in which elementary, pre-intermediate students and intermediate level learners were included, and advanced (48 participants), in which upper intermediated and advanced level learners were included. Table 6 reveals the paired samples t test results within the two levels of proficiency. In both groups the p value is below 0.05, which demonstrates that both groups show a significant difference in their preferences for integrated FFI.

Table 6 Paired samples t test comparing preferences for isolated and integrated FFI based on proficiency

Groups	Subscales	Paired differences			t	df	sig.(two-tailed)
		Mean	St.deviation	Std.err.mean			
Elementary	Int-Iso	.420	.508	.061	6.869	68	.000
Advanced	Int-Iso	.602	.425	.061	9.806	47	.000

Table 7 demonstrates the independent samples t test results between the elementary and advanced groups. Although the advanced group seems to have a fractionally higher preference for integrated FFI, the p value above 0.05 shows that this difference is not significant. The same results are revealed about the elementary and advanced groups' preferences for isolated FFI; they are not significantly different. It can be concluded that both groups, elementary and advanced show significantly different preferences for integrated FFI over isolated FFI; however, their preferences for integrated and isolated FFI are not significantly different from each other.

Table 7 Independent samples t test for comparison based on proficiency

Subscales	Groups	t test for equality of means				t	sig.two-tailed
		N	Mean	st.dev	st.error mean		
Integrated	Elementary	69	4.23	.485	.058	-1.118	.266
	Advanced	48	4.32	.376	.054		
Isolated	Elementary	69	3.81	.524	.083	1.000	.320
	Advanced	48	3.72	.386	.056		

a) Learners' preferences for integrated and isolated FFI based on study program

Another aim of this study was to discover if there are any differences in preferences between English undergraduates and other study programs. The participants in this study were undergraduates from the English language and literature program

and undergraduates from five other programs (education, psychology, Islamic sciences, communication and German language), who were grouped under *other*. As indicated in Table 8, both groups prefer integrated FFI to isolated FFI; and their preferences for each type of instruction are significantly different. In order to find out if there is a difference between the two groups' undergraduates preferences for each type of instruction, independent samples t test was conducted. As Table 9 shows, although English language and literature undergraduates apparently have stronger preferences for integrated and isolated FFI, these preferences are not significantly different, as the p values are above 0.05, .224 and .928 respectively.

Table 8 Paired samples t test comparing preferences for isolated and integrated FFI based on department

Groups	Subscales	Paired differences				t	df	sig.(two-tailed)
		N	Mean	St.deviation	Std.err.mean			
Other	Int-Iso	81	.464	.509	.067	8.197	80	.000
English	Int-Iso	36	.564	.413	.069	8.186	35	.000

Table 9 Independent samples t test for comparison based on department

Subscales	Groups	t test for equality of means				t	sig.Two-tailed
		N	Mean	st.dev	st.error mean		
Integrated	Other	81	4.23	.466	.052	-1.222	.224
	English	36	4.34	.386	.064		
Isolated	Other	81	3.77	.517	.057	-.091	.928
	English	36	3.78	.359	.060		

Discussion

This study was an attempt to find out EFL learners' preferences for two types of FFI instruction, integrated and isolated, and the impact of gender, proficiency and study program on these preferences. The participants were undergraduate students from a public and a private university in Tirana, Albania.

The results revealed that even though the participant learners have a significantly higher preference for integrated FFI over isolated FFI, their preferences for isolated form-focused instruction are relatively high too. In other words, although the learners have a tendency towards integrated FFI, learning grammar in the isolated form is also considered effective. Overall, these results suggest positive attitudes towards grammar instruction in general, which is in line with findings from Songhori's study (2012) with English major students. As our findings also suggest a tendency for isolated FFI too, they somehow correspond with Ebrahimi's (2015) findings in which the learners did not show a clear preference for any of the two types in that they did not reject isolated FFI.

Learners' preferences based on gender

Apart from learners' preferences for integrated and isolated FFI, the researches attempted to explore the influence of the learners' gender on their preferences for the two types of form focused instruction. The results of the paired samples t tests within the female and male groups in terms of preferences for integrated and isolated FFI revealed that both groups have significantly different preferences for integrated form-focused instruction over isolated form-focused instruction. In other words, while they have positive attitudes towards grammar instruction in separate lessons, the preferred way for each group is to learn grammar embedded in communicative activities. That is to say, both groups preferred to learn grammar features during communicative activities. The results of the independent t test, which was run in order to investigate possible differences between both groups' preferences for integrated FFI, revealed that there is no significant difference between the female and male learners in terms of their preferences for each type of instruction. In other words, neither group's

tendency towards learning grammar in communicative tasks, is significantly different from the other group. It can be concluded that while both groups preferred to learn grammar in the integrated form to learning it separately, there is no significant difference between the two groups' preferences for integrated form-focused instruction.

Learners' preferences based on proficiency

In addition, this study aimed to investigate possible differences among learners based on their proficiency level. The paired samples t test results showed that both groups, the elementary and the advanced group, have a significantly higher tendency for integrated form-focused instruction. In other words, while neither of the groups totally rejects grammar instruction in separate lessons, both of them prefer the teaching of grammar items combined with communicative tasks. In order to find out if there is a significant difference between the groups' preferences, the data were analyzed inferentially through the independent t test. It revealed that the advanced level learners' tendency toward integrated FFI is not significantly different from the lower level learners' tendency for the same type of instruction. That is to say, while both groups prefer learning grammar features integrated within communicative activities, there is no significant difference in their preferences. Comparison of learners' preferences for isolated FFI between levels also revealed that while neither group disagrees with grammar instruction in separate lessons, neither group's tendency for this type of instruction is significantly different from the other group. These findings are in line with those of Ansarin (2015) in terms of advanced level learners' preferences for integrated FFI; however, they differ in that in Ansarin's study it did not make a significant difference for the beginner level learners to study grammar separately or integrated in communicative tasks, while in the present study the elementary level learners opted for integrated FFI. Overall, both elementary and advanced level learners prefer to learn grammar embedded within communicative tasks, though they do not totally reject instruction of grammar in separate lessons or sections.

Learners' preferences based on study program

Another relationship this study aimed to discover was between learners' preferences and their study program. That is to say, the researchers made an attempt to find out if the learners' field of study was a predictor of their preference for two types of form-focused instruction, isolated and integrated. As the participants in the study were from the English language and literature program and 5 other study programs (education, psychology, German language, communication sciences and Islamic sciences), the researcher grouped them into English and other respectively. The paired samples t test showed that while both groups preferred integrated FFI over isolated FFI, the latter is not totally discarded by any of the groups. In other words, there are positive attitudes towards grammar instruction in general, but learning grammar structures in combination with communicative tasks is more desired. Comparison between the English group and the other group in terms of preferences of integrated and isolated FFI, revealed that there is no significant difference in their tendency towards each type of instruction. In other words, while both groups prefer the teaching of grammar items embedded in communicative activities, the difference between the groups' preferences is not significant. To sum up, the study revealed that the study program is not a predictor of EFL learners' preferences for different types of grammar instruction.

Overall, the findings of this study suggest that in spite of their preferences for integrated FFI, learners have positive attitudes towards grammar instruction. This could be explained by the fact that both types involve explicit instruction, use of metalanguage and statement of rules, and the difference is only with regard to timing. Therefore, it cannot be concluded that teaching grammar items embedded within communicative tasks is the best way to teach grammar. As Spada and Lightbown (2008) suggest these two types of form-focused instruction complement each other; they do not compete with each other. Ellis (2006) also concludes that the teaching of grammar should take both forms, combined with communicative tasks or separate from them. As a result, a combination of the two types and a balance between them rather than neglecting any of the two, might be what teachers should take into consideration in their EFL classrooms.

Literature (Phipps & Borg, 2009) suggests that teachers' perceptions of grammar instruction influence their teaching practices. Nonetheless, research (Schulz, 2001) also suggests that teachers should also investigate their students' perceptions about grammar instruction in order to contribute to the learners' acquisition of a new language. However, in his accounts for the noticing hypotheses, Schmidt (2012) argues that some language forms are not acquired unless they are consciously noticed in the input or unless the learners are made aware that they are being corrected (in cases when correction is provided). In other words, in order for language features to become input for learning, "learners must attend to and notice language features" (page.). As a result, despite the type of instruction the teachers provide in classroom settings, they should also cater that it contributes to the learner's noticing the form and consequently acquiring it.

Conclusion

Research into students' perceptions of grammar instruction and their preferences for various types of such instruction is relatively new. The present study was an attempt to investigate undergraduate EFL learners' preferences for isolated and integrated types of form-focused instruction based on gender, proficiency level and study program.

The participants were undergraduate students majoring in English language and literature and other social sciences programs. The instrument was a questionnaire measuring learners' preferences for integrated and isolated form-focused instruction developed earlier by Spada and Lightbown. The results indicated that the respondents have positive attitudes towards both types of instruction, however, teaching of grammar features combined with communicative tasks was more highly preferred by the students. In addition, no relationship between the learners' preferences for any type of instruction and their gender, proficiency level and field of study was found.

References

- [1] Ansarin, A. A., Abad, B. A., & Khojasteh, M. R. (2015). Isolated and integrated form-focused instruction from learners' perspective. *The Asia-Pacific Education Researcher*, 24(2), 299-307.
- [2] Borg, S. (2003). Teacher cognition in grammar teaching: A literature review. *Language Awareness*, 12, 96-108.
- [3] Canale, M., & Swain, M. (1980). Theoretical bases of communicative competence approaches to second language teaching and testing. *Applied Linguistics*, 1 (1), 1-47.
- [4] Celce-Murcia, M. (1991). Grammar pedagogy in second and foreign language teaching. *TESOL quarterly*, 25(3), 459-480.
- [5] Celce-Murcia, M. (2008). Rethinking the role of communicative competence in language teaching. In *Intercultural language use and language learning*. Springer, Dordrecht, 41-57.
- [6] Celce-Murcia, M., Dörnyei, Z., & Thurrell, S. (1995). Communicative competence: A pedagogically motivated model with content specifications. *Issues in Applied linguistics*, 6(2), 5-35.
- [7] Ebrahimi, S., Motlagh, H. S., & Karampour, F. (2015). EFL Learners' Beliefs about Isolated and Integrated Grammar Teaching and Performance on a Grammar Recognition Test. *International Journal of Linguistics*, 7(6), 108-120.
- [8] Elgün-Gündüz, Z., Akcan, S., & Bayyurt, Y. (2012). Isolated form-focused instruction and integrated form-focused instruction in primary school English classrooms in Turkey. *Language, Culture and Curriculum*, 25(2), 157-171.
- [9] Ellis, R. (2002). Does form-focused instruction affect the acquisition of implicit affect the acquisition of implicit knowledge? A review of research. *Studies in Second Language Acquisition*, 24, 223-236.
- [10] Ellis, R. (2006). Ellis, R. (Current issues in the teaching of grammar: An SLA perspective. *TESOL Quarterly*, 40(1), 83-106.
- [11] Krashen, S. (1982). *Principles and practice in second language acquisition*. Pergamon Press.
- [12] Lightbown, P. M., & Spada, N. (2013). *How languages are learned*, 4th e.d- Oxford Handbook for Language Teachers. Oxford: Oxford University Press.
- [13] Loewen, S. L. (2009). Second language learners' beliefs about grammar instruction and error correction. *The Modern Language Journal*, 93(1), 91-104.
- [14] Long, M. (1991). Focus on form: A design feature in language teaching methodology. *Foreign language research in cross-cultural perspective*, 2(1), 39-52.
- [15] Mohamed, N. (2004). Consciousness-raising tasks: A learner perspective. *ELT journal*, 58(3), 228-237.
- [16] Nassaji, H., & Fotos, S. (2004). 6. Current developments in research on the teaching of grammar. *Annual Review of Applied Linguistics*, 24, 126-145.
- [17] Norris, J., & Ortega, L. (2000). Effectiveness of L2 instruction: A research synthesis and quantitative meta-analysis. *Language Learning*, 50, 417-528.
- [18] Phipps, S., & Borg, S. (2009). Exploring tensions between teachers' grammar teaching beliefs and practices. *System*, 37, 380-390.
- [19] Ranalli, J. (2001). *Consciousness-raising versus deductive approaches to language instruction: a study of learner preferences*. Ranalli, J. M. (2001). Unpublished Master's thesis. The Centre for English Language Studies, University of Birmingham, Birmingham, United Kingdom.

- [20] Savignon, S. J., & Wang, C. (2003). Communicative language teaching in EFL contexts: Learner attitudes and perceptions. *IRAL*, 41(3), 223-250.
- [21] Schmidt, R. (2012). (2012). Attention, awareness, and individual differences in language learning. . *Perspectives on individual characteristics and foreign language education*, 6, 27.
- [22] Schulz, R. A. (2001). Cultural differences in student and teacher perceptions concerning the role of grammar instruction and corrective feedback: USA-Colombia. *The Modern Language Journal*, 85(2), , 244-258.
- [23] Songhori, M. H., & Branch, Z. (2012). (2012). Exploring the Congruence between Teachers' and Students' Preferences for Form-Focused Instruction: Isolated or Integrated? *Asian EFL Journal Professional Teaching Articles*, 61, 4-23.
- [24] Spada, N., & Lightbown, P. M. (2008). Form-focused instruction: Isolated or integrated? *TESOL Quarterly*, 42(2), 181-207.
- [25] Spada, N., Barkaoui, K., Peters, C., So, M. & Valeo, A. (2009). Developing a questionnaire to investigate second language learners'preferences for two types of from-focused instruction. *System*, 37, 70-81.
- [26] Tomlinson, B., & Dat, B. (2004). The contribution of Vietnamese earners of English to ELT methodology. *Language Teaching Research*, 8, 199-222.

The (Mis)Education of Immigrant Children in Today's America

Dr. Gabriela E. Gui

Grand Valley State University, Michigan, USA

Abstract

In today's America, not every child starts on a level playing field, and very few children move ahead based solely on hard work or talent. Generational poverty and a lack of cultural capital hold many students back, robbing them of the opportunity to move up professionally and socially. Children of immigrants are especially at-risk because, in addition to facing poverty, race, geographical location or economic disadvantages, they are also confronted with failure due to their limited or non-existent English proficiency. This study focuses on the degree to which teachers in a mid-sized urban school district take into consideration the individual needs of immigrant children in the process of their education. The study also examines the preparation teachers have had to equip them with knowledge of best practices in teaching immigrant children, and the relationship between teachers' practices, beliefs, and their demographic and personal characteristics (age, gender, years of experience, level of education, etc.). Quantitative data was collected via a survey. Interviews with teachers and one central office administrator provided data for the qualitative section of the study. The findings revealed that teachers, in general, appeared to lack knowledge of specific policies for mainstreaming immigrant students into general education classrooms; their use of effective teaching practices for working with immigrant children were limited; and most of the teachers had not participated actively in professional development that focused on teaching immigrant children.

Keywords: immigrant children, education of English Language Learners, non-English speaking students

Introduction

Much is known today about the challenges of learning a second language. Researchers generally agree that three factors are of vital importance for educating linguistically diverse students. First, academic language learning takes a long time – between 5 and 7 years – and this is a much longer period than some adolescents will spend in school (Collier, 1992; Krashen, 1996). Second, the background knowledge of second language learners (content knowledge and first language literacy) is extremely important (Cummins, 1998; Hurley, 2001; Krashen, 1996; Lucas, 1994). Third, certain approaches have been shown to facilitate learning better than others, yet these modes of instruction may not be widely available to English Language Learners (ELLs) (Echevarria, 2004; Linquanti, 1999).

Those in the educational business frequently talk about immigrant children needing to “acculturate,” or “accommodate” to the American public education system. Do educators, however, acknowledge their responsibility to “adapt” and meet the needs of a multicultural student population? Community, language, and cultural groups are not homogenous and unvarying. Effective instructional programs demand enough flexibility to accommodate diversity within all at-risk groups. Stereotyping children leads to rigid programming that offers all students the same remedy, regardless if they need it or not. Effective instruction should presume variability within groups and require assessment of individual needs, as opposed to simple classification by language, family income, race, or geographic location (Tharp, 1982).

This research focuses on the degree to which teachers in a mid-sized urban school district consider the individual needs of second language in their teaching and assessment. The notion of “specialized” or “individualized” instruction motivated this study to look at how students from different language backgrounds are being educated three decades after *Lau v. Nichols* provided the direction for their education rights.

Background of the Problem

Traditionally, America has been a country of immigrants. Even with today's high levels of anti-immigration xenophobia, hostile (and borderline illegal) policies, and much-restricted immigration benefits, USA's public schools' enrollment continues to be transformed by a large number of students who bring with them the richness of linguistic and cultural diversity.

Contrary to the belief that earlier immigrant groups managed without special programs, most immigrant children are more likely to sink than swim in English-only language classrooms (Cummins, 1996). Throughout American education's history, language minority students have been somewhat accommodated at certain times, repressed at others, and most often – ignored. If done correctly, bilingual education might be the only way to make it possible for linguistically diverse children to achieve the same challenging academic standards required of all children enrolled in America's schools (Brisk, 1998).

In general, public school districts seem ambivalent about accepting newly arrived immigrant children. The provisions of the *Every Student Succeeds Act* (ESSA) of 2015, reauthorizing the 50-year-old *Elementary and Secondary Education Act*, places considerable pressure on schools to meet federal and state accountability targets measured by standardized tests. Because all children are subject to annual testing, schools are torn between keeping a semblance of equity by enrolling non-English speaking students and the goal to meet academic targets, while balancing shrinking budgets.

ELLs are disproportionately less successful in school than native-born speakers of Standard English. According to the Office of English Language Acquisition statistics, 66% of immigrant students drop out of school without a high school diploma. Nationally, ELLs are three times more likely to be low achievers, and 30% of ELLs are usually retained at least one grade compared to 17% of native speakers.

Lack of financial and human resources prevent school districts to use ELLs' native language for teaching. Even school districts that welcome large bilingual populations follow the English as a Second Language (ESL) model that does not capitalize on the students' first language. However, students who master their first language and then make a transition to English do as well or better academically than most of their English-only counterparts (Cummins, 1998; Lucas, 1994). Because integrating ELLs with native speakers is a federal mandate (Title VI, upheld by the Civil Rights Act of 1964), the non-English speaking students are placed in some classes that include native English speakers. While in some districts there is a constant effort to provide specialized training to mainstream teachers working with language learners, in other districts teachers have little or no formal education in teaching "bilingual" students. Some mainstream teachers do not have a clear understanding of what a bilingual student is, assuming the "bi" means their students are proficient in both English and their native language, and therefore making modest efforts to accommodate them.

Researchers of assessment issues for language learners are concerned with standardized tests because they fail to consider the students' cultural background. This is true not only for ELLs, but also for African-American, Alaska Native, and American Indian students (Ball, 1997; Estrin & Nelson-Barber, 1995). Differences in cultural backgrounds, non-mastery of the English language, and the extent of their prior educational experiences often place ELLs at a disadvantage in mainstream classes.

This research focuses on the degree to which a selected mid-size urban school district considers the individual needs of second language learners in the process of their assessment. Because of the interconnectedness between assessment and instruction, this research also describes instructional practices of ELL teachers in mainstream classrooms in this particular school district. Finally, this study examines the preparation teachers have had to equip them with knowledge of best practices in teaching ELLs in regular classrooms, and the relationship between teachers' practices/beliefs and their demographic characteristics. The following research questions were addressed in this study:

- What types of assessment practices are used with ELLs in this mid-sized urban school district?
- How are decisions about mainstreaming made in this school district? What role does assessment play in mainstreaming decisions? Do formal ELL assessments alone adequately measure the readiness of students to be mainstreamed?
- How do general education teachers with ELL students in their classrooms indicate they have been prepared to provide instruction to these students?
- To what extent do general education teachers with ELL students in their classrooms use specific teaching practices?

- Is there a correlation between general education teachers' use of specific ELL teaching practices related to their demographic characteristics?

Theoretical Framework

The theoretical framework grounding this research is aligned with the goal to look at best practices in assessing, mainstreaming, and teaching English Language Learners (ELLs). Three key scientific disciplines, along with their respective learning paradigms and theorists, provide a foundation to this study: the field of linguistics – specifically, Vygotsky's zone of proximal development; that of psychology – particularly, Bruner's scaffolding theory; and the field of philosophy – advanced by Dewey's constructivism theory.

The zone of proximal development has been defined as “the distance between the actual developmental level as determined by independent problem solving and the level of potential development as determined through problem-solving under adult guidance, or in collaboration with more capable peers” (Vygotsky, 1978, p. 86). According to this theory, the learning process is supported by three components:

- The presence of someone with a better level of understanding, knowledge, and skills than that of the learner (a more knowledgeable other);
- Social interactions with a skillful instructor who might model behaviors, provide directions to the student, and allow the child to observe and practice new skills (cooperative or collaborative dialogue); and
- Scaffolding – a term introduced by Wood, Bruner, and Ross in 1976 – consisting of activities provided by the teacher to support the student as s/he is guided through the zone of proximal development. Support is withdrawn when not necessary, allowing the student to complete the task again on his/her own.

In his study, *The Process of Education*, Bruner (1961) builds on John Dewey's (1938) theory about the significance of previous experience and prior knowledge in the development of new understandings, emphasizing the role of students as active learners who construct their own knowledge. For Bruner, the role of education is to facilitate thinking and problem-solving skills in students, with the expectation that those skills will then transfer to a range of new situations.

This theoretical framework supports the complex and challenging process of educating ELLs. The review of the literature on this topic indicates that their learning can be influenced by a multitude of factors, including: student's background knowledge and prior schooling experiences; placement in mainstream, general curriculum classes; parents' level of education; student's linguistic and cognitive development; a positive school and classroom climate; use of student's native language; use of effective instructional strategies; a challenging curriculum; use of alternative assessments; individualized instruction; and increased parental involvement (Braunger & Lewis, 1997; Short, 1994; Snow, Burns, & Griffin, 1998; Tharp, 1982; Thomas & Collier, 1997).

In an era of educational accountability governed by *Every Student Succeeds Act* (ESSA) of 2015, evaluating ELLs' progress moves from the arena of educationally sound practices and becomes an issue of compliance with federal and state mandates. While recognizing the importance of including ELLs in standardized tests, researchers also caution against the use of such assessment instruments as sole indicators of their knowledge and skills (Abedi & Dietel, 2004; Thomas & Collier, 2002). In a study for the National Center for Research on Evaluation, Standards, and Student Testing (CRESST/UCLA), Abedi and Dietel (2004), found that certain factors could negatively influence the validity and reliability of standardized test results for ELLs:

- Historically low performance and slow improvement for ELLs;
- Instability of the student subgroup; and
- Factors outside the school's control (e.g. educational level of ELLs' parents; socioeconomic status; years and quality of schooling in the native country; subgroup diversity; ELL identification).

Although the ESSA legislation provides certain test accommodations for ELLs, there are some major concerns regarding high-stakes tests' use with ELLs – specifically in terms of validity and feasibility. Each standardized test measures English language proficiency in addition to content area knowledge; therefore, the internal validity of such tests is questionable (Heubert & Hauser, 1999). For a more accurate picture of ELL's skills and knowledge, researchers recommend the use of multiple measures of assessment, including alternative assessments. Stiggins (1987) suggests that an alternative assessment is authentic if it reflected tasks common to everyday activities in a classroom, in addition to reflecting real-life

situations. O'Malley and Pierce (1996) add the integration of a language skills component to the definition and specify that alternative assessments could include teachers' observations, self-assessments, as well as performance assessments (such as essays, portfolios, interviews, observations, work samples, and group projects).

In relationship to mainstreaming, ELLs' placement into regular, general curriculum classes is a complex process that needs to consider several factors: adequate timing; placing students in classes where they could engage in authentic English conversations; teachers' preparation in working with ELLs; the level of academic and language development of students; sociocultural factors; and types of mainstreaming models (Faltis & Arias, 1993; Gersten, 1996; Lucas & Wagner, 1999; Thomas and Collier, 1997; Valdes, 2001).

The present study builds on prior research to determine general education teachers' perceptions of the use of specific instructional practices and assessment strategies in working with ELL students who are mainstreamed in their classes. Additionally, this study examines the extent of teacher preparation in evidence-based and place-based strategies and interventions for teaching ELLs in regular classrooms, and the relationship between teachers' practices/beliefs and their personal and professional characteristics.

Methodology

Research Design

The research questions could be best answered by engaging in a combination qualitative-quantitative study. Face-to-face interviews with seven teachers and one central office administrator in the targeted school district provided data for the qualitative component of the study.

Following qualitative research with a quantitative measure, corroborating results, brings strength to the findings (Spradley, 1980). This research incorporated a quantitative measure with some elements of a case study. The primary data collection tool for the quantitative component was an original survey developed by the researcher to obtain specific information regarding teachers' perceptions of instruction and assessment for English Language Learners.

Setting for the Study

A mid-sized school district located in an urban area was used as the setting for the study. The school district enrolled 11,039 students in 14 elementary, 4 middle schools, 2 high schools, and 1 alternative education program. Approximately 800 teachers provided instruction for a multicultural student population that included: African American (62.9%), Hispanic (17.5%), Caucasian (14%), Asian/Pacific Islander (4.6); American Indian/Alaska Native (0.4%), and multi-racial (0.6%). The majority of students (74.0%) were considered economically disadvantaged as determined by their qualifying for free or reduced lunch programs. A relatively large percentage of students (19.4%) had disabilities. Overall, proficiency rates were 64% for reading and 49.1% for mathematics – lower than the state's averages for reading (77.3%) and mathematics (63.8%). A total of 969 students in the school district were identified as ELLs at the time of the study, representing 12 different native languages.

Participants

The participants were 23 teachers and 1 central office administrator working in the targeted school district. The teachers taught in general and ESL classes in the elementary, middle, and high schools.

Instruments

Two types of instruments were used to collect data for the study: an original survey and an interview protocol.

Surveys

The primary data collection instrument was developed to obtain specific information regarding the experiences of teaching ELL students in mainstream general education classes. Twenty-five questions were included on the survey, with a combination of forced choice and short answer response formats. Twenty items rated using a 6-point Likert-type scale were used to determine the frequency with which teachers used specific teaching and assessment practices. The forced choice questions obtained factual information on demographic characteristics of teachers, students, and teachers'

participation in professional development (PD) for working with ELL students. The fill-in questions provided a qualitative component, giving teachers opportunities to describe their experiences with ELLs.

The Likert-scaled items were grouped by type. The numeric ratings for the items on each subscale were summed to obtain a total score that was then divided by the number of items on the scale to obtain a mean score, reflecting the original unit of measurement. The use of a mean score allowed interpretation of outcomes in terms of the original Likert-type scale and direct comparison among the subscales.

Interviews

The researcher developed an interview protocol that was used with seven teachers. A separate interview questionnaire was used with the central office administrator to obtain information on school district policies regarding ELL students. The teacher interview included questions about: teachers' educational background and experiences teaching bilingual students; classroom composition; types of support for ELL students; changes in teaching because of the inclusion of ELLs in classrooms; instructional strategies used; grouping students for instruction; ELL student assessment practices; mainstreaming decision making; participation in professional development on teaching ELL students; administration support; and additional comments.

The interview with the central office administrator included questions about the demographics and features of the ELL programs, as well as the alignment of district policies with federal and state mandates.

Data Analysis Procedures

Teacher survey data sets were analyzed using SPSS – Windows, ver. 15.0. The quantitative analysis was divided into two sections. The first section provided a description of the sample and their teaching practices using frequency distributions. The second section used frequency distributions, t-tests for one sample, and correlational analyses to address the research questions. In addition, the interview responses were summarized to provide information for two of the research questions. All decisions on the statistical significance of the inferential statistical analyses were made using an alpha level of .05. Figure 1 presents the analysis used to address each research question.

Figure 1. Statistical Analysis

Research Question	Variables	Analysis
What types of assessment practices are used with ELLs in this mid-sized urban school district?	Interview data Survey items 22, 23, 24	Content analysis was used to determine if patterns emerged from the teachers' comments regarding the types of assessments that were used in their classrooms.
How are decisions about mainstreaming made in this school district? What role does assessment play in mainstreaming decisions? Do formal assessments alone adequately measure the readiness of students to be mainstreamed?	Interview data from the central office administrator	The summary of the interview questions was presented to answer this research question.
How do general education teachers with ELL students in their classrooms indicate they have been prepared to provide instruction to these students?	Survey questions 5, 8, 9, 10, 11, 12, 14, 15, 21	Frequency distributions were used to provide information on how the general education teachers were prepared to teach ELL students in their classrooms.
To what extent do general education teachers with ELL students in their classrooms use specific teaching practices?	Survey question 25	t-tests for one sample were used to determine if teachers used specific instructional and assessment practices in their classrooms. The test statistic for this analysis was the midpoint of the 6-point scale (3.5). Scores that were

Research Question	Variables	Analysis
		significantly below 3.5 indicated that teachers were using the teaching practice, while scores that were significantly above 3.5 indicated the particular test statistic was not being used.
Are general education teachers with ELL students in their classrooms use of specific teaching practices related to their personal demographic characteristics (i.e., age, gender, years teaching classes that include English Language Learners, and educational preparation for teaching ELLs)?	Survey question 25 – Teaching practices Age Gender Years teaching ELLs Educational preparation for teaching ELLs	Correlational analysis using point-biserial and Spearman rank order correlations were used to examine the relationships between teaching practices used by general education teachers with ELL students and their demographic characteristics.

Results and Interpretation

Description of the Participants

A total of 23 teachers participated in the study, from elementary to high school grade levels. The teachers had ELLs in their mainstream general education classrooms. The age and gender of the teachers were summarized using frequency distributions (Table 1).

Table 1, Frequency Distributions, Age and Gender of the Participants

Age and Gender	Frequency	Percent
Age		
22 to 30	5	21.7
31 to 40	5	21.7
41 to 50	10	43.6
51 to 60	3	13.0
Total	23	100.0
Gender		
Female	17	73.9
Male	6	26.1
Total	23	100.0

Almost half of the teachers reported they were between 41 and 50 years of age. Five each reported to be from 22 to 30 years of age and between 31 and 40 years of age. Three teachers were over 51 years of age. Approximately three quarters of teachers were female, with the remaining teachers being male.

The teachers were asked to indicate the number of years they had been teaching classes that included ELLs (Table 2).

Table 2. Frequency Distributions, Years Teaching ELL Students

Years Teaching ELL Students	Frequency	Percent
0 to 4 years	8	34.8
5 to 9 years	12	52.3

10 to 14 years	1	4.3
20 to 24 years	1	4.3
25 to 29 years	1	4.3
Total	23	100.0

More than a half of the teachers had been teaching ELL students in their general education classrooms from 5 to 9 years, with approximately one third indicating they had taught ELL students from 0 to 4 years.

The teachers were asked to describe their current teaching assignment. Teaching assignments included art, music, language arts, Spanish, social studies, mathematics, and science.

The teachers were asked how they perceived research in the field of second language acquisition. They were provided with a list of possible responses and asked to indicate all that applied. As a result, the number of responses exceeded the number of teachers in the study (Table 3).

Table 3

Frequency Distributions

Perceptions of Research in the Field of Second Language Acquisition

Perceptions of Research in the Field of Second Language Acquisition	Frequency	Percent
Difficult to understand	4	17.4
Impractical	2	8.7
Too theoretical	4	17.4
Easy to understand	1	4.3
Interesting	10	43.5
Practical	6	26.1

The largest group of teachers reported that research in the field of second language acquisition was interesting, and approximately one quarter considered it practical. In contrast, another quarter considered it to be either difficult to understand or too theoretical. Two teachers considered the research on this topic to be impractical and 1 thought that it was easy to understand.

Research Questions

Research question 1. What types of assessment practices are used with ELLs in this mid-sized urban school district?

The survey qualitative items were examined to determine the assessment practices used with ELLs. The teachers' responses were examined to determine patterns, similarities and differences among the seven teachers who participated in the face-to-face interviews. Information from the open-ended items on the survey was also presented to further show how teachers use best practices and assessment techniques in their classrooms.

The quantitative analysis revealed that teachers with ESL/bilingual college preparation were more likely to use evidence-based, place-based practices and interventions in providing individualized instruction to ELL students than general education teachers. A closer examination of the qualitative data provided information regarding teachers' perceptions of their teaching and feelings of preparedness. There was considerable agreement between two teachers who had several years of experience with, and training in teaching ELLs. These teachers stated that they "always" include accommodations

for ELLs in their lesson plans (Survey Q17) and they use many of the “best practices” in ESL teaching: activating prior knowledge, building background knowledge, checking for understanding, modifying their speech in addressing ELLs, etc. Nevertheless, there were some differences of beliefs among the teachers trained in ESL methods who have had extensive experience teaching ELLs.

First, in response to survey question 18, neither felt that ELLs should be held to the same English language standards as the English-speaking students, but for different reasons. Teacher 1 pointed out that the timeline of *ESSA* is unrealistic, suggesting that although the goal may be realistic, more time would be required than the legislation allows. Teacher 7 qualified her answer saying that children enroll in the American schools often having come from a culture and school that had much different requirements, and therefore, these students have differing degrees of adjustment to make once entering the American classroom. Thus, she felt uncomfortable holding the ELLs to the same language standards as the native speakers of English. This same teacher felt that the same applied to the standard for learning *content* in the American public-school curriculum. Teacher 1, however, felt strongly that the students must be held to the same content standards as their English-speaking peers. Her rationale was that it is the school's “duty to find methods, materials, and teachers who can teach the content of the curriculum, regardless of language” (Survey Q19, #17). For her, there was no excuse for lowering the learning expectations in the content knowledge of the ELLs. Something particularly striking in the responses of the two teachers were their well-defined opinions about teaching ESL and their rationales. In fact, throughout the interviews and consistent with their survey answers, both Teacher 1 and Teacher 7 distinguished themselves from the other teachers in the study. This phenomenon encouraged a closer look at their background and teaching experiences.

There were two areas of contrast when comparing these two teachers' backgrounds with those of the other teachers in the study. First, both teachers had either an ESL endorsement or a bilingual education minor among their credentials. Having read and researched the field, these teachers felt confident and prepared for teaching ELLs.

Another interesting factor setting them apart is that they both learned another language during their lifetime and participated in a study abroad program as part of their college preparation. The question becomes, which is more influential in the preparation of teachers for teaching ELLs? Is it the academic coursework? Is it their life experience and the fact that they have acquired a second language themselves? Their expressions of empathy for the students were markedly more evident in their words and teaching approaches.

Even though some differences were found in the perspectives of the two ESL-endorsed teachers, there was an even more significant contrast between the interview answers of the monolingual teachers and the answers of the bilingual ones. Their comments were in contrast in all areas of inquiry: instructional methods, assessment, expectations, professional development/training attended, and their understanding of how mainstreaming of ELLs takes place.

A look at the backgrounds of three monolingual teachers in the study gives these questions considerable importance. Teachers 2, 3, and 4 do not have the ESL or bilingual endorsements. Although all three had college courses in multicultural education, none learned a second language or participated in a study abroad program. In their interviews, they referred to having had a multicultural education course that never addressed language learning.

More disconcerting was the attitude expressed by some of the monolingual teachers. When asked about how teachers might modify their teaching or assessment of ELLs, Teacher 4 commented, “I don't teach them differently.” When asked about actual accommodations, she remarked, “I lessen their work. I give them less content. Now they make good grades.” Although Teacher 2 also said, “I teach everyone the same way,” when asked specifically about accommodations, she added, “I differentiate when I assess for writing; I evaluate them mostly orally.” This seems like an unlikely approach to assessing writing. Another comment made by Teacher 2 was about adapting the instructional materials to the Spanish-speaking students. “The science curriculum in Spanish can be downloaded from the Internet, but I don't do it. That defeats the purpose of having them learn English. This is an English-speaking country.” (Interview Q8) The last sentence seems to be making a point that denies the value of native-language instruction that supports the learning of content.

One other teacher (Teacher 3) claimed that she did indeed modify instruction for her ELLs. “I modify things for them. I give them their exam ahead of time; I give them the responses so all they have to do is memorize the answers.” (Interview Q3) It is doubtful that this would be viewed as a “best practice” in the instruction of ELLs. Not only is it relegating their learning to the lowest rung on Bloom's Taxonomy (memorization), but it is also not supporting their language learning. In other

comments, this teacher indicated that she would welcome training “in understanding what the district wants us to do with these kids. I think we’re supposed to teach content.” (Interview Q9)

When asked about administrative support, Teacher 3 remarked that she couldn’t “think of any [administrative support] other than those people showing up in my classes [the paraprofessional staff].” (Interview Q8)

The qualitative findings have implications for ESL teaching and assessment practices, and validate the preparation offered in the bilingual or ESL endorsement programs.

Research question 2. How are decisions about mainstreaming made in this school district? What role does assessment play in mainstreaming decisions? Do formal ELL assessments alone adequately measure the readiness of students to be mainstreamed?

Upon enrollment, students take a Home Language Survey. Based on answers indicating that the child might speak a language other than English, the English Language Proficiency Assessment (ELPA) screener for placement is administered. This test measures English language proficiency (academic and social language) in reading, writing, speaking, listening, and comprehension. For each grade level assessed, proficiency levels include basic, intermediate, and proficient categories.

Following the test, students are placed either in general education or in ESL classes. The District provides native language instruction for absolutely zero-English students. ELLs in ESL classes are taught by ESL or bilingual education teachers. Students remain in the ESL classes until they score above the 40th percentile on the ELPA screener. Once they exit, ELLs placed in mainstream classes are given support commensurate with the District’s ability to secure resources, and not their needs. The school district has a few native language tutors, and these are deployed to schools based on their availability, and not as necessary.

According to the Central Office administrator, bilingual children in the District usually achieve at or above grade level in math and science (two subjects less dependent on English), while general education students might not reach that level. The success of the ESL and bilingual programs is due to the motivation and preparation of the District’s bilingual teachers, and to programs supporting bilingual families. The District’s biggest challenge has been to maintain the gain ELL students made while in the ESL program. When mainstreamed, ELL students fall back within 6 months due to the culture shock; lack of an intense support system (with no bilingual teachers); and reduced communication between mainstream teachers and parents.

From responses provided to interviews and surveys, it appeared that regular education teachers were unfamiliar with the District’s process and policies on mainstreaming.

Knowing how and at what point ELLs should be placed in regular, general education classes and how to advance their academic and language gain could contribute to better academic results and their more rapid cultural and language integration. Teacher training in mainstreaming, along with clear understanding of the District’s policies, could lead to better support for transitioning students.

Research question 3. How do general education teachers with ELL students in their classrooms indicate they have been prepared to provide instruction to these students?

The participants were asked to indicate the professional preparation they had to prepare them teach ELL students. Teachers were given a list of options and told to indicate all that applied; therefore, the number of responses exceeded the number of respondents (Table 4).

Table 4, Frequency Distributions, Professional Preparation for Teaching ELL Students

Professional Preparation for Teaching ELL students	Frequency	Percent
Advanced degree in ESL	2	9.1
Major in bilingual education	2	9.1
Minor/Endorsement in ESL	4	18.2

Minor/Endorsement in bilingual education	3	13.6
Coursework in ESL	5	22.7
No formal coursework in ESL	6	27.3
No formal coursework in Bilingual education	7	31.8
Other	1	4.5

Approximately 60% of the total number of teachers reported they had no formal coursework in bilingual or English as a Second Language. The majority of the remaining teachers reported a minor/endorsement in ESL/bilingual education or completion of coursework in ESL. One teacher indicated that she had a major in Spanish.

Teachers provided responses to some questions regarding their educational backgrounds. More than half of the teachers did not speak a language other than English and did not study abroad as part of the college education. Approximately two-thirds of the teachers indicated their college education included multicultural studies.

The teachers were asked to indicate their involvement in professional development (PD) that was focused on teaching ELL students. The responses were summarized in Table 5.

Table 5. Frequency Distributions, Professional Development for Teaching ELL Students

Professional Development for Teaching ELL Students	Frequency	Percent
Recency of attendance at professional development on teaching ELL students		
During the past three months	1	4.3
During the past six months	2	8.7
Within the last year	4	17.4
More than a year ago	9	39.2
Never	7	30.4
Total	23	100.0
Number of district-sponsored professional development activities pertaining to language learning or multiculturalism and diversity		
None	3	13.1
1	3	13.1
2	5	21.8
3	1	4.3
4	1	4.3
5	1	4.3
More	23	100.0
Total		
Number of articles, journal studies, or books read pertaining to language learning and language acquisition		
0 to 1	5	21.7
2 to 3	5	21.7
4 to 5	3	13.2
6 to 7	5	21.7
More than 7	23	100.0
Total		
Number of articles, journal studies, or books read pertaining to best practices in education		
0 to 1	3	13.1
2 to 3	6	26.1
4 to 5	4	17.4

6 to 7	9	39.1
More than 7	23	100.0
Total		
Recency of observing a bilingual instructor teach ELL students		
During the past six months	7	30.4
During the previous school year	2	8.7
Over 2 years ago	5	21.7
Never	9	39.2
Total	23	100.0
Recency of observing a general education instructor teach classes that included ELL students		
During the past six months	3	13.6
During the previous school year	3	13.6
Over 2 years ago	13	59.2
Never	22	100.0
Total		
Missing 1		

The largest group of teachers had attended professional development for teaching ELL students more than a year ago, with approximately one third of the teachers reporting they had never attended professional development for teaching ELL students. Only 4 teachers attended ELL-specific PD within the last year; 1 within the past three months; and 2 within the past six months.

When asked to report the number of district-sponsored professional development activities pertaining to language acquisition or multiculturalism and diversity, almost 40% of the teachers reported none, with 21.8% indicating they had attended three activities pertaining to language learning or multiculturalism and diversity. These two categories represent more than half of the total number of teachers surveyed.

The teachers were asked to report the number of articles, journal studies, or books they had read pertaining to language learning, language acquisition, and best practices in education. Responses were similarly distributed among the choices with respect to language learning and acquisition. More than half of the teachers indicated they read between 6 or more articles on best practices during the past year.

A large group of teachers (39.2%) reported that they had never observed bilingual instructors teaching ELL students, and approximately 30% indicated they observed a bilingual teacher within the past six months. Two teachers had observed a bilingual instructor within the previous school year. Five teachers reported it had been more than 2 years since they had observed a bilingual instructor who taught ELL students.

The teachers were asked to report the recency of observing a general education instructor teach classes that included ELL students. The majority of the respondents indicated they had never observed a general education instructor teach classes that included ELL students.

Research question 4. To what extent do general education teachers with ELL students in their classrooms use specific teaching practices?

The teachers rated the frequency with which they used specific teaching practices in their classrooms with ELL students using a 6-point Likert-type scale. Lower scores on these teaching practices indicate more frequent usage of the practice. The mean scores for each of these teaching practices were compared to the midpoint (3.5) of the scale using t-tests for one sample (Table 6).

Table 6. t-Tests for One Sample. Teaching Practices

Teaching Practices	Number	Mean	SD	DF	t-Value	Sig
Use lecturing as the primary method of teaching	23	3.39	.84	22	-.62	.541
Activate prior knowledge	23	1.83	.98	22	-8.16	<.001
Build background knowledge	22	1.91	.97	21	-7.68	<.001
Engage students in the teaching of a new lesson	23	1.83	.94	22	-8.57	<.001
Check for understanding	23	1.57	.95	22	-9.82	<.001
Use acting out a problem/concept	23	2.48	.95	22	-5.17	<.001
Use audio-visuals in teaching and assessment	23	2.61	1.12	22	-3.83	.001
Translate information in students' languages	22	3.73	1.61	21	.66	.515
Abbreviate/adapt text	23	3.00	1.41	22	-1.70	.104
Use the services of a paraprofessional that speaks the students' languages	23	2.83	1.56	22	-2.08	.050
Allow ELLs to use dictionaries during class time	23	2.87	1.71	22	-1.76	.092
Give ELLs more time to think/respond to a question	23	2.26	1.51	22	-3.93	.001
Modify speech when addressing ELLs	23	2.65	1.37	22	-2.97	.007
Use authentic assessments (portfolios, presentations, projects) with students	23	2.26	1.25	22	-4.75	<.001
Allow students to work in collaborative groups	23	2.04	1.02	22	-6.84	<.001
Use flexible groupings	23	2.26	1.14	22	-5.23	<.001
Use graphic organizers in explaining concepts	23	2.57	1.34	22	-3.34	.003
Allow students to respond to oral or written questions in their native language	23	3.26	1.57	22	-.73	.474
Correct students' use of the English language	23	3.17	1.27	22	-1.24	.230
Have specific language and content objectives for a lesson	22	2.00	1.23	21	-5.70	<.001

Fourteen of the teaching practices differed significantly from the midpoint of 3.50. Each of these differences was in a negative direction, indicating the teachers were using these teaching practices either always or often. As an example, the first statistically significant result was for "activate prior knowledge". The comparison of the mean of 1.83 (sd = .98) for this item differed significantly from the midpoint of 3.50, $t(22) = -8.16, p < .001$. The other items that produced statistically significant results included: build background knowledge, engage students in the teaching of a new lesson, check for understanding, use acting out as a problem/concept, use audio-visuals in teaching and assessment, use the services of a paraprofessional who speaks the students' languages, give ELLs more time to think/respond to a question, modify speech when addressing ELLs, use authentic assessments (portfolios, presentations, projects) with students, allow students to work in collaborative groups, use flexible groupings, use graphic organizers in explaining concepts, and have specific language and content objectives for a lesson.

Research question 5. Is there a correlation between general education teachers' use of specific ELL teaching practices related to their demographic characteristics (i.e., age, gender, years teaching classes that include ELLs), and educational preparation for teaching ELLs?

Spearman rank-order correlations and point-biserial correlations were used to determine the strength and direction of the relationships between the frequency with which general education teachers with ELL students in their classrooms used teaching practices related to instruction, assessment, accommodations, and monitoring learning and their personal and professional characteristics. The results of the correlation analyses were not statistically significant. These findings indicated that general education teachers' personal characteristics were not associated with the frequency with which they used specific teaching practices related to ELL students' instruction, assessment, accommodations, and monitoring learning.

Implications for Practice

Continuing professional development in culturally responsive pedagogy, language acquisition, and best practices for teaching ELLs would elevate teachers' preparedness and efficacy levels. Building level administrators should be knowledgeable of district policies and procedures regarding placement of ELL students. Investing human and financial resources in the teaching of ELLs and training of their teachers would lead to improved academic results for schools.

Limitations of the Study

The study was conducted in a mid-sized urban school district. The results may have been different if a suburban or rural school district were used. The small number of teachers included in the quantitative portion of the study may have reduced the power of the statistical analyses. Although t-tests for one sample were appropriate for small samples, a larger sample could have been more representative of general education teachers with ELL students in their classrooms. The results of this study provide a basis for continuing research for helping ELL learners become mainstreamed into general education classes.

Conclusions

The purpose of this study was to determine the methods used by general education teachers to instruct and assess mainstreamed ELL students. The general education teachers appeared to lack knowledge of specific policies for mainstreaming ELL students into general education classrooms. Their use of specific teaching practices for working with ELL students also appeared to be somewhat limited, although they used good teaching practices with all students. Most of the teachers had not participated actively in professional development that focused on teaching non-English speaking students. This may have been because of unavailability of district-provided PD on these topics. Training was available for ESL and bilingual teachers. All teachers are held accountable for the progress of their students, but some may be at disadvantage without the tools and skills needed for being effective with language minority children. Additional research is needed using a larger sample to obtain information regarding the teaching and assessment of ELL students who are mainstreamed into general education classrooms. The role of professional development and educational opportunities for teachers to increase their skills and knowledge needs further investigation.

References

- [1] Abedi, J., & Dietel, R. (2004). Challenges in the No Child Left Behind Act for English Language Learners. *CREST Policy Brief*, 7.
- [2] Ball, A. (1997). Expanding the dialogue on culture as a critical component when assessing writing. *Assessing Writing*, 4(2), 169-202.
- [3] Braunger, J., & Lewis, J. P. (1997). *Building a knowledge base in reading*. Portland, OR: Northwest Regional Educational Laboratory.
- [4] Brisk, M. E. (1998). *Bilingual education: From compensatory to quality schooling*. Mahwah, NJ: Lawrence Erlbaum Associates.
- [5] Bruner, J. S. (1960). *The Process of education*. Cambridge, Mass.: Harvard University Press.
- [6] Collier, V. (1992). A synthesis of studies examining long-term language minority data on academic achievement. *Bilingual Research Journal*, 16(1/2), 187-212.

- [7] Creswell, J. W. (2005). *Educational research: Planning, conducting, and evaluating qualitative and quantitative research* (2nd ed.). Columbus, OH: Merrill Prentice Hall.
- [8] Cummins, J. (1996). *Negotiating identities: Education for empowerment in a diverse society*. Ontario, CA: California Association for Bilingual Education.
- [9] Cummins, J. (1998). Immersion for the millennium: What have we learned from 30 years of research on second language immersion? In M.R. Childs & R.M. Bostwick (Eds.) *Learning through two languages: Research and practice*. (pp. 34-47). Kato Gakuen, Japan.
- [10] Dewey, J. (1938). *Experience and education*. New York: Simon & Schuster.
- [11] Echevarria, J., Vogt, M. E., & Short, D. (2004). *Making content comprehensible for English learners: The SIOP model*. Boston: Allyn & Bacon.
- [12] Estrin, E., & Nelson-Barber, S. (1995). Issues in cross-cultural assessment: American Indian and Alaska Native Students. *Knowledge Brief*, 12.
- [13] Faltis, C. J., & Arias, M. B. (1993). Speakers of languages other than English in the secondary school: Accomplishments and struggles. *Peabody Journal of Education*, 69(1), 6-29.
- [14] Gersten, R. (1996). Literacy instruction for language minority students: The transition years. *Elementary School Journal*, 96(3), 227-244.
- [15] Krashen, S. (1982). *Principles and practice in second language acquisition*. Oxford, UK: Pergamon.
- [16] Krashen, S. D., & Terrell, T. D. (1983). *The natural approach: Language acquisition in the classroom*. Hayward, CA: Alemany Press.
- [17] Lau v. Nichols, 414 U.S. 563, (1974)
- [18] LeCompte, M.D. & Schensul, J. J. (Eds) (1999). *Designing and conducting ethnographic research*. Walnut Creek, CA: AltaMira Press
- [19] Lincoln, Y. S., & Guba, E. G. (1985). *Naturalistic Inquiry*. Beverly Hills, CA: Sage Publications.
- [20] Linqanti, R. (1999). *Fostering academic success for English Language Learners: What do we know?* WestEnd.
- [21] Lucas, T., & Wagner, S. (1999). Facilitating secondary English Language Learners' transition into the mainstream. *TESOL Journal, Winter 1999*, 7-13.
- [22] McLeod, S. A. (2019). *What Is the Zone of Proximal Development?* Retrieved from <https://www.simplypsychology.org/Zone-of-Proximal-Development.html>
- [23] O'Malley, J. M., & Pierce, L. V. (1996). *Authentic assessment for English Language Learners*.
- [24] Schensul, S. L., Schensul, J. J. & LeCompte, M. D., (Eds) (1997). *Essential ethnographic methods*. (Volume 2 of Ethnographer's toolkit). Walnut Creek, CA: Altamira Press.
- [25] Short, D. J. (1994). Expanding middle school horizons: Integrating language, culture and social studies. *TESOL Quarterly*, 28, 581-608.
- [26] Spradley, J. P. (1980). *Participant observation*. Fort Worth, TX: Holt, Rinehart and Winston
- [27] Stiggins, R. J. (1987). Design and development of performance assessments. *Educational Measurement: Issues and Practices*, 6(1), 33-42.
- [28] Sugarman, J., & Howard, L. (2001). *Two-way immersion shows promising results: Findings from a new study*. Washington, DC: Center for Applied Linguistics.
- [29] Tharp, R. G. (1982). The effective instruction of comprehension: Results and description of the Kamehameha Early Education Program. *Reading Research Quarterly*, 17, 503-527.
- [30] Thomas, W., & Collier, V. (2002). *A national study of school effectiveness for language minority students' long-term academic achievement*: University of California, Santa Cruz.
- [31] Thomas, W. P., & Collier, V.P. (1997). *School effectiveness for language minority students*. Washington, DC: National Clearinghouse for Bilingual Education.
- [32] Valdes, G. (2001). *Learning and not learning English: Latino students in American schools*. New York: Teachers College Press.
- [33] Vygotsky, L. S. (1978). *Mind in society: The development of higher psychological processes*. Cambridge, MA: Harvard University Press.
- [34] Wood, D., Bruner, J., & Ross, G. (1976). The role of tutoring in problem solving. *Journal of Child Psychology and Child Psychiatry*, 17, 89-100.

Return Migrants' Impact in Economic Development of the Origin Country

Alkida Ndreka

PhD Candidate, University of Tirana, Faculty of Social Science, Albania

Abstract

Migration has reciprocal economic implications between the origin and host countries. While scholars draw attention to the globalization of migration, since the 1960s there is a perpetual debate about the migration and development nexus. The role of international migrants and their financial remittances are identified as having a highly positive effect on the home country's development. Emigrants' remittances tangibly benefit the income for the families in the home country and investments in different sectors (housing, education, health, entrepreneurship, etc.). Next to remittances, returned migrants, especially those highly skilled are recognized as actors and drivers of significant economic development in the homeland. The contribution of return migrants to the development in origin countries can be beneficial not simply by investing the financial capital they accumulated during the migration cycle but also by the transferring of expertise, knowledge and new skills acquired abroad, and acting as social change agents in the home society. Empirical studies indicate a positive relationship between return migration and entrepreneurial activity, therefore enterprises can be a substantial contributor, among others, to economic growth and alleviating poverty of the origin country. Governments and policymakers are increasingly interested in the issue of return migration and return migration policies that attract and facilitate the returnee's reintegration. Reintegration programs, especially those in the business sector, benefit the development of the origin country through savings, investments, easing of entrepreneurial opportunities and the expertise of returnees. This paper aims to identify whether return migration is beneficial for the origin country and especially to analyze the role of return migrant's in the economic development of the origin country through engaging in entrepreneurial activity

Keywords: migration, return migration, development, economic reintegration, entrepreneur activity

Introduction

Homo sapiens have seldom been sedentary (**Samuel & George, 2002, p. 32**), people have moved across states and continents for centuries in search of new opportunities, or to escape poverty, conflict or environmental degradation (**Castles, de Haas & Miller, 2014, p. 5**). Some authors go even further by declaring that it is "inherent in human nature – an instinctual and inborn disposition and inclination to wonder and to wander in search of new opportunities and new horizons (**Marsella & Ring, 2003, p. 3**). Most of the countries are affected by migration and its effects, either as migrants sending country or as a receiving country. The number of international migrants worldwide has continued to grow over the past seventeen years, reaching 258 million in 2017, up from 248 million in 2015, 220 million in 2010, 191 million in 2005 and 173 million in 2000 (**United Nations, 2017, p. 4**). International migration is increasing due to a lot of factors and especially the impact of globalization, through fast development of transport and communication technology. In the 21st century, it is easier than ever for migrants to travel to their homeland, to send remittances and to communicate with members of their households. Current technological advances have allowed people to be better informed through television programs broadcasted via satellite, mobile phones and the internet letting them know more about the world and opportunities.

The growing interest of government and policy-makers has resulted in implementing policies about immigration, emigration and return migration. There is always a category of international migrants who turn back to the homeland. No one can predict return migration, how many people, why and when they will return. The return migration phenomenon is complex, the decision to return depends in multiple factors which are difficult to be measured. Unlike other types of migration, the

issue of return migration has recently been receiving increasing attention in the migration literature (**De Haas, Fokkema & Fihri, 2015, p. 2**). It was not until the 1970s that studies into this phenomenon began, and it is still a relatively unknown and unexplored subject (**Elizabeth, 2015, p. 1**).

Many authors have studied the reasons which encourage migrants' return to their homeland including economic and non-economic factors. Serious illness, fear of family breakdown, fear of divorce, or the death of a relative caring for young children (**Carling et al., 2015, p. 19**), as circumstances change, and as they achieve the economic objective they sought in one country or because they fail to achieve their goals (**Samuel & George, 2002, p. 39**) are just some of the reasons which can trigger a migrant's return. Returnees are a heterogeneous group; they have different reasons to return and belong to different types of return, including voluntary or involuntary. Many authors have classified typologies of returned migrants, distinguishing different categories among the returnees. According to **Gmelch (1980)** there are three main type of returns: 1. Returnees who intended temporary migration 2. Returnees who intended permanent migration but were forced to return. 3. Returnees who intended permanent migration but chose to return (**Gmelch, 1980, p. 138**). Another typology is identified by **Bovenkerk (1974)** who classifies the various types of return migration in four ideal types: (1) intended permanent emigration without return (2) intended permanent emigration with return (3) intended temporary migration with return (4) intended temporary migration without return (**Bovenkerk, 1974, p.10**). One of the most frequently mentioned typologies of return migration is identified by **Cerese (1974)** distinguishing between four types of migrant returns: "Return of failure", "Return of Conservatism", "Return of Retirement" and "Return of Innovation" (**Cerese, 1974, p. 254**). **King (2000)** suggests another typology of returned migrants by taking into consideration the length of the time spent back in the origin country: occasional returns, seasonal returns, temporary returns and permanent returns (**King, 2000, p. 10-11**).

Batistella (2018) uses two variables: the time for return and the decision to return to identify four main types of return. He identifies four types of return migrants; Return of achievement, Return of completion, Return of setback and Return of crisis (forced return) (**Batistella, 2018, p. 3**).

Scholars' interest in return migration has enriched the theoretical and empirical literature about return migration, and yet return migration is considered a neglected, not well studied phenomenon. One of the reasons is the impact of a school of thought which 'naturalises' return as the logical conclusion to the migration cycle (**King & Lulle, 2016, p. 106**). According to this perspective return migrants are assumed to be returning to their natural homeland and the process of adaptation is presumed to be a natural one. Beyond this interpretation, the return process is a complex phenomenon and is not always a 'natural' process. Returning to a changed country, where social relations, political structures, and economic conditions are not what they used to be, may be equivalent to arriving in a new place (**van Houte & de Koning, 2008, p. 5**).

1.2. Migration and Development Nexus

The nexus between migration and development has once again found entry into the public debate and academic research in connection with the mobility of persons and issues of economic and socio-political development (**Faist, Fauser & Kivisto, 2011, p.1**). The links between migration and development are widely acknowledged to be complex (**Wets, 2004, p. 6**), but it has been a growing consensus that migration is an integral feature of global development. The impact of migration on development has been the subject of a growing body of research and literature in recent years, recognizing migrants as actors of development and their valuable contribution both to origin and destination countries. Although the historic role of migration in the development of receiving countries has long been acknowledged, interest in migration's impact on sending countries is much more recent (**King, Mata-Codesal & Vullnetari, 2013, p. 71**). Migration is identified as a tool of alleviating poverty, especially in the origin country, developmental possibilities can be accelerated by remittances and return migration. For example, in the early 2010s, over 130,000 Albanian emigrants returned from Greece; abroad, they had acquired technological skills, e.g. in agricultural techniques, which enabled them to create both jobs and new export opportunities in Albania. Return migrants were three times as likely to employ others as non-migrants, and their entrepreneurship in turn led to 3–6 per cent higher wages for low-skilled Albanians who had never migrated (**IOM, 2018, p. 43**).

Assessments of the influence of migration on development have varied over time: sometimes migration has been seen as beneficial and at others detrimental to development, depending on the historical moment and circumstances (**Van Hear & Nyberg Sørensen, 2003, p. 6**). The scholarly and policy debates on migration and development have changed from optimism approach during 1960s to pessimism approach during 1970s and 1980s, and back again to optimistic approach since 1990s.

Faist (2008) identifies and analyzes three phases linking migration and development. During the first phase, the 1960s, it was assumed that financial remittances, return migration, and the subsequent transfer of human capital would contribute and result to development in the countries of origin. This view clearly corresponded to overall economic modernisation concepts and to a belief that state capacity could shape economic growth (**Faist, 2008, p. 25**). The second phase, much of the 1970s and 1980s, the link between migration and development was reversed. One of the central issues of this phase was not financial remittances but brain drain. From a dependency perspective, underdevelopment led to the loss of the highly-skilled who migrated from the periphery to the centres in the dependent world, and above all into industrialised countries. This out-migration, in turn, was thought to contribute to even more underdevelopment and increased migration flows through asymmetric distribution of benefits and resources (**Faist, 2008: 25**).

The third phase, since the 1990s, led us back to a more optimistic view alike to the 1960s. International migration is an important component of development. During this phase, there is an acceptance that more circulation of labour fosters more development by way of remittances and through knowledge networks. New issues come up, such as formalizing the migration–development nexus by strengthening remittance channels through banks, and diaspora knowledge networks, which are not built upon the ‘return option’ but the ‘diaspora option’ (**Faist, 2008: 26**).

Migrants’ remittances are an old issue in the migration debate (**Ghosh, 2006, p.7**). Remittances are acknowledged as a key element of linking migration and development. Many scholars and policy-makers even consider remittances as the next development panacea. In theory, they can represent one engine of economic growth and development for the receiving country; provided of course, that they are used in a coordinated and efficient way to stimulate investment, modernization and restructuring of the economy (**de Zwager et al., 2005, p. 1**). These are some of the positive economic effects of international migrants on development of the homeland, but in the case of temporary migration, remittances may generate entrepreneurial opportunities upon return and help overcome the credit constraints that individuals may face in the origin country (**Collier, Matloob & Randazzo, 2017, p. 175**).

King and Lulle (2016) identify different channels in which remittances can be directed: support for everyday living costs – food, clothes, medicines, fuel etc.; spending/investment in new and improved housing; investment in a business – e.g. in land, farm machinery or irrigation to improve an agricultural enterprise, or in a business in the industrial, retailing or transport sector; investment in human capital, such as children’s education; pooling into collective remittances directed to a joint project such as a school, community centre, road or other infrastructural investment back in the village or hometown (**King & Lulle, 2016, p. 97**).

The study of migrants’ transfers mainly focused on the financial remittances sent to the origin households. Progressively, the social, cultural and political capital that migrants were transferring through their continued engagement with their country of origin throughout their migration project – at different stages, and across different generations – was ever more acknowledged and recognized (**Gropas, Triandafyllidou & Bartolini, 2014, p. 8**).

Economic remittances are not the only benefits for the sending countries; international migrants remit also social remittances. The notion of social remittances refers to “the ideas, behaviors, identities and social capital that flow from receiving- to sending-country communities” (**Levitt, 1998, p. 926**). Social remittance exchanges occurs when migrants return to live in or visit their communities of origin; when non-migrants visit those in the receiving country; or through exchanges of letters, videos, e-mails and telephone calls. These social transfers shall promote development given that they are ‘good’ since they are related to modernity and modern development, reflected in human rights, gender equity, and democracy, to name only the most obvious ones (**Faist, Fauser & Kivisto, 2011, p.3**).

1.3. Return Migration and Economic Development of the Origin Country

The link between migration and development are acknowledged, although return migration has gained the attention of governments, policy-makers, scholars and international organizations, consequently there has been an attempt to study the impact of return migration on development. Major attention has been paid to the migrants who bring with them substantial financial, human and social capital. These returnees have the potential of playing an important role in the socio-economic development of the country (**de Zwager et al., 2005, p. VII**). Returnees belong to different categories and not every category has the same impact in the origin country but many scholars agree that among them, particularly those highly-skilled, returnees can be drivers of innovation and impact on the economic development (**Smoliner et al., 2012, p. 3**).

The existing literature analyzes the development impacts of return migration and classifies the contribution of returnees to their countries of origin into four broad categories or channels. **Debnath (2016)** identifies 4 main categories. First, they bring with them new skills (human capital) acquired through experience, training, or education in host countries. Second, they may come back with financial capital in the form of savings from abroad. This acquired capital allows returnees to participate as entrepreneurs or investors in their home countries. Third, they contribute through their social capital (networks) that they acquired as a result of their migration experience. Finally, returnees can act as social change makers. For instance, they can exert a positive impact by challenging and changing existing relations within the origin societies. (**Debnath, 2016, p. 6**).

Return migration can impact the origin country in various areas, but recently, there has been more attention on the role of returnees as entrepreneurs and their impact in their home country's economic development. Returnees are often hailed as super entrepreneurs with consequent high expectations for their role in business start-ups and job creation (**Naudé et al., 2017, p. 2**). Although the impact of international migrants in the home country through remittances is well known, speaking of return migration and development of the origin country still needs to be acknowledged. The results of most empirical studies suggest significant positive influence of returnees on different aspects of their home countries' development (**Ernst, 2011, p. 5**). Numerous empirical studies have yielded consensus on the positive relationship between return migration, entrepreneurial activity and self-employment. These small and medium enterprises can be significant contributors to economic growth and alleviating poverty by creating jobs, employment and increasing income for households.

Many research studies are focused on analyzing the ability of returnees to engage in entrepreneurial activity, suggesting that returnees have higher probability to be engaged comparing to the people who never migrate. **McCormick and Wahba (2001)** found that both overseas savings, and the duration of stay overseas increase the probability of becoming an entrepreneur amongst literate returnees to Egypt (**McCormick & Wahba, 2001, p. 16**); also **Dustmann and Kirchkamp (2002)** studying returnees to Egypt conclude that most of them engage in entrepreneurial activities (**Dustmann & Kirchkamp, 2002, p. 351**); while **Wahba and Zenou (2009)** find that returnees are more likely than non-migrants (11%) to become entrepreneurs (**Wahba & Zenou, 2009, fq. 21**); **Batista, McIndoe-Calder & Vicente (2014)** study in Mozambique shows that being a return migrant is associated with a significant increase of 13 percentage points in the probability of owning a business relative to non-migrants (**Batista et al., 2014, p.25**); **Marchetta (2012)** provides evidence of high propensity of returnees to engage in entrepreneurial activities and econometric analysis evidences the fact that returnees have a significantly higher probability to survive over time as entrepreneurs if compared to stayers (**Marchetta, 2012, p. 23**), **Black and Castaldo (2009)** studying engagement in enterprises of returnees to Ghana and Côte d'Ivoire suggest that training and education is of little significance, while practical work experience and the ability of migrants to network with co-nationals and keep in contact with friends and family on a regular basis while they were away may be of critical importance, alongside financial capital (**Black & Castaldo, 2009, p. 54**). **Gubert and Nordman (2008)** investigating in Morocco, Algeria and Tunisia conclude that the probability of becoming an entrepreneur after return is higher for returnees with a first experience as employers or self-employed, for those who received vocational training whilst abroad and for those who independently and freely chose to return (**Gubert & Nordman, 2008, p. 18**). **Hagan and Wassink (2016)** in Mexico concluded that respondents with prior migration experience were 9 percentage points more likely to become self-employed, and 6 percentage points more likely to own a business with employees (**Hagan & Wassink, 2016, p.10**), likewise **Wahba (2004)** in Egypt found that the share of returnees as employers and self-employed is much higher than their share among non-migrants (**Wahba, 2004, p. 9**). Similar results were also found in Egypt by **Bensassi and Jabbour (2017)**. **Arif and Irfan (1997)** in Pakistan, **Ilahi (1999)** in Pakistan and **Demourger and Xu (2011)** in China found that return migrants were more likely to be self-employed than non-migrants.

Several studies in Albania analyzed the tendency of returnees to engage in entrepreneurship. **Piracha and Vadean (2010)** found that return migrants are significantly less likely to participate in wage employment (-5.5 percentage points) but their entrepreneurship rate is about 45 percent higher than non-migrants (7.9 percent vs. 5.4 percent respectively) (**Piracha & Vadean, 2010, p. 6**). **Germejani and Milo (2009)** studied the reintegration of returnees into the Albanian labor market and also observe a high rate of self-employment among returnees: 38.9% of the sample or 52.8% of those employed. (**Germejani & Milo, 2009, p. 504**). Similar results also were found by **de Coulon and Piracha M. (2005)** who noted that return migrants are almost twice as likely to be self-employed as those who did not migrate (**de Coulon & Piracha, 2005, p.11**). Also **Mai (2011)** shows that there is a positive relationship between return migration and self-employment, 51.5% of returned migrants are self-employed or employers (**Mai, 2011, p. 15**).

Hatziprokopiou and Labrianidis (2005) conclude that important increases have taken place in entrepreneurship and self-employment, as well as an overall rise in the proportion of professionals after return. Those who owned a private business after emigration reached 36 percent among men and 16 percent among women. Self-employment expanded too, from 18 percent for men and 1 percent for women to 23 and 5 percent respectively. **Kilic, Carletto and Zezza (2009)** findings are indicative of a strong, positive relation between past (return) migration and business ownership. The propensity of being involved in small family businesses is highest among households with migration experience in countries other than Greece (**Kilic et al. 2009, p. 618**).

Labrianidis and Kazazi (2006) found that after return a large percentage of people returnees became employers (67.1 percent of men and 25.8 percent of women) (**Labrianidis & Kazazi, 2006, p. 64**).

Nicholson (2001) expresses not just that the returnees are engaged in entrepreneurial activity but the returnees have created in the origin country different businesses and enterprises similar to the emigration country: some former emigrants have replicated the enterprise they worked in (**Nicholson, 2001, p. 40**).

Empirical evidence indicates there is a positive impact of return on development, especially in the economic aspect through engaging in entrepreneurial activities. The impact of returnees in development of the origin country does not solely depend in the financial and human capital brought back to the homeland but also on the ability of the home economy to accommodate/utilize this capital (**Germeji & Milo, 2009, p. 498**). The issue that arises is in what conditions returnees are more likely to stimulate development in their home countries. The ability of returnees to contribute to the development of the origin country and their ability to act as a social changer depends also on the return process and their re-integration. The Glossary on Migration (**IOM, 2011**), defines reintegration as a process that includes three dimensions: social, cultural and economic. Returnees need to be adapted into the new society and sometimes this is not easy but a challenging process. They face tremendous challenges in adaptation of the environment, housing, employment, psycho-social, and feelings of failure to meet family expectations (**Birara, 2017, p. 33**) and have to (re)create social relationships and networks that may be useful for their economic, social or political activities in the country of return (**Åkesson & Eriksson-Baaz, 2015, p. 13**).

It is important that the return be "successful" and "sustainable" and a permanent event. It is understandable that successful reintegration in the home country is crucial for return migrants to utilize their potentials (**Ernst, 2011, p. 7**) in order for returnees to have a positive impact in the development of the origin country. Governments and states implement return migration policies that aim to maximize the potential of returnees and their impact. Many programs support the reintegration process of return migrants in the home country, not only through simplified administrative procedures but also through programs and facilities in the business sector that help overcome lack of information as well as constraints on entrepreneurship opportunities (**Collier, Piracha & Randazzo 2017, p. 195**).

1.4.1. Conclusion

Migration as a global phenomenon affects the lives of most people. It is viewed as a route out of poverty for states. In the context of migration and development, migration helps development of the countries, especially the origin countries. The major contribution of international migrants towards the origin country is expressed in regular economic remittances sent to the households. Migrants through transnational activities send social remittances to their family and social networks. Return migrants are perceived as actors of development and innovation in the origin country, especially highly skilled returnees. Returnees affect development of their homeland through their entrepreneurial spirit and creating job in their home countries. Empirical studies show that returnees have a higher probability to be engaged in entrepreneurial activity when compared to non-migrants. Migration policies, especially those focused on return migration should attract migrants to return to the homeland and facilitate their social-cultural and economic reintegration. Origin countries can facilitate returnees' engagement in entrepreneurial activity by helping returnees re-adapt back home, in this way states implement these policies as a tool for economic developmental of the country.

Bibliography

- [1] Åkesson, L., & Eriksson-Baaz M. (Eds.). (2015). *Africa's Return Migrants: The New Developers?* London: Zed Books., 192 p.
- [2] Arif, G.M. & Irfan, M. (1999). Return Migration and Occupational Change: The Case of Pakistani Migrants Returned from the Middle East, *The Pakistan Development Review* 36 : 1 (Spring 1997) pp. 1—37

- [3] Batistella, G. (2018). Return Migration: A Conceptual and Policy Framework. Scalabrini Migration Center.
- [4] Birara, D. (2017). Challenges of Social Reintegration for the 2013 Saudi Arabian Returnees in Ethiopia. *International Journal of Humanities and Social Science Research*, 2017, 3, 31-37
- [5] Batista, C., McIndoe-Calder, T., & C. Vicente, P. C. (2014). Return Migration, Self-Selection and Entrepreneurship in Mozambique. IZA DP No. 8195
- [6] Boyd, E. (2015). A Comparative Analysis of Return Migration Policy: Germany, Russia, Kazakhstan.
- [7] <http://stars.library.ucf.edu/honorstheses1990-2015/610>
- [8] Bovenkerk, F. (1974). The Sociology of Return Migration: a Bibliographic Essay.
- [9] Bensassi, S., & Jabbour, L. (2017): Return Migration and Entrepreneurial Success: An Empirical Analysis for Egypt. GLO Discussion Paper, No. 98
- [10] Black, R., & Castaldo, R. (2009). Return migration and entrepreneurship in Ghana and Côte D'ivoire: the role of capital transfers. Sussex Centre for Migration Research, University of Sussex, Falmer, Brighton BN1 9SJ, UK.2009
- [11] Castles, S., de Haas, H., & J. Miller, M. (2014). The Age of Migration, International Population Movements in the Modern World, Fifth Edition.
- [12] Carling, J., Bolognani, M., Bivand Erdal, M., Tordhol Ezzati, R., Erlend Paasche, C.O., Vatne Pettersen, S., & Heggli Sagmo, T. (2015). "Possibilities and Realities of Return Migration". Peace Research Institute Oslo (PRIO).
- [13] Cerase, F. P. 1974. "Expectations and reality: a case study of return migration from the United States to Southern Italy". *International Migration Review* 8 (2): 245– 62
- [14] Collier, W., Piracha, M., & Randazzo, T. (2017). Remittances and return migration. John Wiley & Sons Ltd wileyonlinelibrary.com/journal/rode Rev Dev Econ. 2018;22:174–202
- [15] De Coulon, A., & Piracha, M. (2005). "Self-Selection and the Performance of Return Migrants: the Source Country perspective", *Journal of Population Economics*, 18(4), pp.779-807
- [16] De Zwager, N., Gedeshi, I., Germenji, E., & Nikas, C. (2005). Competing Remittances. IOM Tirana
- [17] De Haas, H., Fokkema, T., & Fihri, M. F. (2015). Return Migration as Failure or Success? The Determinants of Return Migration Intentions Among Moroccan Migrants in Europe. *Journal of International Migration and Integration*, 16(2), 415-429. Retrieved from <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4486414/>
- [18] Debnath, P. (2016). Leveraging Return Migration for Development: The Role of Countries of Origin A Literature Review. Knomad Working Paper 17
- [19] Démurger, S., & Xu, H. (2011) in. Return migrants: the rise of new entrepreneurs in rural China. *World Dev.* 2011;39(10):1847–61.
- [20] Dustmann, C., & Kirchkamp, O. (2002). The optimal migration duration and activity choice after re-migration. *Journal of Development Economics Vol. 67 (2002) 351 – 372*
- [21] Ernst, M. (2011). Return and Development. Increasing the developmental impact of return migration in South Serbia. UN Joint Programme Peacebuilding and Inclusive Local Development (PBILD).
- [22] Faist, T., Fauser, M., & Kivisto, P. (eds). (2011). The Migration – Development Nexus A Transnational Perspective. Palgrave Macmillan, a division of Macmillan Publishers Limited 2011.
- [23] Faist, T. (2008) Migrants as Transnational Development Agents: An Inquiry into the Newest Round of the Migration–Development Nexus. *Population, Space And Place Popul. Space Place* 14, 21–42 Published online in Wiley InterScience (www.interscience.wiley.com) DOI: 10.1002/psp.47
- [24] Gmelch, G. (1980). Return Migration, *Annual Review of Anthropology*, Vol. 9 (1980), pp. 135-159.
- [25] Gropas, R., Triandafyllidou, A., & Bartolini, L. (2014). Conceptualising the integration-transnationalism nexus. Ithaca Report European University Institute

- [26] Ghosh, B. (2006), Migrants' Remittances and Development. Myths, rhetoric and realities. International Organization for Migration
- [27] Gubert, F., & J. Nordman, C. (2008). Return Migration and Small Enterprise Development in the Maghreb. MIREM-AR; 2008/02; [Return Migration and Development Platform (RDP)]. <http://hdl.handle.net/1814/8887>.
- [28] Germenji, E., & Milo, L. (2009). Return and labour status at home: Evidence from returnees in Albania, *Southeast European and Black Sea Studies* Vol. 9, No. 4, December 2009, 497–517
- [29] Hatziprokopiou, P., & Labrianidis, L. (2005). Albanian return migration: migrants tend to return to their country of origin after all. In: *The New Albanian Migration*. Sussex Academic Press, Brighton, pp. 93-117. ISBN 1-903900-78-6
- [30] Ilahi, N. (1999). Review of Development Economics, 3(2), 170–186, 1999. Return Migration and Occupational Change
- [31] International Organization for Migration (IOM) & McKinsey & Company (2018). More than numbers. How migration data can deliver real-life benefits for migrants and governments
- [32] Kilic, T., Carletto, C., Davis, B., & Zezza, A. (2009). Investing back home. Return migration and business ownership in Albania. *Economics of Transition* Volume 17(3) 2009, 587–623
- [33] King, R., Mata-Codesal, D., & Vullnetari, J. (2013). Migration, Development, Gender and the 'Black Box' of Remittances: Comparative Findings from Albania and Ecuador. *Comparative Migration Studies* Cms 2013, Vol. 1, No. Cms 1 (1): 69–96 Doi: 10.5117/Cms2013.1.King
- [34] King, R., & Lulle, A. (2016). Research on Migration: Facing Realities and Maximising Opportunities, A Policy Review. European Commission
- [35] King, R. (2000). 'Generalisations from the history of return migration', in B. Ghosh (ed.), *Return Migration: Journey of Hope or Despair?* 7-55. Geneva: IOM and UN.
- [36] Labrianidis, L., & Kazazi, B. (2006). Albanian return-migrants from Greece and Italy their impact upon spatial disparities within Albania. *European Urban and Regional Studies* 13(1): 59–74. SAGE Publications 10.1177/0969776406060828
- [37] Levitt P. (1998), Social Remittances; Migration Driven Local-Level Forms of Cultural Diffusion, *International Migration Review*, Vol. 32, No. 4, pp. 926-948
- [38] Mai, N. (2011). *Reluctant Circularities: the interplay between integration, return and circular migration within the Albanian migration to Italy* European University Institute. Florence Robert Schuman Centre for Advanced Studies.
- [39] Marchetta, F. (2012). Return migration and the survival of entrepreneurial activities in Egypt. *World Development* 40 (10), 1999-2013.
- [40] Maria Hagan, J., & Wassink, J. (2016). New Skills, New Jobs: Return Migration, Skill Transfers, and Business Formation in Mexico. *Social Problems*, 2016, 0, 1–21 doi: 10.1093/socpro/spw021
- [41] Marsella, A., & Ring, E. (2003). Human Migration and Immigration: An Overview in *Migration: Immigration and Emigration in International Perspective* (Westport: Praeger, 2003), 3
- [42] McCormick, B., & Wahba J. (2001). "Overseas Work Experience, Savings and Entrepreneurship Amongst Return Migrants to LDCs", *Scottish Journal of Political Economy*, 48(2), pp.164-178
- [43] Naudé, W., Siegel, M., & Marchand, K. (2017). Migration, entrepreneurship and development: critical questions. *IZA Journal of Migration* (2017) 6:5 DOI 10.1186/s40176-016-0077-8
- [44] Nicholson, B. (2001). From migrant to micro-entrepreneur: do-it-yourself development in Albania. *South-East Europe Review* S. 39 – 42
- [45] Perruchoud, R., & Redpath-Cross, J. Eds. *Glossary on Migration*, 2nd edition, IOM
- [46] Piacha, M., & F. Vadean. (2010) "Return migration and occupational choice: Evidence from Albania." *World Development* 38:8 (2010): 1141–1155
- [47] Smoliner, S., Förschner, M., Hochgerner, J., & Nová, J. (2012). "Re-turn, Regions benefitting from return migrants". Comparative Report on Re-migrations trends in Central Europe. Central Europe. Programme co-financed by the ERDF.

- [48] Samuel, J., & George, S. (2002). Globalization, Migration and Development. Special Issue on Migration and Globalization, *Canadian Studies in Population* Vol. 29(1), 2002, pp. 31-52
- [49] United Nations, (2017). Department of Economic and Social Affairs, Population Division International Migration Policies: Data Booklet (ST/ESA/ SER.A/395)
- [50] Van Houte, M., & de Koning, M. (2008). Towards a better embeddedness? Monitoring assistance to involuntary returning migrants from Western countries., Centre for International Development Issues (CIDIN) at the Radboud University Nijmegen and the Amsterdam institute for Metropolitan and International Development Studies (AMIDSt) of the University of Amsterdam
- [51] Van Hear, N., & Nyberg Sørensen, N. (2003). The migration development nexus. United Nations and the International Organization for Migration
- [52] Wahba, J., & Zenou, Y. (2009). Out of Sight, Out of Mind: Migration, Entrepreneurship and Social Capital. Discussion Paper No. 4541
- [53] Wahba, J. (2004). Does international migration matter? A study of Egyptian return migrants, in: *Arab Migration in a Globalised World* (International Organisation for Migration, Geneva
- [54] Wets, J. (2004). Migration and Development: Myths and Facts. International Organisation for Migration (IOM). EPC Issue Paper No.11. 2004

Identity Security in Romania from Concept to Implementation in the Public Policies of Integration of Minorities / Roma Population

Mihăiescu Oana

Abstract

The preoccupation for the field of social security / identity security ("a particular form of security of human communities in the absence of which it would not be possible to survive in history, protecting the memory and collective identity, maintaining social and cultural-symbolic cohesion in a society" identity security has been steadily increasing over the last decades as a result of the European Union's enlargement and the interest shown by the European institutions for the protection of ethnic and religious specificities, the ethno-cultural identity of the communities and the prevention of democracy, exclusion and discrimination. The concept of social security belongs to the constructivist current (the current trend in which ethnicity is a phenomenon of continuous development built in everyday life that is manifested throughout life) and was developed in the early 1980s, starting with redefining security by certain such as COPRI - Copenhagen. Social security refers to the survival of a community as a cohesive unity; his referent object is "large scale collective identities that can function independently of the state". Societal security is concerned with the ability to sustain, within acceptable acceptability conditions, the traditional elements of language, culture, identity, cultural and religious customs. Ole Waever's identity security (social security) refers to "preserving, in acceptable conditions of evolution, the traditional patterns of language, culture, association, and national, religious and customary identity." Thus, we can say that social security refers to situations where companies perceive a threat to identity. Regarding the situation of Romania, though, during the two decades of transition to a democratic regime, the responsibility of the Romanian citizen has come to be pursued with minority integration (wishing to ensure the identity security for them), adopting 200 decreets by setting up institutions to deal in the areas of minority inclusion and allocating funding to support an organization that considers the role of the intrusional civil society to be more effective is still deficient in this area. The purpose of this article is to explore the concepts of mionority, ethnicity, social integration, public minority integration policies, citizenship, integration and identity security, starting from the idea that identity should be understood both as a social process and as a power instrument. It will also review the impact of minority integration policies focusing on the Roma minority on identity security and outline the possible threats / opportunities for understanding and implementing the concept of identity security in public policies for minorities / Roma.

Keywords: security identity, minority, social integration, social process

Introduction

Any debate about security / insecurity should leave the social perception of risk if we admit that security / insecurity is a construction socially massive perceptions. For a sociological approach, common knowledge, responsible for how various risks are decrypted, is encapsulated in social representations specific to a social group. In the view of security studies, social representations to which sociology refers are conceptualized as a security imaginary, a concept that has both a formal and an informal dimension. From a formal point of view, the security imagination refers to the elite's perception of the position of a state in the distribution of world power. This perception, strongly influenced by the experience of statehood, is reflected in the security culture of a state, through which exploration can draw conclusions about the doxes (the automatism of thought) interleaved in the perception of the elite, which strongly influence the geostrategic decision in a state. From an informal point of view, the security imagination focuses on how an ethno-religious group is in the state, as well as on interactions with other ethno-religious groups on the territory of a State or outside that State. The two levels of security imagery are fundamental components of any collective identity. The central endorsement of the article is that identity security can be studied either formally, focusing on strategic narratives that reveal the elite's security imagination, or from an informal point of view, in order to highlight the perceptions of an ethno-religious group in relation to its relative

power. More specifically, studying identity security as an informal security imaginary involves shifting the emphasis from the security policy area and security discourse to day-to-day or day-to-day security, starting from the premise that security is "a social construct based on certain connections, emotions, trust and intimacy.

Theoretical and methodological aspects

In the framework of this subchapter, I will present the minorities, ethnicity, integration and social integration notions and the main sources regarding ethnicity and the main models of integration, pluralism / multiculturalism, assimilation, marginalization, formal inclusion.

Ethnic minority and ethnicity. The main currents of ethnicity.

Ethnicity has been defined as: "the social group a person belongs to, and either identifies with or is identified with by others, as a result of a mix of cultural and other factors including language, diet, religion, ancestry and physical features traditionally associated with race" (Bhopal, 2004, p. 442).

It is important to make a distinction between the concepts of 'race' and 'ethnicity'. Race is a socially meaningful category of people who share biologically transmitted traits that are obvious and considered important. In contrast to the idea of race, ethnicity simply means a shared cultural heritage (Goodfriend, 2010, p. 19).

Ethnic minorities are people with ethnic origins different from the majority of the public. People of first, second or later generations, who can be distinguished from the majority of people living in a specific country or region, through their color of skin, family names, specific habits or behavior and who can be identified as a minority in regard to most inhabitants of a specific country. Ethnic minority covers a wide range of people in certain situations: historical national minorities, migrants, immigrant workers, refugees and asylum seekers or people from former colonies and people with trans-national identities.

In the European area, "ethnicity" is not perceived like a synonym of "ethnic minority", but as a determinant element of the nation¹.

Making an inventory of the main definition and concepts regarding ethnicity, there are four main theoretical approaches that underpin the study of ethnicity. These are primordialism, instrumentalism, materialism and constructivism.

The theory of Primordialism, in relation to ethnicity, argues that "ethnic groups and nationalities exist because there are traditions of belief and action towards primordial objects such as biological factors and especially territorial location".²

This argument relies on a concept of kinship, where members of an ethnic group feel they share characteristics, origins or sometimes even a blood relationship. "Primordialism assumes ethnic identity as fixed, once it is constructed".³

Instrumentalist theory is based on the idea that national identity, nationalism and ethnicity were created by elites and that ethnicity is a phenomenon that can be changed, built or even manipulated to achieve economic benefits and to achieve certain political goals. According to the Elite Theory, the leaders of a modern state use and manipulate the perception of ethnic identity in order to promote their own goals and to maintain the power. Thus, ethnicity, according to this approach, is determined by the struggle of elites within a particular entity, in a certain political and economic context.⁴ In line with this concept, ethnic groups are considered to be policy creations, created and manipulated by elites' culture to gain access to power and resources.

Materialist approaches to ethnicity are relatively underdeveloped in the literature. 'Crude' Marxist theories, including the work of Michael Hechter (1978), view ethnicity as an epiphenomenon, or a result, of class relations. These crude Marxist theories also suggest that violence between ethnically aligned groups is the result of economic inequalities and elite exploitation. The claims of crude Marxists received heavy empirical criticism from a wide range of scholars. It is now

1 John Milton Yinger, (1994), *Source of strength? Source of conflict?*, SUN Y Press, p.10.

2 Alan Barnard, Jonathan Spencer, (2002), *Encyclopedia of social and cultural anthropology* (Taylor & Francis, p.192

3 Mark Robert Kreitzer, (2003), *Toward a covenantal understanding of ethnicity: an interdisciplinary approach* (Reformed Theological Seminary), p. 40.

generally 2002). Acknowledged that ethnicity is not a product of class relations and that there is no one-to-one relationship between the two categories.

Constructivist theory is based on the idea that ethnicity is a constantly changing phenomenon, not being a basic human condition. The supporters of this trend claim that "ethnic groups are only products of social-human interaction, maintained only to the extent that they are sustained in quality of social constructs. The idea of ethnicity serves as an umbrella for different communities because individuals as part of an ethnic group can obtain additional rights."¹

The existence of these notions regarding the concepts of "ethnicity" and "ethnocity" allows for a multidimensional interpretation of these enormous enomens. The approach through the three conceptual trends allows a better structure of the main theoretical perceptions. Thus, according to primordialist theory, ethnicity is determined at birth and remains unchanged throughout life. Instrumentalist theory addresses ethnicity as a phenomenon based on symbols and myths that is exploited by leaders for the purposes of pragmatics and for achieving their own interests. The third approach is illustrated by the constructivist theory, which claims that ethnic identity is something that people "build" in specific social and historical contexts to promote their own interests, ethnicity being fluid and subjective. Therefore, each of these currents shows that ethnicity and ethnocity remain basic elements in the constitution of the nation-state.

Integration. Social integration

Integration was first studied by Park and Burgess in 1921 through the concept of assimilation. They defined it as "a process of interpenetration and fusion in which persons and groups acquire the memories, sentiments, and attitude of other persons and groups and, by sharing their experience and history, are incorporated with them in a common cultural life."² While some scholars offered an assimilation theory, arguing that immigrants would be assimilated into the host society economically, socially and culturally over successive generations, others developed a multiculturalism theory, anticipating that immigrants could maintain their ethnic identities through the integration process to shape the host society with a diversified cultural heritage. Extending from the assimilation theory, a third group of scholars proposed a segmented integration theory, stressing that different groups of migrants might follow distinct trajectories towards upward or downward mobility on different dimensions, depending on their individual, contextual and structural factors.

Social integration is a complex idea, which means different things to different people. To some, it is a positive goal, implying equal opportunities and rights for all human beings. In this case, becoming more integrated implies improving life chances. To others, however, increasing integration may conjure up the image of an unwanted imposition of conformity. And, to still others, the term in itself does not necessarily imply a desirable or undesirable state at all. It is simply a way of describing the established patterns of human relations in any given society. Thus, in the latter view, one pattern of social integration may provide a more prosperous, just or humane context for human beings than another; but it is also possible for one pattern of social integration to be markedly different from another without being either better or worse.

Sociological theories of social integration

The rapport of an individual, as social actor and society, as intrinsection order, also affirms the role of the individual actor and the intriguing statesman of the intrinsection order. Social theorist moves between the order of the divine, on the theme of integrating the individual in a rallied state in the institutions through the "effector of the soldier" of the establishment / instilance of the analysis. Autors give the alliance a complete move, indicating that they have the ability to operate / distribute the infrastructure in a sustainable manner, allied to the breakaway.

Functionalist sociologists

As a theoretical orientation of a traditionalist approach to social phenomena, functionalist analysis was mainly grounded in the work of American sociologists (B.Malinowski, Radcliffe-Brown) with a broad development in the concept of American functionalist structuralism represented by T. Parsons și R.K. Merton.

Constructivist sociologist

¹ Santosh C. Saha, *The politics of ethnicity and national identity* (Peter Lang, 2007), p.45

² Gans, Herbert (1992). "Second Generation Decline: Scenarios for the Economic and Ethnic Futures of Post-1965 American Immigrants". *Ethnic and Racial Studies*. 15: 173–92

The analysis of the type of struggle that has been achieved in the protection of the earth has given rise to an individual capable of dispersal in the retreatment, endeavoring and rhetoric of the rulluri, of the extraordinary procession of the eu and the univier. They involve the idea that the individual and the group to be integrated are equally actors and agents of action, actors capable of selecting to spawn to produce and communicate information in the practical form so they become transmitters and simple recipients of the message. Social actors are considered capable of thinking, always aware of what they are doing, free to pots for an behavior or another.

Main social integration models

Human rights always refer to relationships between members of a social group. These are perceived as a command that tells what is "normal" what is expected in relationships he state of "normality" is characteristic of historical and cultural variations. Modern law describes the relationships and cooperative behavior of individuals living in a community, group. These relationships ensure the stability and continuity of the community and are therefore "fixed" and transmitted from one generation to the next through different forms of collective social memory: custom or tradition, knowledge, values and ideologies, jurisprudence, customs, moral-legal norms, interpretation. By favoring ommunity groups and different cultural traditions, different phenomena of regional integration and globalization transform sociological and anthropological analysis into direct sources of law. States that promote the minority rights of the minorities can enjoy several advantages, such as: effective assumption of values, such as recognition and pluralism, in terms of institutional practices; ethno-linguistic accommodation of ethno-linguistic minorities involving an increase in internal political stability, increasing political rating on the international arena in terms of assessing the liberal nature of democracy, increasing citizens' trust in the various institutions of local or central administrations; a reduction in the situations of subjective discrimination

Multiculturalism

In the multiculturalism the cultures, races, and ethnicities, particularly those of minority groups, deserve special acknowledgement of their differences within a dominant political culture. That acknowledgement can take the forms of recognition of contributions to the cultural life of the political community as a whole, a demand for special protection under the law for certain cultural groups, or autonomous rights of governance for certain cultures. Multiculturalism is both a response to the fact of cultural pluralism in modern democracies and a way of compensating cultural groups for past exclusion, discrimination, and oppression. Most modern democracies comprise members with diverse cultural viewpoints, practices, and contributions. Many minority cultural groups have experienced exclusion or the denigration of their contributions and identities in the past. Multiculturalism seeks the inclusion of the views and contributions of diverse members of society while maintaining respect for their differences and withholding the demand for their assimilation into the dominant culture. Some more-radical multicultural theorists have claimed that some cultural groups need more than recognition to ensure the integrity and maintenance of their distinct identities and contributions. In addition to individual equal rights, some have advocated for special group rights and autonomous governance for certain cultural groups. Because the continued existence of protected minority cultures ultimately contributes to the good of all and the enrichment of the dominant culture, those theorists have argued that the preserving of cultures that cannot withstand the pressures to assimilate into a dominant culture can be given preference over the usual norm of equal rights for all. Multiculturalism is closely associated with identity politics, or political and social movements that have group identity as the basis of their formation and the focus of their political action. Those movements attempt to further the interests of their group members and force issues important to their group members into the public sphere. In contrast to multiculturalism, identity politics movements are based on the shared identities of participants rather than on a specifically shared culture. However, both identity politics and multiculturalism have in common the demand for recognition and a redress for past inequities. Multiculturalism raises important questions for citizens, public administrators, and political leaders. By asking for recognition of and respect for cultural differences, multiculturalism provides one possible response to the question of how to increase the participation of previously oppressed groups.

Pluralism

Pluralism assumes that diversity is beneficial to society and that autonomy should be enjoyed by disparate functional or cultural groups within a society, including religious groups, trade unions, professional organizations, and ethnic minorities. Arend Lijphart considers that only a certain form of democracy, the consociational one, makes it possible to maintain democracy in a plural society. In such a democracy, "the centrifugal tendencies inherent in a plural society are neutralized by the attitudes and cooperative behavior of the leaders of different segments of the population." In modern democratic

society, the connection between people is a political one. Living together does not mean sharing the same religion, culture, or obeying with the same authorities, but assuming to be a citizen of the same political organization "Citizenship is the source of social bonding." Only citizens of a democratic nation see their political rights fully recognized.

Marginalization

Marginalization is the process of pushing a particular group or groups of people to the edge of society by not allowing them an active voice, identity, or place in it. Through both direct and indirect processes, marginalized groups may be relegated to a secondary position or made to feel as if they are less important than those who hold more power or privilege in society. Individuals and groups can be marginalized on the basis of multiple aspects of their identity, including but not limited to: race, gender or gender identity, ability, sexual orientation, socioeconomic status, sexuality, age, and/or religion. Some individuals identify with multiple marginalized groups, and may experience further marginalization as a result of their intersecting identities. Gerry Roggers has identified categories or patterns of social exclusion present in various definitions, with the statement that their use varies depending on the regional specificity, ie the continent where the definition is being developed. The top five categories are marginalization from goods and services, the labor market, land ownership, security and human rights. The sixth category is more vaguely formulated, namely the marginalization / exclusion relationship - economic and social development strategies and refers to the social costs of the social adjustment programs. In Romania, the definition proposed in the Social Policy Dictionary refers primarily to the failure to fully achieve citizens' rights, both due to structural causes of socio-economic nature and individual causes.

Assimilation

Assimilation is the one-way process by which a group receives, internalizes and shares values, norms and patterns of behavior or lifestyles specific to another group they are in contact with, the process of which the first group is absorbed in the dominant culture and its cultural identity is replaced by that of the dominant group.

Social inclusion

Social inclusion is the process of improving the terms on which individuals and groups take part in society—improving the ability, opportunity, and dignity of those disadvantaged on the basis of their identity. An inclusive society should be based on mutual respect and solidarity, with equal opportunities and decent living standards for all - where diversity is seen as a source of strength and not as a divider. In every country, certain groups—whether migrants or minorities—confront barriers that prevent them from fully participating in their nation's political, economic, and social life. These groups are excluded through a number of practices ranging from stereotypes, stigmas, and superstitions based on gender, race, ethnicity, religion, sexual orientation and gender identity, or disability status. Such practices can rob them of dignity, security, and the opportunity to lead a better life. There is a moral imperative to address social exclusion. Left unaddressed, exclusion of disadvantaged groups can also be costly. And the costs—whether social, political, or economic—are likely to be substantial. One study found that exclusion of the ethnic minority Roma cost Romania 887 million euros in lost productivity. In addition, exclusion also has damaging consequences for human capital development.

Citizenship

Citizenship is the status of a person recognized under the custom or law as being a legal member of a sovereign state or belonging to a nation. A person may have multiple citizenships. A person who does not have citizenship of any state is said to be stateless, while one who lives on state borders whose territorial status is uncertain is a border-lander. Nationality is often used as a synonym for citizenship in English¹ – notably in international law – although the term is sometimes understood as denoting a person's membership of a nation (a large ethnic group).[3] In some countries, e.g. the United States, the United Kingdom, nationality and citizenship can have different meanings (for more information, see Nationality versus citizenship).

Comparing the models of integration presented above under the legal (citizenship), social, religious aspects the following occurred:

1 Weis, Paul (1979). Nationality and Statelessness in International Law. Sijthoff & Noordhoff. p. 3. ISBN 9789028603295.

Integration model	Pluralism/Multiculturalism	Assimilation	Marginalization/ formal inclusion
Legal/political aspect	ethnic minorities have the possibility to obtain the citizenship of the host state the political formations of ethnic groups are supported ethnic minorities participate actively in the political life of the state	ethnic minorities can acquire the citizenship of the host state the state does not encourage the formation of political organizations of ethnic groups the political mobilization of ethnic groups is discouraged	the possibility of ethnic minorities to acquire citizenship is reduced or even impossible ethnic groups lack political rights. ethnic parties are forbidden
Social – economic aspects	public institutions are encouraged to introduce the principles of ethnic pluralism into their policies and programs ethnic minorities have equal access to health care, education, etc there are equal opportunities for minority workers in the labor market	educational integrationist policies equal access to social services	living conditions that encourage the segregation of ethnic groups unequal access to the labor market, education or social services
Cultural – religious aspects	state support for the promotion and expression of cultural and religious specificity school curriculum is based on the principles of multiculturalism and there are teaching programs in ethnic minority languages	there is opposition from society and the state regarding the public manifestation of cultural and religious beliefs is forbidden and / or discouraged the construction of monuments and religious buildings	no measures have been taken to facilitate the access of ethnic groups to the social sphere and to education segregation policies in educational institutions

Integration public policies of minorities / ethnic groups from the perspective of the three main institutions of integration, namely education, employment and civic participation.

Romania has created the legal framework to guarantee and secure the rights of national and ethnic minorities, the Framework Convention for the Protection of National Minorities, adopted by the Council of Europe, being ratified since 1995. Since 1993, based on the Copenhagen criteria, Romania has started the preparations to join NATO and the EU. That socio-political context has allowed the politics of the Government to be reoriented towards various categories of population that were severely affected by the transition from the planned economy to the market economy, for example the Roma minority. The Roma minority from Romania is the most exposed to the risks of social exclusion, is discriminated and has an unequal access to education, to the labor market, to decent housing conditions, to social and health services. Mainly influenced by the evolution of the Romanian and international political scene, the method of approaching the Roma minority was put into legislative and institutional practice and meant the enacting of some solutions, such as: the set up of some institutions to represent the Roma minority and to observe their rights, the drafting of some public policies explicitly for the Roma or implicitly for the vulnerable groups, attracting and managing funds from the European Commission, World Bank, BIRD and other international organizations. In the period 2001-2011 several public policies were drafted, where the Roma represented the target group (targeting). (ex. The national strategies for the Roma from the year 2001 and 2011, the Inclusion Decade).

Education

The access to education for all members of society irrespective of their psycho-physical, intellectual, socio-economic, family, ethnic or religious particularities is a priority objective for all education systems in most countries, but none can demonstrate that it has managed to meet. In Romania, the most affected category of population are the children from the rural areas, especially the Roma children. The rate of kindergarten enrollment of the Roma children is 40% smaller than the rate of the majority population¹. 44% of Roma children aged between 7-11 years present a risk of school dropout². In

1 World Bank Study. Toward and Equal Start: Closing the Early Learning gap for Roma Children in Eastern Europe, 2012, page 12.

2 UNICEF Romania, Country programme action plan 2013/2017, pag.3.

2012, approximately 400.000 Roma children from primary school were not going to school on a regular basis¹. Over 75% of Roma children do not graduate from gymnasium². Two of ten Roma children do not go to school, and the most frequently reason invoked by the parents is related to the lack of financial resources. One of six Roma parents explains the weak participation of the children in schools through ethnical discrimination.³ The schools do not have efficient strategies to prevent the dropout phenomenon, they take action only when it is already too late and also, in the moment when the share of Roma children in schools is growing there is the occurrence of a segregation phenomenon at the class level, accompanied by a decrease in the quality of education and of the material endowments of the respective institution.

The Ministry of National Education (MEN) has identified in the Roma inclusion strategy in 2011 a set of 11 measures that refer to including the preschool and the school aged children in some form of education, reducing the absenteeism in the pre-university education, at the same time with the measures that ensure the quality of the education with an emphasize on the management of the inclusive education. The disaggregation, non-discrimination, the continuation of the affirmative measures and the monitoring of the educational system structures would respond to the indicator of the 2020 Strategy that has as objective to include until the year 2020 all the children in the education system.

Alongside the measures from the 2011 Roma strategy, other measures to promote the participation of the children in schools, applied according to the Law of education, are as follows: summer camps for the children aged between 3-6 years old; "The second chance" for those who exceeded the school age; "School after school" for the pupils included in the primary education; "Functional teaching"; "Bagel and milk" for preschool and school children; Scholarships for high school students; Affirmative measures for high school and university students; The network of inspectors, professor and teachers for the Romani language and the history of the Roma people; Summer schools for the Romani language; School contests for the Romani language; Distance learning; The school mediator The school counselor and assistant; Scholarships for the Roma students (in general).

Employment

Along with the process of joining the European Union, Romania has adopted strategies and measures to ensure the achievement of the first objective of the European Employment Strategy. The Roma people from Romania have a reduced participation on the official labor market, but have a high participation on the unofficial labor market, without social security mechanisms. The INS data from 2002 are showing that ⁴the employment rate was 36%, while other 36% were looking for a job and 28% were inactive (in comparison with an employment rate of 58%, and an unemployment rate of 7,7%, at national level). Regarding the situation of the unemployed people and of the people looking for a job, the share of Roma unemployed people is 21%.⁵ As employed persons, the Roma work on their own, only 10-15% of them are wage workers. Of these, most of them have no formal qualification, they either carry out activities that do not require a qualification, for example cleaning lady, janitor, garbage man or park worker. Per total, of the employed population, the young Roma of 15 years and over, 38% work as unqualified workers, 32% hold qualified jobs (workers, salespersons), 9% work in agriculture and 13% have traditional Roma jobs.⁶ The economical activities that the young Roma carry out are mostly temporarily, seasonal or occasional, fact that indicates a massive underemployment at the level of this population category.

Part of the Roma inclusion strategy from 2011 Ministry of Labor, Family, Social Protection and Elderly has enacted 22 measures such as active measures, according to Law nr. 76/2002 regarding the insurance system for unemployment and the incentives for employment, updated (information, counseling, qualification courses) and measures in the field of social economy (the law project on social economy is in the process of being approved) for developing of businesses, setting up SME, schemes for micro-grants and activities that produce income, apprenticeships and tutorships, job opportunities for

1 UNICEF Romania, Country programme action plan 2013/2017, pag.3.

2 UNICEF Romania, Country programme action plan 2013/2017, pag.3.

3 Cace, S., Preoteasa, A. M., Tomescu, C. and Stănescu, S.M. (coord.) (2010) Legal and equal on the labor market for the Roma communities. A diagnose of the factors that influence the employment level of the Roma population in Romania, Bucharest, Editura Expert, 2010

4 Country Report. The situation of the Roma people in Romania, 2011 between social inclusion and migration, published by the Soros Foundation, Bucharest, 2012, project POSDRU.

5 The comparative analysis data report from the Inclusion Barometer, drafted by the Community Development Agency "Together", 2010.

6 ICCV (2010). A research carried out in July 2010. Project POSDRU.

women based on flexicurity, including partnerships between the MMFPSPV through its local structures and the relevant players on the labor market.

Civic participation

The representation of ethnic minorities is an important mechanism for accommodating diversity at national level. Active participation in political decisions, especially in areas that concern them directly, is one of the essential rights of persons belonging to national minorities. This principle is also enshrined in the most important international treaty on minorities, the Framework Convention for the Protection of Minorities. Romania ensures the participation of national minorities in the decision-making process that does not otherwise represent. This mechanism was considered to have mainly symbolic value because it offers the possibility of representing the National Minorities in the Parliament.¹

The theory of identity security

The concept of social security belongs to the constructivist trend (current ethnicity is a phenomenon of continuous development, built in the day-to-day life with a lifelong manifestation) and was developed in the early 80's, starting with the redefinition of security by some institutes for example COPRI - Copenhagen. In the paper "Security: a new framework of analysis, Buzan et al" delimited state security in 5 distinct sectors, conceptualized around objects and actors (military, environmental, economic, social and political). Societal security is influenced by the other four sectors of state security (the military which concerns the dual interaction of the state of offensive and defensive army capability, a policy aimed at organizational stability of states, governing systems and ideologies that legitimize them, economic regarding access to resources, finances and markets, necessary to support the state at an acceptable level of welfare and power, environment that refers to the maintenance of local and world biosphere as the essential support on which all human actions depend) but does not overlap with them. Social security refers to the survival of a community as a cohesive unit; his referent object is "large scale collective identities that can operate independently of the state".

Societal security is concerned with the capacity to support traditional language, culture, identity, cultural and religious customs within acceptable acceptable conditions.

According to Buzan, "The organizational concept of the social sector is identity. Societal insecurity exists when communities of any kind are defining an evolution or potential as a threat to their survival as community [entities]. Social insecurity occurs when "a society fears that it will not be able to live as such" and comes from:

- Migration: The influx of people will "overcome or dilute" the identity of a group, the need to define Britishness;
- Vertical competition: Integration of a group into a wider organization, Euroscepticism in terms of EU integration, national-separatist claims;
- Horizontal competition: The group is forced to integrate more influential identities into their own identities, minority groups in a country.

The first researcher to use the term identity identity for the first time is Barry Buzan in 1994 in his work "Identity, Migration and the New Security Agenda in Europe" with reference to "collectives and their identity". According to him, identity security emerged as a result of interethnic conflicts in the 1990s in the former socialist countries, the states of East Africa and the former Soviet republics of Central Asia and Cauza. This term of identity security (social security) referred to "the ability of a society to maintain its essential character in a context of uncertainty and real or potential threats" and referred to the threats that may arise in the collective identity of social groups large, from peoples and nations to civilizations. Ole Waever's identity security (social security) refers to "preserving, in acceptable conditions, the traditional patterns of

¹ Monitorizarea activității parlamentare a reprezentanților minorităților naționale, 2004-2007, CRDE, Septembrie 2007, Activitatea parlamentarilor în sesiunea februarie-iunie 2007, IPP, 2007

language, culture, association, and national, religious, and habitual identity." Thus, we can say that social security refers to situations where companies perceive a threat to identity.

Conclusion

Regarding the situation of Romania, though, during the two decades of transition to a democratic regime, the responsibility of the Romanian citizen has come to be pursued with minority integration (wishing to ensure the identity security for them), adopting 200 decreets by setting up institutions to deal in the areas of minority inclusion and allocating funding to support an organization that considers the role of the intrusional civil society to be more effective is still deficient in this area. The dialogue between all the targeted actors that would be needed to achieve these objectives would ensure the settlement of the national minority regime in Romania on the basis of solid consensus and social acceptance, preventing the risks of a vulnerability that could demolish in the event of political changes an important part of the achievements so far. The highlighted measures involve effort, patience and costs but would certainly contribute to strengthening a tolerant interethnic climate based on acceptance, mutual respect and interethnic co-operation in Romania. The desideratum at the European Union level regarding ethnic integration is the further development of the objectives set in 2000: increasing the number and quality of jobs, developing flexibility and security in the context of a changing working environment, modernizing social protection, promoting gender equality, combating poverty, discrimination and social exclusion.

References

- [1] Alan Barnard, Jonathan Spencer, (2002), *Encyclopedia of social and cultural anthropology*, Taylor & Francis.
- [2] Alionescu Ciprian-Călin, (2005), *Parliamentary Representation of Minorities in Romania*, in „South-east European Politics”, Vol. V, No. 1, June 2004.
- [3] Andrews, C.J. (2007), *Rationality in Policy Decision Making*, in *Handbook of Public Policy Analysis. Theory, Politics, and Methods*, Fischer, F., Miller, G.J., Sidney, M.S. (editors), CRC Press.
- [4] Angell, R., (1969) *Peace on the March: Transnational Participation*, Van Nostrand Reinhold, New York;
- [5] Antonesei, L., (2001), *Modernitatea, globalizarea și dialogul culturilor privitye din perspectiva educației interculturale*, În T. Cozma (coord.) *O nouă provocare pentru educație: interculturalitatea*, Iași, Editura Polirom.
- [6] Arpinte, D., Baboi, A., Căce, S., Tomescu, S., Stănescu, I. (2008). *Politici de incluziune socială*. *Revista Calitatea Vieții*, XIX, nr. 3-4, p. 339-364, București;
- [7] Bădescu, G. (ed.). (2007), *Barometrul Incluziunii Romilor*, Fundația Soros România București;
- [8] Barbarosie, A., Nantoi, L. (2012), *Integrarea grupurilor etnice și consolidarea națiunii civice în Republica Moldova*, Institutul de politici publice, Chișinău.
- [9] Barry, B., (2002), *Social Exclusion, Social Isolation, and the Distribution of Income*, in Hills, Le Grand, J., Piachaud, D. (eds.), *Understanding Social Exclusion*, Oxford, Oxford University Press.
- [10] Bergman, J., (1995), „Social Exclusion in Europe: Policy Context and Analytical Framework”, in G. Room (coord.), *Beyond the Threshold: The Measurement and Analysis of Social Exclusion*, The Policy Press, Bristol
- [11] Burtea, V. (2002). *Romii în sincronia și diacronia populațiilor de contact*. Ed. Lumina Lex, București;
- [12] Buzan, B., (1991) *People, States and Fear. An Agenda for International Security Studies in the Post-Cold War Era*, Harvester Wheatsheaf;
- [13] Buzan, Barry, Wæver, O., Wilde, J., (1998) *Security. A New Framework for Analysis*, London, Lynne Rienner Publishers;
- [14] Căce, S., Duminica, G., Preda, M. (coordonatori) (2006). *Evaluation of Programmes Targeting Roma Communities in Romania*. UNDP, București
- [15] Căce, Sorin (coord), et al., (2005) *Evaluarea programelor pentru comunitățile de romi din România*. Agenția de Dezvoltare Comunitară “Împreună” și UN, București;
- [16] Cerkez, M. (coord.) (2009). *Evaluarea programelor și politicilor publice. Teorii, metode și practici*. Ed. Polirom, Iași;
- [17] Cserata Lucian, (2005), *Integrarea europeană și problema romilor*, Ed. Arves, Craiova.
- [18] Comeliu-Liviu Popescu, (2004), *Aplicarea în România a normelor juridice privind protecția minorităților naționale*, în *Drepturile Omului la întâlnirea dintre culturi*, Editura Paralela 45, Pitești.
- [19] Delors, J. (coord), (2000), *Comoara lăuntrică, Raportul către UNESCO al Comisiei Internaționale pentru Educație în secolul XXI*, Iași, Ed. Polirom.
- [20] Deutsch, K., Burrell, S., Kann, R., Lee, M., Lichterman, M., Lindgren, R., Loewenheim, F., and Wagenen, R., (1966), *Political Community and the North Atlantic Area, in International Political Communities: An Anthology*, Doubleday and Company, Garden City, New York;

- [21] Dumincă, G., Ivăsiuc, A. (2010). O școală pentru toți? Accesul copiilor romi la o educație de calitate. Raport de cercetare. Ed. Vanemonde, București;
- [22] Dumitrescu, L., S., (2015) Security Imaginary. A New Perspective on Security Identity and Ethnic Violence" în Romanian Review of Political Sciences and International Relations, No.2/2015;
- [23] Dumitrescu, L., S., (2016) Securitatea identitară. Cum o studiem?" în Revista de Științe Politice și Relații Internaționale, Nr. 2/2016
- [24] Dunn, W.N. (1981). Public Policy Analysis: An Introduction, Prentice Hall: Englewood Cliffs;
- [25] Cf. Encyclopedia Universalis, (1995), Éditeur à Paris, corpus 8.
- [26] Georges Vacher de Lapouge, (2012), Les sélections sociales: cours libre de science politique professé à l'Université de Montpellier (1888-1889), Nabu Press.
- [27] Grigore, D. (2007). Interculturalitate și diversitate în educație, Ed. Amare Rromentza, București;
- [28] Grigore, D., Neacșu, I., Neacșu, M., Balică, M., Sarău, G., Ulrich, C., Apostu, O., Horga, I., Tasică, L.C., Iosifescu, C.S., Tulac, O., Medeleanu, L., (2012) Direcții strategice de incluziune etno-educatională a rromilor, Ed. Amare Rromentza, București;
- [29] Harrison, R.J., (1974) Europe in Question. Theories of Regional International Integration, George Allen and Unwin, London.
- [30] Haas, E., (1958) The Uniting of Europe: Political, Social and Economic Forces, 1950-1957, Stanford University Press, Stanford, California;
- [31] Haas, E., (1974) International Integration in International Systems. A Behavioural Approach, ed. Michael Haas, Chandler, New York;
- [32] Haas, E.B., (1971) The Study of Regional Integration: Reflections on the Joy and Anguish of Pretheorising, in L.N. Lindberg and S. A. Schelling (eds), European Integration: Theory and Research, Harvard University press, Cambridge;
- [33] Harrison, R.J., (1974) Europe in Question. Theories of Regional International Integration, George Allen and Unwin, London;
- [34] Hodges, Michael, (1972) Introduction in M. Hodges (ed.), European Integration, Penguin, Harmondsworth;
- [35] Horton, B. P., Leslie, R. G., Larson, F. R. and Horton, L. R. (1997). The Sociology of Social Problems. New Jersey: Prentice Hall.
- [36] Human Development Report (2004), Cultural liberty in today's diverse world, New York: UNDP.
- [37] Ivan, A., L. (2006) Integrarea minorităților naționale și etnice din Europa Centrală în UE logici și condiționări", pp. 50-77., Ed. Eikon, Cluj;
- [38] Jann, W., Wegrich, K., Theories of the Policy Cycle, in Handbook of Public Policy Analysis. Theory, Politics, and Methods, Fischer, F., Miller, G.J., Sidney, M.S. (editors), CRC Press
- [39] J. A. de Gobineau, (1854), Essai sur l'inegalité des races humaines, Paris, Firmin Didot.
- [40] Jepsen, M., Pascual, A.S. (2005). The European Social Model: an exercise in deconstruction. Disponibil la:
- [41] John Milton Yinger, (1994), Source of strength? Source of conflict?, SUNY Press, p.10.
- [42] Kymlicka, W., (1995): Multicultural Citizenship. Clarendon Press, Oxford;
- [43] Kymlicka, W., (1997) Multicultural citizenship: a liberal theory of minority rights, Oxford;
- [44] La Belle, TH., Ward, C. (2004). Multiculturalism and Education. Diversity and Its Impacts on Schools and Society.
- [45] Ladanyi, J., Szelenyi, I. (2006). Patterns of Exclusion: Constructing Gypsy Ethnicity and the Making of an Underclass in Transitional Societies of Europe, East European Monographs, Boulder, New York
- [46] Lijphart, A., (2002), Democrația în societățile plurale, Iași, Ed. Polirom.
- [47] Max Weber, (1978), Economy and Society, University of California Press.
- [48] Mark Robert Kreitzer, (2003), Toward a covenantal understanding of ethnicity: an interdisciplinary approach (Reformed Theological Seminary).
- [49] McSweeney, B., (2000) Security, Identity and Interests. A Sociology of International Relations, New York, Cambridge University Press;
- [50] Moisă, F. (2008). Politici publice pentru romi, în Politici de integrare a minorităților naționale. Aspecte legale și instituționale într-o perspectivă comparată, Salat, L. (editor), Ed. CRDE, Cluj
- [51] Mesure S., Renaut A., (1999), Alter ego. Les paradoxes de l'identité démocratique, Paris, Aubier.
- [52] Miklós Kontra, (2004), Nyelvi emberi jogi problémák, Korunk 11. Szepes Mag, Language and Minority Rights: Ethnicity, Nationalism and the Politics of Language. London: Longman, 2001.
- [53] Ministerul Educației și Cercetării, (2002), Participarea la educație a copiilor romi: probleme, soluții, actori, București, Ed. MarLink.
- [54] Monitorizarea activității parlamentare a reprezentanților minorităților naționale, 2004-2007, CRDE, Septembrie 2007, Activitatea parlamentarilor în sesiunea februarie-iunie 2007, IPP, 2007.
- [55] Nathan Glazer, Daniel Patrick Moynihan, (1975), Ethnicity: theory and experience, Harvard University Press.
- [56] Nye, J.S., (1971), Peace in Parts: Integration and Conflict in regional Organisation, Little Brown, Boston
- [57] Oprescu Dan, (2000), Politici publice privind minoritățile naționale din România, in Lucian Năstasă and Levente Salat. Relații interetnice în România postcomunistă. Cluj-Napoca: CRDE.

- [58] Păuna, C.B., Albu, L., L., Stanciu, M., Vasile, V., Pavelescu, F., (2006) – Studii de strategie și politicii- Studiul nr. 4 MODELUL SOCIAL EUROPEAN – IMPLICAȚII PENTRU ROMÂNIA, Institutul European din România;
- [59] Păuna, C.B., Albu, L.L., Stanciu, M., Vasile, V., Pavelescu F.M., (2006). Modelul Social European – Implicații pentru România, Institutul European din România – Studii de strategie și politici, Studiul nr. 4, București.
- [60] Peter Kivisto, (2013), Multiculturalism in a global society.
- [61] Philippe Poutignat, Jocelyne Streiff-Fenart, Fredrik Barth, (2008), Théories de l'ethnicité: Suivi de Les groups ethniques et leurs frontier, Presses universitaires de France.
- [62] Pierre Bonte, Michel Izard, (1999), Dicționar de etnologie și antropologie, Iași, Editura Polirom.
- [63] Radu, M., (2006) Politica Și Practica Privind Integrarea Imigranților Și Refugiaților În Statele Europene, Revista Calitatea Vietii;
- [64] Rey, M., (1999), De la Logica „mono” la logica de tip „inter”. Piste pentru o educație interculturală și solidară, p. 153, În Dasen, Pierre, Perregaux, Christiane, Rey, Micheline, Educația interculturală– experiențe, politici, strategii, Iași, Editura Polirom.
- [65] Romulus Vulcanescu, (1979), Dicționar de etnologie, Editura Albatros.
- [66] Rosamond, B., (2000) Theories of European Integration, The European Union Series, (edt) Neil Nugent, St. Martin's Press, Inc., New York;
- [67] Rudger, A., Spencer, S., (2003) Social Integration Migrants and Ethnic Minorities Policies to Combat Discrimination, The European Commission and the OECD Union;
- [68] Salat Levente–Enache, Smaranda (ed.), (2004), Relațiile româno-maghiare și modelul de reconciliere franco-german, Cluj, Editura CRDE.
- [69] Salat, L. (2008) Politici de integrare a minorităților naționale din România. Aspecte legale si institutionale într-o perspectivă comparată., Ed. Centrul de Resurse pentru Diversitate Etnoculturală, Cluj;
- [70] Sava, I. (2007). Studii de securitate, Centrul roman de studii regionale, Bucuresti;
- [71] Sava, N., I., (2007) Studii de securitate, Centrul roman de studii regionale, Bucuresti;
- [72] Sava, N., S., (2007) Teoria si practica Securitatii - suport de curs;
- [73] Schnapper, D., (2001), Ce este cetățenia ?, Iași, Ed. Polirom.
- [74] Siniša Malešević, (2004), The sociology of ethnicity, SAGE.
- [75] Smith, K.B., Larimer, C.W. (2009). The Public Policy Theory Primer. Philadelphia: Westview Press, Perseus Books Group;
- [76] Stephen Castles, Alastair Davidson, (2000), Citizenship and migration: globalization and the politics of belonging, Routledge.
- [77] Stephen May, (2005), Language rights: Moving the debate forward. Journal of Sociolinguistics 9.
- [78] Sullivan, M., (1976) International Relations: Theories and Evidence, Prentice Hall, Inc., Englewood Cliffs, New Jersey;
- [79] Ulrich, C. (coord). (2009). Programul Păare „Acces la educație pentru grupuri dezavantajate. Studiu de impact”. MECI. UE, București: (f.e.).
- [80] Voicu Ovidiu, (2004), Percepții asupra sistemului românesc de învățământ. Analize pe baza datelor din BOP, disponibil online www.osf.ro
- [81] Zamfir, Preda, (2007), Dicționarul de politici sociale.
- [82] Wallace, W., (1990), Introduction: The Dynamics of European Integration, in W. Wallace (ed.), The Dynamics of European Integration, Pinter/RIIA, London;
- [83] Wsevolod W. Isajiw, (1979), Definitions of ethnicity (Multicultural History Society of Ontario).

State Educational Policy in the Sphere of Social Sciences in Latvia - Expert Perspective

Elīna Graudiņa

Abstract

This paper explores whether the state educational policy in the sphere of social sciences fosters development of an educated and active civil society. This subject is topical as the political participation in relation to the election activity is gradually decreasing. The research aims to study the state educational policy in the sphere of social sciences which, according to the political participation theoreticians, is an especially important factor in the transition countries and new democracies for raising public awareness of the opportunities provided by democracy and the importance of participation. The theoretical part of the research is based on the theory of communicative rationality by J. Habermas, theory about the relation of education, active civil society and democracy by J. Dewey, and authors like Walter Parker and John Jarolimek expanding on the theoretical relation between mastering of social sciences and civic participation. The analytical part of the research is based on the country's long-term and medium-term planning documents. During the research, face-to-face surveys of 12th grade students were carried out, and education experts were interviewed. The study leads to a conclusion that in general the state educational policy in the sphere of social sciences gives theoretical knowledge about a democratic state system and its basic values. The expert interviews that were carried out allow concluding that the explanation for the above-mentioned survey findings is the preparation of teachers, the amount of time required for the acquisition of social sciences and the balance of.

Keywords – civil society, civic participation, youth, planning, policy, education.

Introduction

Theoretical framework

Linking of social sciences to an active and educated civic participation and succession of democratic values is a rather recent phenomenon, and its theoretical base has gradually developed and established itself over the course of the 20th century. One of the most influential 20th century authors is American philosopher, psychologist and educational reform creator John Dewey, who emphasized the importance of education in fostering of “thinking” and active citizens.¹ He believed that the precondition of democracy is active and educated civil society that is able to critically evaluate political processes and adopt such political decisions, which would serve the interests of the entire society.² Whereas critical thinking and information processing capabilities, understanding of the political processes in a democratic country and civic participation are based on the elements, encouraging civic participation, which have been integrated in the education and the program.

The ideas of J. Dewey, expressed in the work “*Citizenship and the Critical Role of Social Studies*” are conceptually close to Washington University professors Walter Parker and John Jarolimek. They emphasize that democracy is the only political regime, which is based on the civic participation, knowledge and critical opinion of the people, living in it, and the formation of civil society.³ Whereas the social science studies allow accumulating the volume of knowledge and skills necessary for the democracy, looking at the values and development of democracy from various perspectives, encouraging critical thinking and information analysis skills and also creation awareness of the necessity to get involved in political and social processes. W. Parker and J. Jarolimek also emphasize the importance of the multiplying effect of education, namely – the individuals are passing over their knowledge to their families, friends and encourage them to learn and master the skills,

¹ Dewey, John. 1916. *Democracy and Education: An Introduction to the Philosophy of Education*. New York: Macmillan, 23.

² Ibid.

³ Parker, Walter, John Jarolimek. 1984. *Citizenship and the Critical Role of the Social Studies*. New York: The National Council for the Social Studies, 6.

which are needed to form an analytical opinion. This all enforces the ability of the civil society to make collective decisions in a structured manner, to get involved in processes and to choose most suitable candidates to represent the interests of the population.¹

In order to embed democratic values in children and young people, J. Dewey stressed the role of schools and teachers in encouraging curiosity about the surrounding world, which is gradually focused on the main conditions of functioning of a democratic state. The American theoretician indicates that curiosity is a significant factor in stimulating the thinking process of the individual and encouraging the cognitive process. On the other hand, a teacher is the main contributor of curiosity. It is determined by the abilities of the teacher to induce thinking and critical assessment skills. The ability of the teacher to stimulate independent thinking among the children and young people on the issues, addressed during the lesson, directly depends on the presentation methods. He emphasizes the importance of practical linking, namely, children and young people should be provided with not only theoretical knowledge of politics, state, society and democratic features, but also should be given a physical link with the content of the teachings, for example, by meeting with politicians, representatives of non-governmental organizations, holding discussion panels and giving practical critical thinking and civic participation tasks. This means that both the teacher and the content of the education, which should have a practical aspect, plays an important role in the creation of active and educated citizens.

One of the axioms postulated by the aforementioned authors is that the main task of the social sciences is creation of “good citizens. Some authors differ on what it means to “be a good citizen”. Civic participation theoretician Joel Vesthaimer states that a “good citizen” is socially active, able to reflect on current social and political subjects and get involved in resolution of problems. Other authors indicate also involvement of the individual in various social and political practices. Whereas J. Dewey expresses an opinion that democracy is “lifestyle, which is based on active interaction of citizens” and “a good citizen is the one, who is part of this citizen interaction”.

Education and social science studies are particularly important aspects in “transitional” nations or in places, where there has been a recent transition from authoritarian or totalitarian regime to a democratic government. The Slovakian scholar Elena Bianchi has addressed linkage of social studies and democracy in the post-Soviet domain in her publication *Fighting With Post-Totalitarian Ghosts: Civic Education and Good Citizenship in Slovakia (2008)*. The outcome of her research emphasizes importance of teachers in the succession of democratic values and the process of formation of youth civic participation. Having conducted several interviews with civic education and political teachers in various Slovakian schools, E. Bianchi reveals that part of the interviewed teachers have indicated active civic participation as measure of a “good citizen”, whereas others expressed an opinion that a “good citizen” in a democratic society is best characterized by law abundance, which, in accordance with the conclusions made by the Slovakian author, still indicates certain manifestations of totalitarianism in the Slovakian education system.² The role of the social sciences in transitional nations is also explained by the Freiburg University professors Denis Dafflon and Nicolas Hayoz. Authors express an opinion in their study *How Social Sciences Can Contribute to Changing a Society (2016)* that social science disciplines help developing the national transition regime models and identify the best course of development.³ It is crucial to mention that representatives of social sciences are best positioned to identify and “measure” the problems, inherent to the society, to describe them and to offer corresponding solutions for the decision-makers and political actors. At last, representatives of social sciences are mostly those who inform the society with their analysis of whether the power processes can be interpreted as democratic and whether there are signs of returning authoritarianism, and students and teachers of social sciences are the ones, promoting democratic values within the society and ensuring their succession.

One of the most influential thinkers of the 20th and the 21st century is the German philosopher and sociologist Jurgen Habermas, who had studied such issues concerning power legitimacy, importance of civil society within the framework of democratic government and ensuring of democratic succession during his academic career and has also studied the factors, which create the discussion culture of the civil society and formulation of successful argumentation in the public domain. The public domain according to J. Habermas is defined as informal, dynamic, varying and interactive structures, present in the civil society, the activity of which results in creation of the critical opinion of the society on processes and

¹ Ibid.

² Bianchi, Elena. 2008. *Fighting With Post-Totalitarian Ghosts: Civic Education and Good Citizenship in Slovakia*. Budapest: Central Eastern University, 37.

³ Dafflon, Denis and Nicolas Hayoz. 2016. *How Social Sciences Can Contribute to Changing a Society*. Fribourg: Fribourg University, 3.

also ensuring power legitimacy and succession of democracy.¹ The basis of the concept of the public domain is formed by fundamental freedoms of democracy – the possibility of individuals to gather, unite and freely discuss matters related to the existing government and current inherent problems of the society. However, a certain amount of knowledge and skills, which allows for efficient involvement in the public domain, where education and social science studies play a crucial role, is required for the freedoms, offered by the democracy, to become implemented in practice.

Social sciences shape the understanding of the individual on the democratic state, duties of the citizen towards the state and society, and also helps mastering the necessary knowledge and skills so that the individual would be able to successfully collaborate with other members of the society, to implement his or her interests and demand responsibility from the persons in the possession of power. This thesis creates a close connection among the previously described theoretical statements of various authors on the link between the social sciences and the democracy, on which the empiric results of the study will be based.

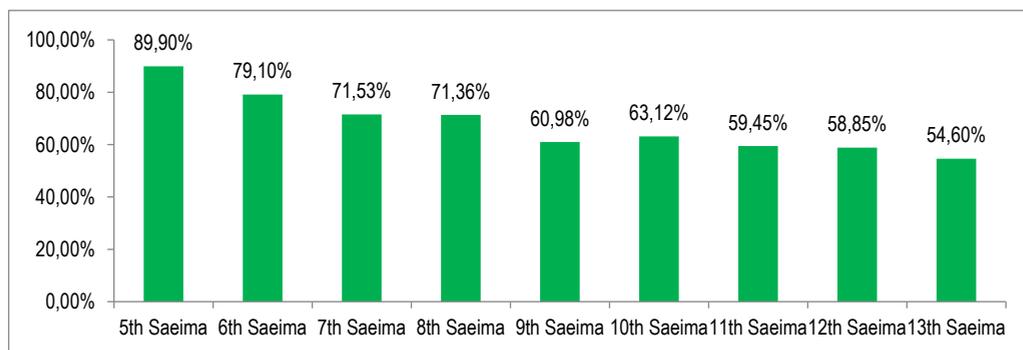
Results

Document analysis

Latvia is a relatively young parliamentary democracy, which restored its independence in 1991, by transitioning from a totalitarian regime to a democratic government. First section of the Constitution of the Republic of Latvia stipulates that Latvia is an independent democratic republic.² It follows from here that preservation of national sovereignty and strengthening of democracy are the main goals of the state, to which all laws, planning documents, political initiatives as well as the activities of the politicians, mass media and the civil society are subordinate. Education and mastering of social sciences are one of the corner stones, ensuring strengthening of democratic consciousness and continuity of democratic values, since they allow the individual to gain understanding of both democracy and also be encouraged to active civic participation and taking regular interest in political processes. Since restoration of independency Latvia is experiencing gradual decline of electoral activity (see Chart No 1).

Chart No 1

Proportion of voting residents from all eligible population



Source: Chart created by the author, using the data of the Central Election Commission.³

The displayed results indicate gradual decline of participation in the parliamentary elections during the period from the 5th Saeima elections in 1993 to the 13th Saeima elections in 2018. It also shows a prominent declining trend in the municipal

¹ Flinn, Jeffrey. Communicative Power in Habermas's Theory of Democracy. *European Journal of Political Theory*. 3, 440. SAGE Publications DOI: 10.1177/1474885104045914

² Constitution of the Republic of Latvia: Law of the Republic of Latvia. Chapter one. General provisions. 01.07.1993. *Latvijas Vēstnesis*. No 43.

³ Central Election Commission. Elections. Saeima elections. European Parliament elections. Municipal elections. See activity of all elections <https://www.cvk.lv/pub/public/27483.html>

and European Parliament elections (see Chart No 8 and No 9 in the annex).¹ The rapid decline of the political participation of the Latvian population has two explanations. First, political participation of Latvian citizens is closely linked to the trust of the residents in the government institutions, political parties and the fact that positive change in social-economic and political processes can be achieved through elections. If the people do not believe in the possibilities offered by the democracy and do not trust the government institutions, then it is understandable that a decline of political activity in the elections results. At the end of 2018 the public opinion poll, conducted by the research centre TNS showed that only 18% of the Latvian residents “fully” or “rather” trust the political parties; the Cabinet enjoyed the trust of 34%, whereas Saeima was trusted by 24% of the respondents.² Another explanation of the declining political participation is related to the civic education of the people and the understanding of necessity to get involved in the democratic processes. Part of the Latvian society acquired education during the time when Latvia was integrated in the Soviet Union, where democratic ideas and civic duties towards democracy were not allowed in the education content. Despite the fact that Latvia has been an independent democratic nation for almost 30 years, awareness of the possibilities, provided by the democracy is only gradually settling in the minds of the people. Therefore the educational and social science factor is of particular importance in the Latvian context, for it establishes understanding of the necessity to get involved in the politics among children and young people and also provides basis for knowledge of such important concepts as state, democracy, civic duties and responsibility. However, previous research on the civic education level of young people reveal that only 19% of the young people in Latvia understand what is democracy and civil society, while in Estonia this indicator reaches 43%.³ Therefore, both the declining electoral activity and level of trust to the government institutions and the level of civic education level of young people indicate existence of faults in the educational policy in the sphere of social sciences in Latvia.

Pursuant to the first section of the Constitution of the Republic of Latvia, Latvia is an independent democratic republic.⁴ Therefore both the state and the education planning documents and the content of education should be formed in accordance with the aforementioned norm of the law with the purpose of strengthening democracy and ensuring sovereignty of the country. The top ranking long-term development document of Latvia “2030 Sustainable Development Strategy” (SDS) defines the development vision of Latvia, to which the development priorities and courses of action are subordinate. The long-term planning document presents several factors, which have close link to the critical thinking and social sciences as a significant factor in the understanding, which the people have of the current situation, their effect on the society and development of the state, as well as the modelling of the potential solutions and the public discourse.

2030 SDS stipulates that human capital is the basis of the development of Latvia.⁵ The necessity to invest in population stems from here, which mean access to education for all population groups regardless of the age and abilities, which would mean performance of dedicated reforms in the education system. The purpose of the reform would be to encourage such qualities and skills as creative and critical thinking at the level of general education – argumentation skills, which would drive the student towards creation of new ideas and involvement in a reasoned discussion to encourage development of their ideas. The study undertaken by the Ministry of Education and Science „Analytical description of the ecosystem of social and humanitarian sciences (SHS)” (2016) specifies that the due to increasing labour market competition, large amount of information available in the Internet and other factors the knowledge, offered by the social and humanitarian sciences, as well as the skills in critical and analytical thinking, communication, innovation capacity and creative approach towards problem and conflict resolution become increasingly important.⁶ In this sphere the state should ensure education content and preparation of teachers in accordance with the aforementioned transformations of the labour market and information exchange, at the same time reinforcing the democratic awareness of the population. 2030 SDS emphasizes the important of the social science disciplines – political science, sociology, anthropology and economics in the promotion

¹ Ibid.

² Reference from LETA.

³ Čakse, Ireta. Civic-educated citizens are a matter of nacional security. 24.07.2018. *Lv Portāls*. <https://lvportals.lv/viedokli/297506-pilsoniski-izglitoti-iedzivotaji-ir-valsts-drosibas-jautajums-2018>

⁴ Constitution of the Republic of Latvia: Law of the Republic of Latvia. Chapter one. General provisions. 01.07.1993. *Latvijas Vēstnesis*. No 43.

⁵ Communication on approval of 2030 Sustainable Development Strategy of Latvia: Law of the Republic of Latvia. 29.06.2010. *Latvijas Vēstnesis*. 2010/101, 8.

⁶ Kunda, Ilona et al. 2016. Sociālo un humanitāro zinātņu (SHZ) ekosistēmas analītisks apraksts. Rīga: Izglītības un zinātnes ministrija, 5.

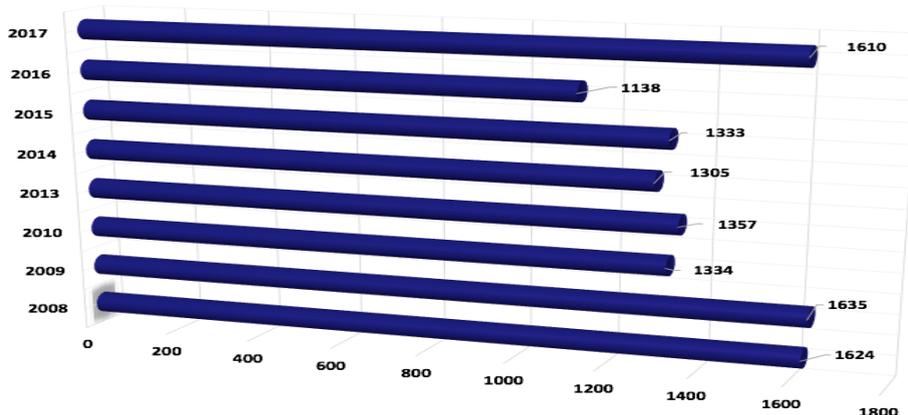
of understanding of democratic and national processes.¹ This planning document emphasizes that studying of social sciences encourages creativity, develops critical thinking skills and provided people with the volume of knowledge and skills, required by the democratic society.

The next top ranking planning document is the *Latvian National Development Plan* (hereinafter in the text – the NDP), which formulates the medium-term development vision of Latvia. The goal and priorities of NDP should be closely linked to the 2030 Sustainable Development Strategy; however, NDP states other priorities as the long-term development document. The main purpose of the medium-term development, defined by the NDP, is national economic advancement that could be achieved by mastering information technologies, exact sciences and languages, which would encourage competitiveness of Latvian economics and allow creating products and services with high added value.² The priorities of encouraging civic participation and developing of creative and critical thinking, included in the Latvian long-term development document, **fail to appear** in the medium-term planning document. This means that a gap is forming at the highest development planning level between the long-term and the medium-term development priorities, where the importance of social and humanitarian sciences is emphasized in long-term perspective, whereas the medium-term planning document focuses on the so called STEM (*science, technology, engineering, mathematics*) or exact sciences.

Reduction of the state-financed study places for social sciences at the higher education level serves as one of evidence of the fact that social science studies are enjoying less attention as the exact sciences (see Figure 1).

Figure 1

Number of state-funded study places in social science programs



Source: Ministry of Education and Science.³

The number of state-funded study places in the social science programs has decreased over the course of ten years, which contradicts the importance of social science disciplines in encouraging of civic participation and creativity, mentioned in the 2030 SDS. Data in Figure 1 demonstrate that in practice the Latvian education system is rather subject to the medium-

¹ Communication on approval of 2030 Sustainable Development Strategy of Latvia: Law of the Republic of Latvia. 29.06.2010. *Latvijas Vēstnesis*. 2010/101, 8.

² On the 2014-2020 National Development Plan of Latvia: Law of the Republic of Latvia. 09.01.2013. *Latvijas Vēstnesis*. 2013/6.11, 3.

³ Ministry of Education and Science. *Education. Higher education. Higher education financing model. State-funded study places in 2018*. <http://www.izm.gov.lv/lv/izglitiba/augstaka-izglitiba/augstakas-izglibas-finansanas-modelis/valsts-budzeta-finansetas-studiju-vietas-2018-gada?highlight=WyJidWR6ZXRhliwidmldGFzliwyMDE4LCJnYWRhliwiJ2dhZGEiLCJidWRcdTAxN2VldGEgdmlldFh1MDEwMXMiLCJ2aWV0YXMGmJjAxOCIsInZpZXRhcyAyMDE4IGdhZGEiLClyMDE4IGdhZGEiXQ>

term planning document than the national long-term development strategy. Expert interviews were conducted to provide a more inclusive view on the subject at hand. Education expert Aija Kļaviņa explains the increasing role of the exact sciences with the assumption that social sciences seem less “attractive” from the perspective of national economy than IT specialists, engineers and mathematicians, since the actual contribution in the form of the gross domestic product from the social sciences is probably distinctly less. The expert revealed that exact science studies, as well as information technology programs have a powerful lobby in Latvia, as the banks and the leading IT companies are lacking in employees with corresponding qualification, therefore the companies invest a lot of money to have this issue resolved at national level. Next factor, which affects a better mastering of social science disciplines, is also the attitude of the parents toward social sciences and the understanding of whether in-depth studies of social sciences (this applies both to school and university level) will enable the young person to create a career and earn a decent living; namely, the expert believes that the parents often assume that young people can earn more with exact science programs. Considering the gradual decrease of state-funded places in the social science programs and increasing emphasis on the exact sciences, the role of the civic education gained in primary and secondary schools is increasing – the primary and the secondary schools have to provide a sufficient volume of knowledge and skills in relation to the critical thinking and civic participation to enable the young people to understand the basic elements of functioning of the state, democratic values and would be aware of themselves as part of an active civil society regardless of the chosen study program. Senior school specialist of the General education school department, Ludmila Margeviča states that school provides individual with theoretical knowledge of the state. In turn, basic knowledge of the state is expected at the university. Civic position of the individual is formed at the university, just as the first notions for those, who intend to get involved in politics in the future – they will be our future national leaders or government officials, who will have to bear great responsibility for their actions as a politician.

Education Law stipulates that primary education is mandatory in Latvia, while secondary education is a voluntary choice of young people and their parents, based on availability of secondary education and social-economic circumstances. It follows from here that, upon graduating from 9th grade, the knowledge and skills of young people should be sufficient to allow them efficiently getting involved in the national and social processes. One of the most challenging aspects in this context is the fact that a young person becomes a lawful member of the civil society at the age of 18, which is regulated in Latvia by the Law on Elections of the Republic City Council and Municipality Council,¹ the Law on Elections of Saeima,² as well as the Elections to the European Parliament Law.³ This means that there is a gap between the graduation from 9th grade and first active participation in elections.

In regard to the content included in the social sciences and the applied teaching methods, the National Centre for Education has developed guidelines on the subjects to be included in the study process and the competences and skills to be mastered, putting emphasis on the necessity to involve students in the exchange of opinions. Education expert Aija Kļaviņa, who was interviewed within the framework of the study, states that the content of the social science disciplines to be mastered both in primary and in secondary school has been designed so that theory makes up for one third of the total time specified for these study subjects, whereas the remaining two third are intended for practical participation, for example, discussions, group works, excursions, which largely depend on the personal initiative of the teacher. At the same time the expert expresses an opinion that one of the most problematic issues in the general education system of Latvia at the moment is preparedness of teachers and motivation to seek new solutions, oriented towards practical involvement, which would encourage their interest in political processes and also promote civic participation in long-term perspective. Specifically, the vision of the teacher, applied methods and creating interest in events that take place around and involvement in them determines the attitude of the students towards information consumption, cooperation with other people and attitude towards their own place in democratic society. Senior officer of the National Centre for Education Sandra Falka suggests development of an individual course on different public administration, political and law elements, designed specifically for the teachers, as one of the possible solutions.

A separate study subject “Politics and Law” has been developed for the Grades 10 to 12, the purpose of which is to promote interest in politics among young people and encourage understanding of the importance of civic participation in the process

¹ Law on Elections of the Republic City Council and Municipality Council: Law of the Republic of Latvia. Chapter two. Election rights. 25.01.1994. *Latvijas Vēstnesis*. No 10.

² Law on Elections of Saeima: Law of the Republic of Latvia. Chapter one. General Provisions. 06.06.1995. *Latvijas Vēstnesis*. No 86.

³ Law on Elections of the Republic City Council and Municipality Council: Law of the Republic of Latvia. Chapter two. Election rights. 25.01.1994. *Latvijas Vēstnesis*. No 10.

of formation of society and state.¹ Mastering this study subject ensures that the knowledge, gained at primary school level, is reinforced and avoids the three-year gap between the mastering of theoretical knowledge up to 9th grade and the first participation in any of the elections at the age of 18. However, it should be noted that the aforementioned study subject has not been included in the education content as mandatory teaching material. Mandatory study subjects from Grade 10 to 12 are Latvian language, two foreign languages, mathematics, history of Latvia and the world, chemistry, biology, physics, sports, computer science, literature and music or visual arts.² Specifically, during the high school period emphasis is put on exact science disciplines and languages. At the same time the social and humanitarian science subjects are assigned the status of optional study subjects, namely, the high school students may master at least three of the optional courses, which include economics, philosophy, geographic, psychology, politics and law, home economics, ethics, health studies and cultural studies.³ One of the intermediate conclusions of the study is that the content of secondary education is closely related to the national development priority, postulated by NDP – the “economic advancement”, namely, the students mostly strengthen their knowledge in exact science disciplines and in languages with the purpose of pursuing the relevant studies at higher education level later.

The education expert Aija Kļaviņa revealed in an interview that one of the problems with mastering of social science disciplines at high school level is insufficient number of academic hours, allocated to the social module. Therefore students, who are taught the study subject “Politics and Law”, possibly, are unable to master the knowledge on various issues, related to the civic education, in a complete manner, because the time allocated to the study process is insufficient. The expert suggests combined approach to study content as one of solutions, namely, that the social, humanitarian and exact science subjects would be combined to the extent possible, as a result of which the students would gain a comprehensive view of the socially and nationally significant topics.

Third planning document, related to the education content and civic participation, is the “*Guidelines for National Identity, Civil Society and Integration Policy 2012-2018*” (GNICSIP). The purpose of this medium-term planning document is strengthening of the national community of Latvia, promotion of democratic values in the Latvian society and creation of an active, educated and inclusive civil society.⁴ GNICSIP Y2012-2018 address three important aspects in terms of civic youth participation. These are – the content, which is mastered during the lessons, the used teaching methods and the interaction between the teacher and the young people; the second element is extra-curricular activities and involvement of young people in these activities, and the third element is the general environment of the school, participation of the school in social events, volunteer work and attitude of the school management towards such activities in general. The objective and priorities stated in the aforementioned planning document comply with the priorities, set by the 2030 SDS regarding the role of the social sciences in the process of creation of active and educated civil society and also correspond to the theoretical aspects of the study and the opinions of the Latvian education experts on the necessity to have the content of the social science studies based on practical examples and physical involvement of the students.

Summarizing of the intermediate results of the study leads to the conclusion that civic participation of the population and civic and critical thinking skills are significant part of the long-term national development vision, emphasizing in particular the role of the social science disciplines in shaping of the aforementioned skills and encouragement of the economic creativity. At the same time it may be concluded that the long-term and medium-term planning documents demonstrate discrepancies of priorities, since the NDP is oriented towards economic advancement of Latvia, which is based on mastering of exact sciences, information technologies and languages, while no focus is paid in this planning document to the contribution of social sciences. The increasing role of the exact sciences and information technologies is reflected by the number of state-funded study places, available in the social science programs in the higher education institutions in Latvia, which has gradually decreased over the last decade, therefore contradicting the contribution of the social sciences to the national economy of Latvia and understanding of the society of democracy and importance of civic participation, emphasized by the Sustainable development strategy. As the emphasis of the exact science disciplines at the higher

¹ Regulations Regarding the State General Secondary Education Standard, Subject Standards and Sample Education programmes: Cabinet Regulations No 281. Politics and Law. Standard of the subject study of general secondary education. 06.06.2013. *Latvijas Vēstnesis*. No 2013/107.2.

² Education Law: Law of the Republic of Latvia. Section four. Mandatory education. 17.11.1998. *Latvijas Vēstnesis*. No 343/344.

³ Ibid.

⁴ Guidelines for National Identity, Civil Society and Integration Policy 2012-2018: Cabinet Regulations No 542. Civic education. 21.10.2011. *Latvijas Vēstnesis*. No 167 (4565).

education level grows, the importance of the primary and secondary education increases in terms of political participation perspectives and understanding of democracy of the young people. One of the most controversial intermediate conclusions of the study is that the offer of high school education complies with the priorities of the NDP, namely, to have exact science subjects, languages and art subjects as mandatory study subjects, while the social and humanitarian science disciplines shall have the status of optional subjects. Thus, the nine grade education in Latvia should ensure sufficient amount of knowledge and civic skills to allow the person to successfully participate in the public sphere, critically evaluate the political processes, discuss the principles of democracy and participate in the elections, however, the increasingly low electoral activity and low trust to government institutions rather indicate an opposite trend.

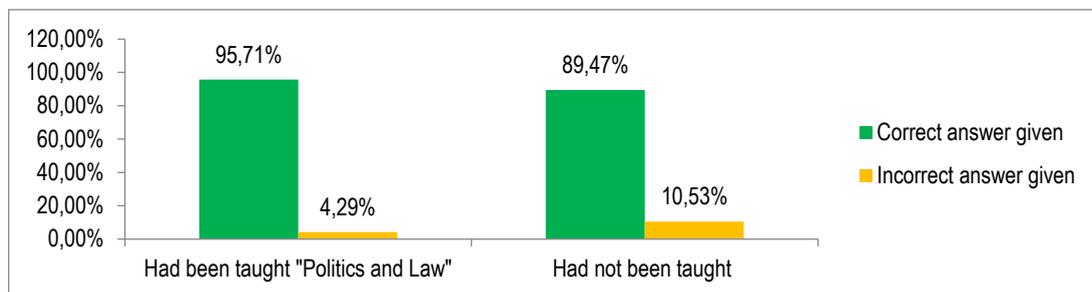
One of the most important problems of general education in Latvia according to the expert interviews is the lack of education monitoring in regard to the quality of the teachers' work, which especially concerns the social science disciplines at high school, considering the fact that both the mastering of the study subjects of the social module and passing of the relevant final examination depends on the initiative and individual interests of each student.

Survey results and expert view

12th grade students were questioned within the framework of the study to determine the knowledge of the young people on the state, politics, understanding of democracy and social sciences, as well as the perspectives of political participation of the young people. In order to verify the role of the social science disciplines in the knowledge on politics, possessed by the young people, the study compared young people, who had mastered the study subject "Politics and Law" during the high school period, and those, who did not have this study subject in their curriculums. In addition the expert interviews provided an expanded and in-depth view on the state educational policy in the sphere of social sciences in Latvia.

The intermediate results of the study demonstrate that majority of the questioned students have an understanding of the concept of democracy regardless of whether the student had mastered the study subject "Politics and Law" at high school. In total 91.6% of respondents gave a correct explanation of democracy from the offered answers, however, at the same time 8.4% of the respondents noted that democracy is a form of government, in which the power is implemented by the oldest party or that the power is implemented through a small group of selected people. Chart No 2 summarizes the analysis results regarding the respondent answers to the question of what democracy is.

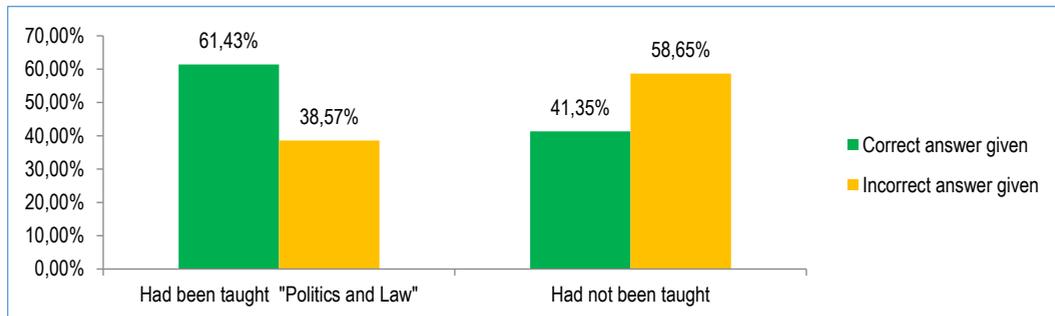
Chart No 2. Summary of students' answers on the explanation of democracy



Source: Chart created by the author, using the results of the questionnaire "Role of social sciences in functioning of a critically thinking society".

The results displayed in the chart confirm that the students, who had been taught the mentioned subject at school, show slightly better knowledge of explanation of democracy than the young people who had not been taught this subject. While the young people demonstrated rather good knowledge of the concept of democracy in its general context, the understanding of specific elements, characterizing democracy, is much poorer. The students were asked in the questionnaire to name the branches of power in a democratic state. 48.3% of the respondents responded correctly by indicating that branches of democracy are legislative power, executive power and judicial power. 20.2% of the respondents replied that the branches of power in democracy are constituted by Saeima, executive power and judicial power, which is not an entirely wrong answer under the context of Latvia, but is not exactly an accurate formulation of the answer.

Chart No 3. Answers of students to the question regarding the braches of democratic government and mastering of study subject „Politics and Law” at school

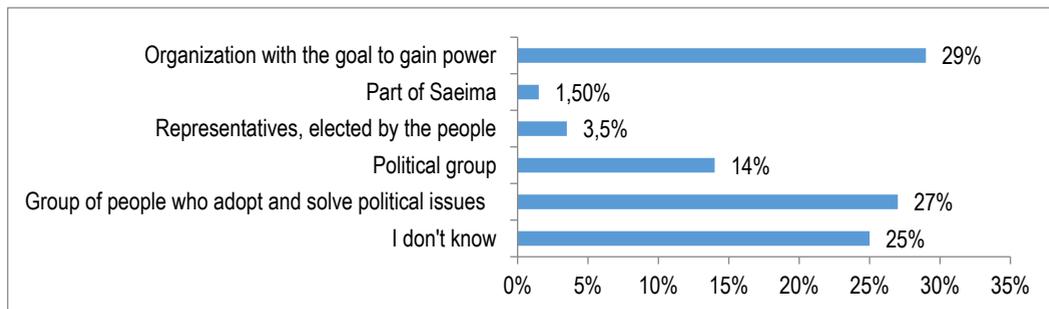


Source: Chart created by the author, using the results of the questionnaire "Role of social sciences in functioning of a critically thinking society".

Education expert Aija Kļaviņa believes that one of the problems is caused by the lack of good materials for mastering of social sciences at high school. She states that current materials are outdated and should be updated on regular basis, since the content of the social sciences constantly changes in response to global events. That way theoretical knowledge, too, would be more related to actual social-economic and political events.

The first results obtained from the study show that in some issues there is a distinct discrepancy between the actual knowledge of the young people on various politics-related issues, and the objectives, set by the national education programs. For example, the Regulations Regarding the State Standard in Basic Education, the Subjects of Study Standards in Basic Education and Model Basic Educational Programmes stipulate that students upon graduating from the 12th grade shall understand and be able to describe main principles of functioning of a political party, however the obtained survey results indicate otherwise (see Chart No 4).¹

Chart No 4. Explanation of the political party by the respondents



Source: Chart created by the author, using the results of the questionnaire "Role of social sciences in functioning of a critically thinking society".

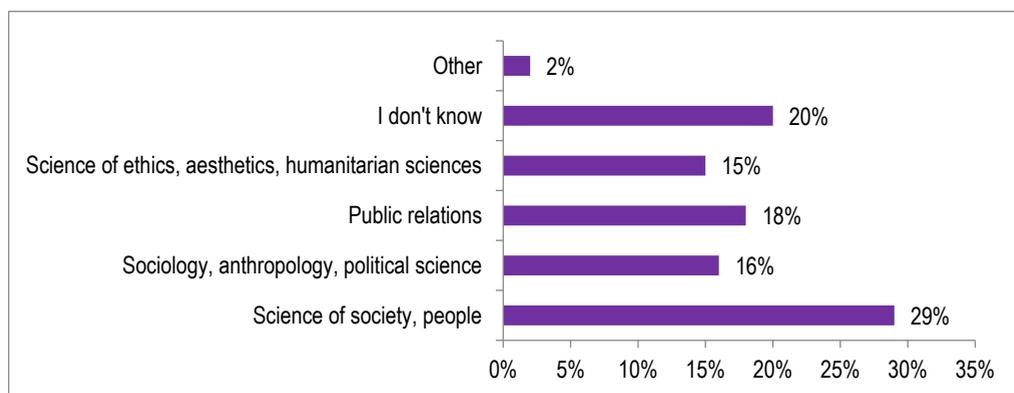
In total 29% of the questioned 12th grade students explained the essence of a political party as an organization with the goal to gain power, while every fourth student was unable to give a description of a political party. 27% of the respondents linked political party to the activity of Saeima deputies and fractions, namely, the party adopts and solves political issues within the framework of legislative power.

¹ Cabinet Regulations No 281. Politics and Law. Standard of the subject study of general secondary education. 06.06.2013. *Latvijas Vēstnesis*. No 2013/107.2.

Extracts from the answers of the respondents indicate that already during the school period young people have developed negative attitude towards political parties, namely, in some cases the parties are perceived as criminal organizations, which try to steal from the state and its people. Attitude towards political parties has a fundamentally important role in the civic participation of the people and the attitude towards the state in general. Negative feeling towards the parties diminishes the wish of the people to get involved in the parties and also weakens the electoral activity. The negative attitude of the young people towards the political parties can be explained by the negative feeling towards political parties, prominent in the society in general, namely, this aspect reveals the influence of both family and mass media on the understanding and opinions of the young people on the activity of political parties.

In order to understand whether the young people are aware of the importance of social sciences and their relation to democracy and understanding of the role of active and educated citizens, they were given the task to describe social sciences. The answers of the respondents were divided into several categories, which have been summarized in Chart No 5.

Chart No 5. Answers of the students on what social sciences are



Source: Chart created by the author, using the results of the questionnaire “Role of social sciences in functioning of a critically thinking society”.

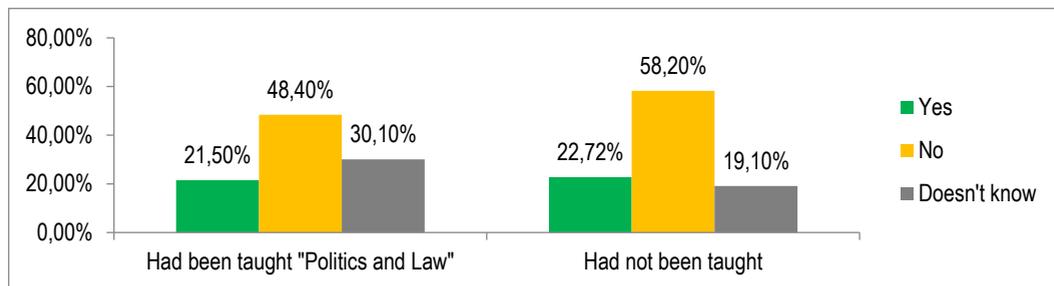
The obtained intermediate results reveal that social sciences are mostly linked to the study of society and people, 16% of the respondents have linked social sciences to certain disciplines of science (sociology, anthropology and political science), while 18% have linked the social sciences with public relations. Both the quantitative results and the extracts of some answers lead to the conclusion that only around 45% of young people demonstrate at least minimal understanding of the social sciences. It shows that the importance of social sciences, which is emphasized in 2030 SDS of Latvia, is not reflected in the actual knowledge and elementary understanding of the young people regarding contribution of these sciences to the democracy, civil society and national economy in general.

The available data show that only 1% of the total population of Latvia are involved in political parties, which is the poorest indicator among the member states of the European Union (EU).¹ For comparison 4.3% of the population in Estonia are involved in political parties, 4.1% in Lithuania, while the average indicator in the EU is 4.7%.² It should be noted that the first intermediate results of the study indicate that the students, who had been taught the study subject “Politics and Law” at school, do not demonstrate higher potential involvement in the activity of political parties (see Chart No 6).

¹ Karlsonē. Līva. In Latvia, the least people in Europe are involved in political parties. 12.08.2017. *Latvijas Sabiedriskie mediji*. <https://www.lsm.lv/raksts/zinas/latvija/latvija-vismazak-iedzivotaju-eiropa-iesaistas-politiskajas-partijas.a246474/>

² Klūga, Māris. In Latvian political parties, least people involved than in Estonia and Lithuania. Why is it? 02.02.2018. *Latvijas Sabiedriskie mediji*. <https://www.lsm.lv/raksts/zinas/latvija/latvija-partijas-daudzkart-mazak-biedru-neka-lietuva-un-igauņija.-kapec-ta.a262825/>

Chart No 6. Potential involvement of young people in political parties and mastering of the study subject „ Politics and Law” at school



Source: Chart created by the author, using the results of the questionnaire "Role of social sciences in functioning of a critically thinking society".

The results, summarized in the chart, reveal that the young people, who had been taught the study subject "Politics and Law" at school, do not show higher potential involvement in political parties as the respondents, who had not been taught this subject at school. The revealed phenomenon can be viewed and explained from several perspectives.

Senior officer of the National Centre for Education Sandra Falka emphasizes that democracy and civic duties have been integrated in several study subjects both at primary school and high school, therefore viewing the democratic values from different perspectives. Nevertheless, despite the fact that Regulations Regarding the State Standard in Basic Education, the Subjects of Study Standards in Basic Education and Model Basic Educational Programmes stipulate that the student, having mastered this subject, shall gain understanding of the functioning of political parties and shall also acquire necessary knowledge and skills for practical political participation, the obtained study results do not show differences in perspectives of political participation between the students, who have mastered the study subject "Politics and Law", and those who haven't.

Participation in elections is the result of civic education and confirmation of the fact that the young person is aware of his or her duty in the democratic state to participate in making of political choices. In-depth study of the perspectives of political participation of young people is important, if only from the point of view of electoral activity performance, where gradual decline of participation is observed both in Saeima and European Parliament elections (see Chart No 8 and Chart No 9 in annex).

Vice-Rector of Riga Stradiņš University professor Tatjana Koķe stated in the interview that schools have vast opportunities and teachers also have been given rather great freedom in creation of the practical content, for example, by meeting representatives of municipal and governmental institutions, journalists and getting involved in the activities of non-governmental organizations or municipalities, where there might be some practice programs for young people introduced.

Conclusions

Previous intermediate results of the study allow drawing conclusion on the existing contradictions in the list of the national development priorities, stated in the 2030 SDS and the NDP. In the long-term planning document the role of social sciences has been emphasized both in terms of civic participation and improvement of critical thinking abilities of the people and promotion of creativity. Respectively, mastering of social sciences is an important precondition to both strengthening of democracy and development of national economy and international competitiveness. Whereas the NDP puts more emphasis on the mastering of exact sciences and information technologies, which would ensure economic advancement of Latvia, while social sciences have been assigned a secondary role. The real situation in both high school period and the higher education is closer to the NDP priorities than the development directions, included in the 2030 SDS, since exact science disciplines, languages and also art have been defined as mandatory study subjects at high school, while social and humanitarian science disciplines have been assigned the status of optional subjects. At the level of higher education the number of state-funded study places has been gradually reduced for social sciences over the last decade, which increases the importance of civic knowledge and skills, mastered at the primary and high school period. Pursuant to the Education Law only primary education is mandatory in Latvia, while acquiring of secondary education depends on the

student and the parents. It only reinforces the role of social sciences at the primary school level, namely, the civic participation knowledge and skills, acquired during the nine years' time have to be sufficient to enable the person to actively participate in the public sphere. Therefore the education policy, implemented by the state, is not consistent in regard to the priorities and development directions, stated in the SDS, where social sciences are mentioned as one of the preconditions of civic participation and development of national economy. The opinions of the experts, interviewed within the framework of the study, allow concluding that the biggest problem in teaching of social science subjects is the lack of teacher monitoring, namely, at the moment it is not possible to determine, what proportions of the content of social science studies are constituted by theory and practice.

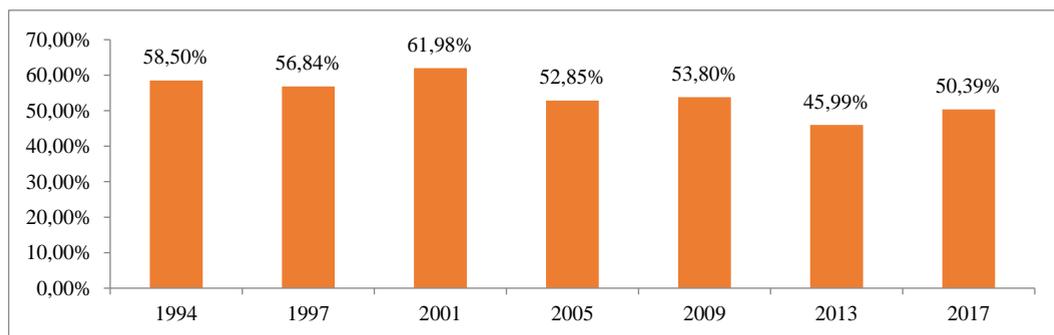
The survey results allow drawing the conclusion on both the knowledge of the young people on national and political issues and on the perspectives of their political participation. In general the young people have understanding of what democracy is in the broadest sense of this concept. No significant differences have been observed between the young people, who have mastered the study subject "Politics and Law", and those, who had not mastered this subject at school. Nevertheless, the differences in the level of knowledge are manifested by more specific questions, related to the description of democracy, for example, the young people, who have mastered the study subject "Politics and Law", are better at explaining of branches of democracy, compared to those, who had not mastered this subject. Respectively, within the framework of theoretical knowledge there is a positive link between the knowledge of the young people and the fact of whether the students have mastered the study subject "Politics and Law".

The study results clearly demonstrate that e young people, who have mastered the study subject "Politics and Law", do not show higher political participation perspectives than those, who had not mastered politics at school. There are no significant percentage differences in potential electoral activity and political party involvement between the students, who have mastered politics at school, and those who had not. This means that the objective of the study subject "Politics and Law", specified in the state education standards, has been achieved only partially, as the young people have been given provided with theoretical knowledge in general, but the practical political participation performance is the same as for the young people, who had not mastered this study subject. Therefore, judging from the perspective of political participation of the students, the state education policy in the sphere of social sciences fails to encourage participation of young people in political processes. This finding contradicts the theoretical assumptions, presented in the study, which specify that mastering of social sciences at school not only provides theoretical knowledge but also gives an impulse to real political involvement, which include participation in parties and non-governmental organizations, participation in elections, involvement in public discussions and other forms of participation.

The education experts, interviewed during the study, explain that the aforementioned finding can be related to the linkage of theory and practice within the framework of the study subjects, preparedness and involvement of teachers, as well as the interaction of parents, teachers and the school in regard to the development of civic knowledge and skills of the young people.

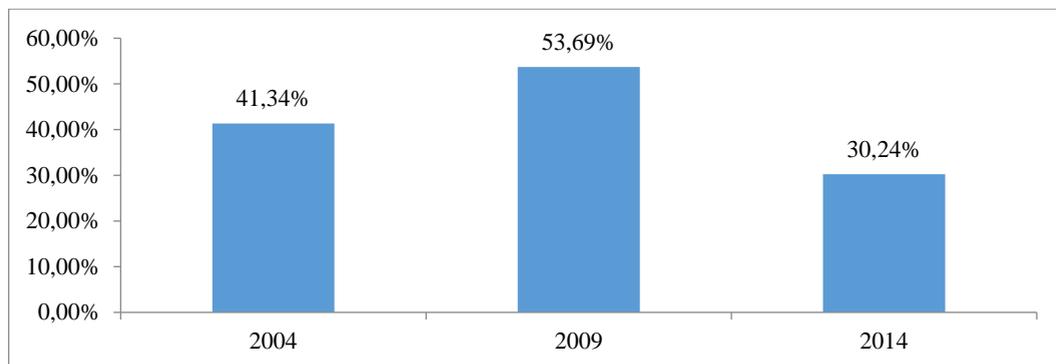
ANNEXES

Chart No 8. Proportion of persons who have voted in municipal elections



Source: Chart created by the author, using the information, available on the website of the Central Election Commission.

Chart No 9. Proportion of persons who have voted in European Parliament elections



Source: Chart created by the author, using the information, available on the website of the Central Election Commission.

The Struggle for Integration of Refugees and Immigrants: Examples of Integration of Refugees in European Cities and the Case Study of Athens

Efthimios Bakogiannis

Transportation Engineer & Urban Planner, Ph.D., Sustainable Mobility Unit- Department of Geography & Regional Planning, National Technical University of Athens

Charalampos Kyriakidis

Ph.D. Candidate, Urban & Regional Planner, Transportation Engineer, Sustainable Mobility Unit- Department of Geography & Regional Planning, National Technical University of Athens

Tatiani Milioni

Civil Engineer (B.Sc.), Surveyor (Und. Dipl.), National Technical University of Athens

Abstract

This paper focuses on the integration of refugees and immigrants into Greek society through the provision of housing. This topic is a hot one due to the fact that many refugees have arrived in Greece during the previous years and there is a need to remain for a long time. Thus, the provision of housing is imperative. However, due to the economic crisis, the creation of such spaces is expensive and unachievable. As a result, alternatives should be examined. For this purpose, different policies of the smooth integration of refugees and immigrants in European countries can provide such solutions. Three case studies were selected across Europe and they have been compared to the Athenian paradigm. Through this research, proposals about their successful integration have been derived. In that way, it will be possible to provide specific plans that reorganize various areas in Athens in order to make this vision a reality.

Keywords: refugees, immigrants, integration, non-used buildings, case studies, Athens.

Introduction

The refugee crisis is located at the foreground of urban history of the Greek cities for a century, considering the continuous flow of population to and from Greece, mainly after the Asia Minor Catastrophe. Indeed, during 1920s, almost 1,400,000 refugees fled to Greek territory (Hirschon, 1989 in Vergeti, 1992). The refugee flow continued during the 1980s and 1990s (Triandafyllidou, 2009; Mogli and Papadopoulou, 2018), culminating in the 2010s, as people from other countries viewed Greece as an entry point to Europe. According to Giannakopoulos and Anagnostopoulos (2016) who quote data of the UN Refugee Agency (2016), roughly 860,000 refugees and migrants have entered Greece during 2015-2016. Following the closure of "Balkan migrate route" in March 2016, dozens of thousands of refugees remained trapped in Greece (European Commission, 2018), despite the fact that the number of newcomers was contained (Figure 1). The initial reaction of the Greek government was the development of temporary housing structures organised in abandoned camps and parks, almost in the entire Greece. However, as far as the probability of permanent settlement of a large number of people as well as the need for their integration in the Greek society increase, the questions still arise regarding the way in which those people will rehabilitate.

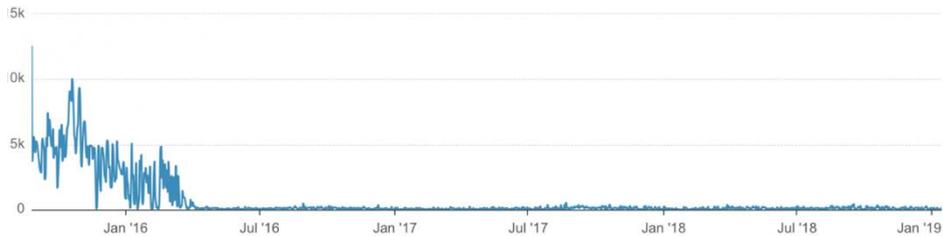


Figure 1. Arrivals per day during 2015-2019 (January). Source: <https://data2.unhcr.org/en/situations/mediterranean/location/5179>

Historical approach of the issue notes that during the 1920s the Refugee Restoration Committee (EAP) focused on the refugees' housing rehabilitation mainly in country-side areas but in cities as well, through the establishment of new settlements. Those settlements were developed according to a development plan, as well as granting the exchangeable Muslim property to the refugees (Lianos, 2016). However, there were many other settlements developed without plans. Informal self-housing was the main mechanism used in such cases. In those cases, settlements were located without criteria across Greece (Thessaloniki, Volos, Kavala, Serres, Agrinio, Kesariani, Vironas, Nea Ionia, Kokkinia) (Lianos, 2016). Although such areas were planned as residential areas (Bakogiannis, et.al., 2015), they still preserve their traditional character and mixed-used building forms.

At present, in the context of Emergency Support to Integration and Accommodation (ESTIA), housing land is in quest for 20,000 refugees in various areas of the country. In contrast with the housing programs of 1920s that had foreseen the construction of new residences, today's programs focus on the renting of buildings or apartments. Conducting a literature review, it was established that the housing methods provided to the refugees in Greece, nowadays, are the following:

- a) Apartments rented by the state.
- b) Apartments rented by refugees or immigrants. Usually, one group of refugees, relatives or not, reside in one apartment.
- c) Leased hotels by the state.
- d) Refugee hosting centers (hot-spots), which were organized in order to provide temporary residence to refugees. However, in reality, refugees stay in those centers for a long period of time. The centers usually present the below forms: (d1) designed buildings (d2) containers converted in residential spaces, like in the case of Eleona (d3) tent camps, like in the case of Moria in Lesbos.
- e) Refugee hospitality through cohabitation, like the "Home for Hope" project. In the context of this action, the owner of a house accommodates a specific number of people up to two months (up to eight months, in practice) with a small price in return.
- f) Occupation of empty spaces. Typical examples are the ones of City Plaza Hotel and the conquest of the building in 26th Notara Str. in Exacrheia.
- g) Municipal spaces and buildings, mainly in cases of adverse weather conditions.
- h) Public urban spaces, in cases of refugees or immigrants who haven't secured a space or tent to spend the night.

Taking all the above into consideration it is ascertained that there is no organized plan of housing for a large number of refugees and immigrants. As a result, it is not only a political, social and economic problem but also an urban planning one, since the impacts caused from a rough housing attempt of large groups of population affect the way cities function both in the short term as well as in the long term period. In the context of this research paper, good practices of refugees' housing through the re-use of existing/un-used buildings are examined (Section 2). For that purpose, the possibility of use of empty

buildings in Athens is being investigated (Section 4), following an analysis of the current situation regarding the existing buildings of a specific area in the center of Athens (Section 3). Thus, useful conclusions result, which can contribute to the alleviation of the refugee phenomenon through smooth integration of refugees.

Case studies research

In the context of researching for good practices, two refugee establishment cases were examined in Italy and Germany. The choice of countries is related to the increased number of applications for granting asylum from the part of the refugees.

The first case concerns the Sicilian village of Sutura, whose population recorded a continuous drop between 1970 and 2010, a fact that is connected with the high percentages of unemployment in the area (Urbano, 2016; Tondo, 2018) as well as the isolation related to the absence of satisfactory road infrastructure and bad public transportation system (Zancan, 2016). The decision of local authorities (2014)2014 (Urbano, 2016), to provide abandoned homes to 50 asylum seekers contributed to the increase of population of the village (Tondo, 2016), in 2016. The integration of residents was done in the frame of a European resettlement program which funds cities in order to host a certain number of refugees (Tondon, 2018). The financing touches 263,000 euro per year with a positive impact to the restoration and rent of these empty houses as well as the creation of new jobs (Zancan, 2016). The 1,000 m² school of the village continued to operate in spite of the fact that the plan before the establishment of refugees foresaw its closure (Cipriano, 2018; Tondon, 2018). In that way, the purpose of integration of refugees into the village's social fabric was easily achieved and the residents' objections were soon detained (Urbano, 2016). Today, Suttera is identified as one of the best examples of refugees' integration (Open Migration, 2018) which emits multiculturalism and achieves to approach again the interest of its own refugees (Italians that now live and work abroad or in other cities across Italy) visiting the village in purpose of tourism (Urbano, 2016). By highlighting the village as a good practice in combination with the highlighting of monuments of cultural inheritance is considered parameters that might favor the tourism in the close future (Zancan, 2016).

Relevant were the motives of integrating refugees in Golzow village, a rural and structurally disadvantaged region of Brandenburg, Germany (Schiffauer, 2019). The population of the village showed significant drop from the 1990s resulting, in the middle 2010s, in the consideration of closing the local school, since the necessary number of students were not available so that to operate, even one class. Thus, despite the initial anti-refugee climate that was developed (Bell, 2017; Schiffauer, 2019), local authorities proceeded to the establishments of Syrian families. Abandoned houses were available for housing refugees (Bell, 2017; Le Blond and Welters, 2017). In 2015, Syrian refugee children saved the school and new life breathed into this shrinking community (Le Blond and Welters, 2017). Up till 2016, 3 Syrian refugee families were permanently established at the village (Yowell, 2017) and have already joined the local society expressing their desire to become permanent residents of the village (Associated Press, 2016).

The above practices highlight the possibility of utilizing abandoned buildings in order to integrate refugees. Given the proportions, the adaptation of this specific practice by Greece could also have positive effects in the revitalization of areas as well as the parallel relief of a number of people that need a roof over their heads. Such a possibility is examined in the context of this paper. A central part of Athens is used as a case study.

Methodology

As a case study area, the 6th Municipal municipal district of Athens was selected. It includes the following neighborhoods: Ano Kypseli, Kypseli, Nea Kypseli, Amerikis Square and Attiki Square (Figure 2). The reasons why this specific area was selected are the following:

- It is located in the innermost part of Athens. However, it is not consist of a financial district but an area where various neighborhoods are located in.

- It is an area that has been home for a large number of refugees and immigrants. Thus, a proportion of residents feel unsafe and threatened by foreigners (xenophobia) (Bartatilas, 2015).
- Diversity is observed. Not only in people but also in buildings as a result of the alteration of their previous identity. Thus, they consist of transformed neighborhoods (Bakogiannis, et.al., 2015).

The question raised is: in which way a central area like this one, the character of which has been transformed over the years, can be an ideal place for permanent residence of refugees by reusing the existing building potential. The aim of this paper is to identify non-used buildings that, after a refurbishment, can be used as residences. In that way refugees can be smoothly integrated in the Athenian society. At the same time, those neighborhoods can be regenerated, as it was highlighted through the case studies research.

In order to gain that goal, land uses have been recorded (ground floor as well as storeys) through a field research. Locally listed buildings have been identified and assessed about their condition (Papadimitriou, 2015). As a result, conclusions have been drawn concerning the existing building potential is suitable to meet the required needs for housing in the central part of Athens.

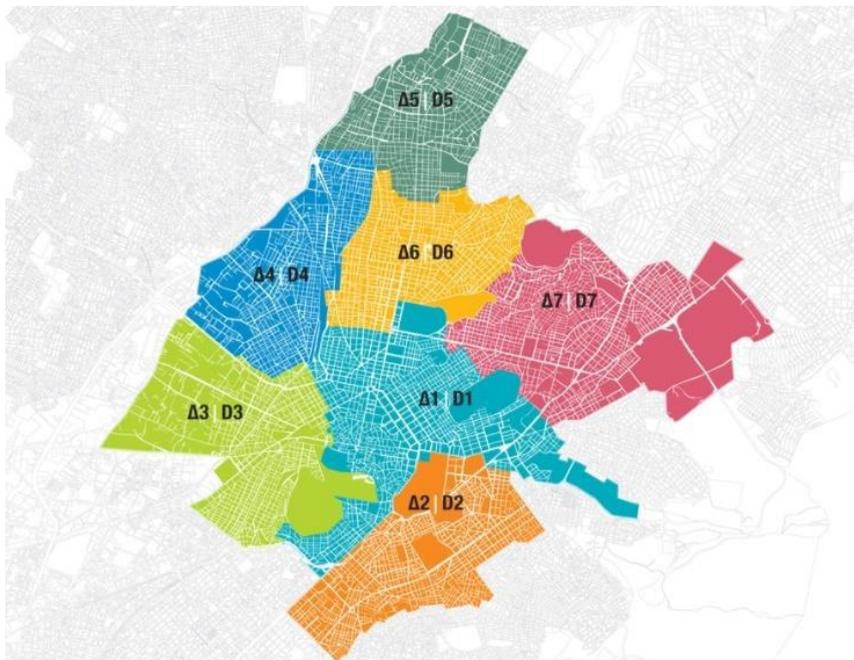


Figure 2. The Municipal Districts (MD) in the Municipality of Athens. MD 6 is the case study area. Source: <http://modmov.ellet.gr/maps/>

What is happening in the central neighborhoods of Athens?

Through the recording of land use in the study area, it was noted that the dominant use was residence. In total 11 different land use categories were registered (Figures 3 and 4). Central functions (commerce and leisure) are located along important roads and pedestrian streets. As a result, informal urban clusters are developed across the city center.

Such areas are Attiki Square and Amerikis Squares, as well as the areas along Patision, Acharnon, Kipseli streets and Fokionos Negri Pedestrian Street. At the above areas, commercial functions and leisure are located mainly at the ground floor of buildings. The biggest part of the area is occupied by residences that are located even on the ground floor of the buildings. It should be mentioned that in the context of this research an assumption was made in order for the recording process to be facilitated: semi-underground apartments were considered as ground floor apartments (Figure 5).

The second most popular land use is that of empty spaces. Such spaces are considered ground floor spaces which, although in the past were used, nowadays are not used, as an aftereffect of the economic crisis (Figure 3).

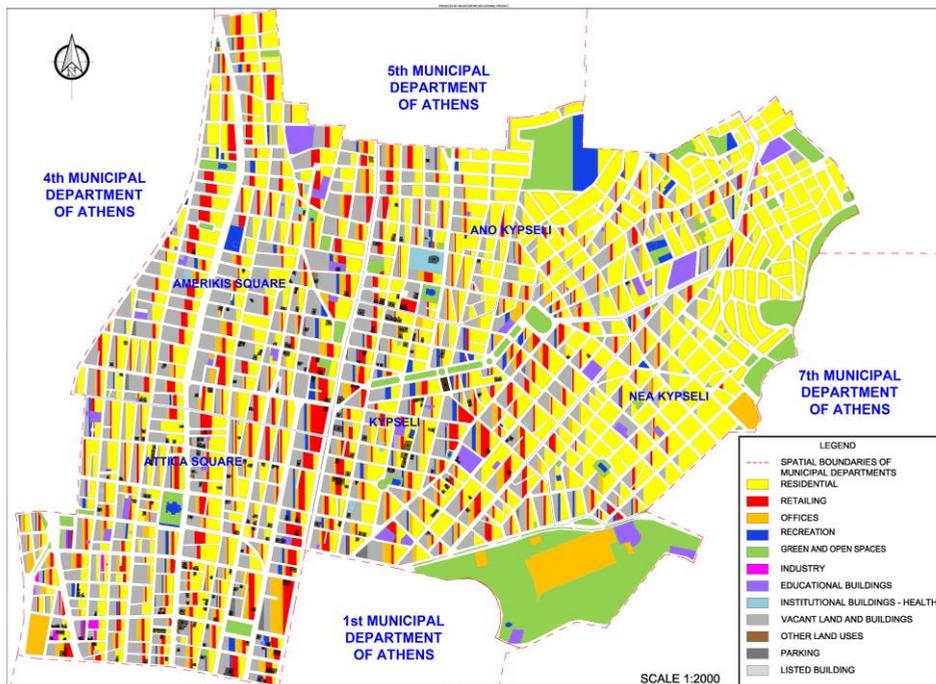


Figure 3. Land use recording (ground floors). Source: Own Elaboration.

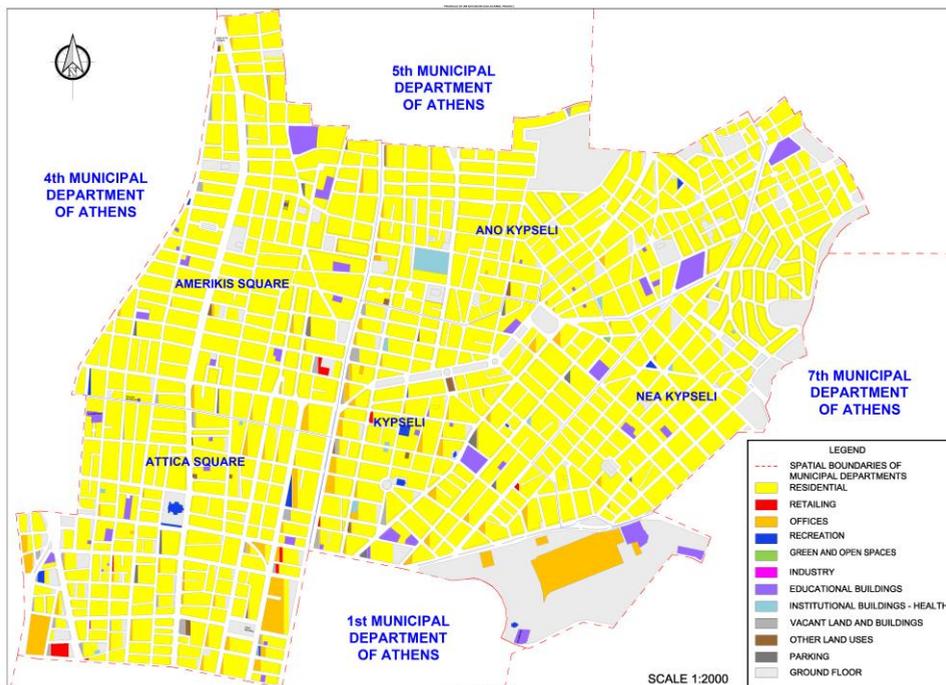


Figure 4. Land use recording (floors). Source: Own Elaboration

Figure 6 presents the listed and non-used buildings in the research area. In total, 288 listed buildings are located in the area, 120 of which are uninhabited. Therefore, 41.6% of buildings are not in use. Obvious is that Attiki Square and Amerikis Square areas are where the largest volume of such buildings is located. Many of them are mentioned as listed for over 30 years but so far no maintenance, restoration or reuse works have been made in order to operate again.

Most buildings are in bad shape, since damages are located both on their inside and outside, as well as on roofing and electrical equipment. Thus, budget line is in need for their repair in order to become habitable. Their surface is large since most of them were built during Interwar period. In this context, a building could be divided to, at least, two smaller in order to facilitate more families. Taking into account that a single person living by himself should have at a minimum 25 square meters of residential space, it is ascertained that 2,806 people can be housed in residences of a total surface of 70,155 square meters.

Bearing in mind that asylum applications up to 2017 were 58,661 (Newsroom, 2018), it is noted that such an intervention could satisfy about 4.8% of them. An important fact is that most uninhabited listed buildings are relatively close resulting in enabling their communication, the growth of social network with others of the same nationality and their feeling of a familiar environment towards them. However, due to the fact that the buildings are located in a large spatial unity, ghetto phenomena are unlikely to happen. Besides, the number of refugees that could live in this area utilizing the specific method is quite small in relation to the population of the study area.

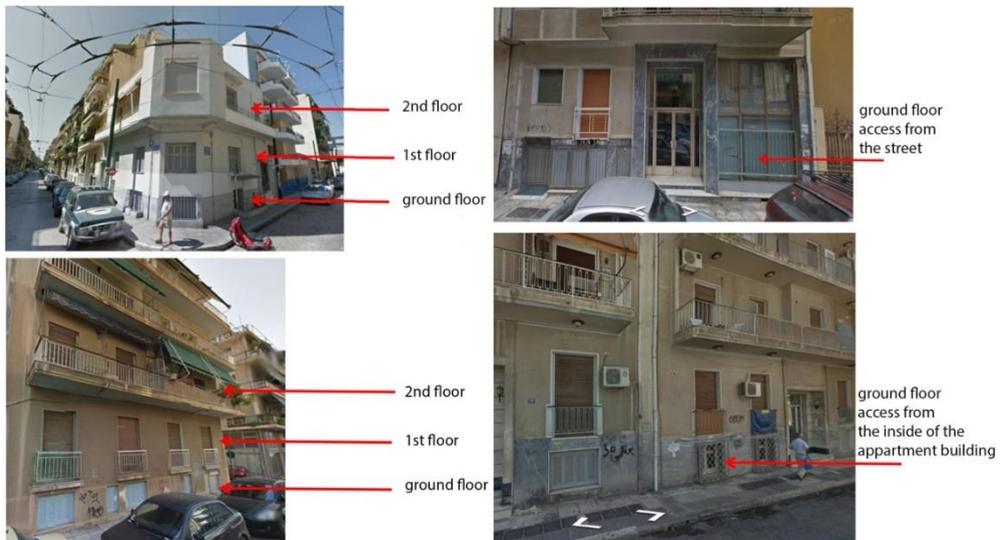


Figure 1. Buildings in the case study area. Source: Google Street Maps.

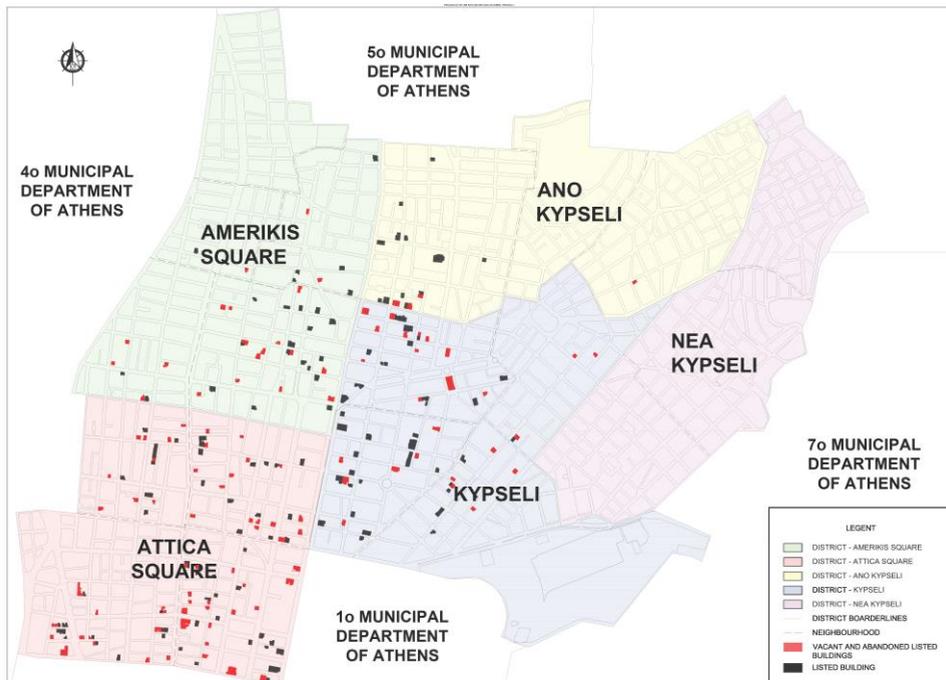


Figure 6. Listed and non-used buildings in the case study area. Source: Own Elaboration.

The possible facilitation of refugees in the study area can also have positive effects on the economic activity of the study area due to the fact that a large number of empty ground floor stores are now available. In time, the new population of the

area could work professionally at the same area with positive effects in the economy of neighborhoods. Besides, there are many stores in several areas of the center where the owners are immigrants.

Conclusions

The refugee crisis concerns many people across Europe due to its large scale during the last years. In Greek society the phenomenon is intense and in combination with the economic crisis, it doesn't allow Greece to correspond in the best possible way. The finding of economic solutions is the target for the housing of the large number of people. In these interventions the use of the current buildings is imperative within cities and settlements of the country. The specific practice has been applied to different cases across Europe, like in the case of Suttera and Golsow villages examined above.

The reasons for characterizing this solution as viable are: (a) this specific solution is more economical, in relation to practices concerning the construction of new areas for refugee residences, meaning the extent of cities or creation of new settlements and (b) even though in cases of abandoned or listed buildings, their restoration is a procedure of great cost, however, European Union provides funding tools towards this direction, as shown from the examination of case studies across Europe. In this way, the absorption of capital is not superficial and budget lines function as a temporary liquidity injection in the Greek market but at the same time essential since buildings in the city are restored and their architectural inheritance and historic identity are preserved.

In this context, this specific study focused on the research of the current situation in central neighborhoods of Athens. Studying the land uses and the presence of possible usable buildings of the 6th municipal district of Athens, the following statements are noted:

- There is a large number of uninhabited listed buildings which were not used, for many years, and there is no effort of restoring them. Their possible usage of housing refugees can help up to 2,806 refugees to find a house. Such an action should not be confused with confiscation of the owners' estate but as a short term reciprocal concession of their property due to the benefit related to the free restoration and renovation of each building. The implementation of this specific action is in the political will, after the owners' consent of those buildings.
- The diffusion of an important number of refugees in a wide urban unity rather their concentration in a neighborhood can contribute in their smooth integration to the Greek society. The neighboring of their residences with Greek households and people of the same nationality in neighborhood level contributes to the growth of such social networks. Furthermore, the fact that central functions such as services, recreation and commerce are located, allows the creation of intercultural social networks.
- Beyond the benefits that owners of such houses are expected to have, some benefits for local society arise too: (a) aesthetic due to the improvement of structured environment, (b) reduction of the delinquency and the sense of insecurity, due to the previous ascertainment and (c) socio-economic benefits due to new residences. In this context, the development of motives for the integration of refugees can contribute to the activation of some of these non-used spaces located at the ground floors of the study area and their use for commercial purposes.

The implementation of this specific practice can be a pilot effort across Greece, in order to assess its results in the near future. In case the results are positive it could be assumed that it is possible to apply such interventions across Athens and other Greek cities in order for refugees and immigrants to be smoothly integrated into Greek society. At the same time, the building potential is preserved and cities are transformed into more compact urban cores and, therefore, more sustainable.

References

- [1] Associated Press, 2016. German town turns to Syrian refugees to save its school. [Online] Available on: <https://www.scmp.com/news/world/europe/article/1964321/german-town-turns-syrian-refugees-save-its-school> [Retrieved on January 18, 2019].
- [2] Bakogiannis, E., Kyriakidis, C., Siti, M., Siolas, A. and Vassi, A., 2015. Social mutation and lost neighborhoods in Athens, Greece. *International Journal of Management and Social Science*, 3, 34-41.

- [3] Barttilas, L., 2015. Kypseli: Research for mapping the neighbourhood. Athens: NEON Community project. [Online] Available on: https://issuu.com/loukas_barttilas/docs/neon_community_project_2015_kypseli?%20utm_source=conversion_success&utm_campaign=Transactional&utm_medium=email [Retrieved on January 18, 2019].
- [4] Bell, M., 2017. Worried about its future, this former East German city recruited Syrian refugees. [Online] Available on: <https://www.pri.org/stories/2017-01-10/worried-about-its-future-former-east-german-city-recruited-syrian-refugees> [Retrieved on January 18, 2019].
- [5] Ciprian, G., 2018. Sutera, a Sicilian town reborn with immigrants. [Online] Available on: https://giannicipriano.photoshelter.com/gallery-image/20180108-LIBERATION-Sutera/G0000ZwpUCN7QCss/I00004JisIxtKKc/C0000.M_ML0NYf0s [Retrieved on January 18, 2019].
- [6] DevelopAthens, n.r. Housing scheme for asylum seekers. [Online] Available on: <https://www.developathens.gr/el/πρόγραμμα-στέγασης> [Retrieved on January 14, 2019].
- [7] Emergency Support to Integration and Accommodation (ESTIA). Statistics. [Online] Available on: http://estia.unhcr.gr/el/home_page/ [Retrieved on January 21, 2019].
- [8] European Commission, 2018. European Civil Protection and Humanitarian Aid Operations. [Online] Available on: https://ec.europa.eu/echo/where/europe/greece_en [Retrieved on January 14, 2019].
- [9] Giannakopoulos, G., & Anagnostopoulos, D. C., 2016. Child health, the refugees crisis, and economic recession in Greece. *The Lancet*, 387(10025), 1271.
- [10] Le Blond, J. and Welters, G., 2017. Syrian refugees breathe new life into shrinking German village. [Online] Available on: <https://www.unhcr.org/news/stories/2017/2/589c33054/syrian-refugees-breathe-new-life-shrinking-german-village.html> [Retrieved on January 18, 2019].
- [11] Lianos, N., 2016. Housing rehabilitation of refugees. [Online] Available on: https://www.lifo.gr/articles/greece_articles/123756 [Retrieved on January 14, 2019].
- [12] ModMovAthens, 2013. Maps. [Online] Available on: <http://modmov.ellet.gr/maps/> [Retrieved on January 21, 2019].
- [13] Mogli, M. and Papadopoulou, M., 2018. «If I stay here, I will learn the language»: Reflections from a case study of Afghan refugees learning Greek as a second language. *Research Papers in Language Teaching and Learning*, 9(1), 181-194.
- [14] Newsroom, 2018. Increased asylum applications for refugees and immigrants in Greece. [Online] Available on: <https://www.dikaiologitika.gr/eidhseis/koinonia/201216/afksimenes-oi-aitiseis-asylou-prosfygon-kai-metanaston-gia-tin-ellada> [Retrieved on January 18, 2019].
- [15] Open Migration, 2018. The 10 best articles on refugees and migration 12/2018. [Online] Available on: <https://openmigration.org/en/web-review/the-10-best-articles-on-refugees-and-migration-122018/> [Retrieved on January 18, 2019].
- [16] Papadimitriou, M., 2015. *Developing of a database for recording, checking protection and re-use of listed buildings across the 6th Municipal District of Athens - Undergraduate Thesis*, School of Rural and Surveying Engineering, National Technical University of Athens.
- [17] Schiffauer, W., 2019. The refugees-welcome movement: A new form of political action. In: Bock, J.J. and Macdonald, S. (eds) *Refugees welcome?: Difference and diversity in a changing Germany* Berghahn Books, 288-310.
- [18] Tondo, L., 2016. How one Sicilian village learned to love migrants. [Online] Available on: <http://time.com/4186819/sutera-sicily-migrants/> [Retrieved on January 18, 2019].

- [19] Tondo, L., 2018. "They are our salvation": The Sicilian town revived by refugees. [Online] Available on: <https://www.theguardian.com/world/2018/mar/19/sutera-italy-the-sicilian-town-revived-by-refugees> [Retrieved on January 18, 2019].
- [20] Triandafyllidou, A., 2009. Greek immigration policy at the turn of the 21st century. Lack of political will or purposeful mismanagement? *European Journal of Migration and Law*, 11, 159-177.
- [21] Urbano, A., 2016. One Sicilian village's lesson to Britain. [Online] Available on: <https://exepose.com/2016/11/08/one-sicilian-villages-lesson-to-britain/> [Retrieved on January 18, 2019].
- [22] Vergeti, M., 1992. The pontian identity of the 3rd generation. In: Kitromilidis, P. (ed). *Bulletin of the Asia Minor Studies Center: Asia Minor Catastrophe and the Greek Society*, Vol. 9, 79-96.
- [23] Yowell, B., 2017. How Syrian refugee families saved a village in Germany. [Online] Available on: <https://borgenproject.org/syrian-refugee-families/> [Retrieved on January 18, 2019].
- [24] Zancan, N., 2016. A dying town in Sicily, reborn with immigrants. [Online] Available on: <https://www.lastampa.it/2016/02/29/esteri/a-dying-town-in-sicily-reborn-with-immigrants-rrlEsB4AUrZhrDgnlyJBWL/pagina.html> [Retrieved on January 18, 2019].

Evaluation of the Medical Interpreter and Patient Guidance Training in the Migrant Health Services: The Case Study in Turkey

Perihan ŞENEL TEKİN

PhD, Asst. Prof., Ankara University, Vocational School of Health

Afsun Ezel ESATOĞLU

Prof. Dr, Ankara University Faculty of Health Sciences, Department of Healthcare Management

Abstract

Turkey is a country that embraces many migrants from Africa and the Middle East especially in the last 10 years due to its geopolitical position. The number of Syrian refugees in Turkey as of February 2019 is reported to be 3.644.342. In particular, benefiting from the most basic human rights such as nutrition, education and health of migrants is an issue given the importance by the Republic of Turkey. In this context, important cultural differences arise for the immigrants. Language is an important obstacle to access to health services, especially in Arabic speaking patients. In order to facilitate access to health services and to improve the quality, a project has been developed covering the training and employment of medical interpreters and patient guides by the Turkey's Ministry of Health and the World Health Organization. With this project, 960 medical translators were employed and trained 2016 to 2019. The research provides an evaluation covering the training phase of this project. In this context, the aim of the study is to evaluate the effectiveness of the training program. In the study, an interactive training program, including medical terminology, health sector organization of Turkey, communication skills and medical ethics was implemented to the bilingual interpreters and patient guides. Participants completed a 50-question pre-test and post-test designed to evaluate the effectiveness of the training. Training was deemed successful as all participants scored higher on the post-test than the pre-test. The results obtained from the research include important lessons that guide the planning of similar trainings.

Keywords: Migrant, healthcare services, patient guide, training, Turkey.

Introduction

Turkey is a country that embraces many migrants from Africa and the Middle East especially in the last 10 years due to its geopolitical position. After the Arab Spring uprising, Syria descended into a civil war in 2011. As the Syria crisis enters its ninth year, the magnitude of human suffering remains overwhelming, with 11.7 million people, including 6 million children, in need of humanitarian assistance. Up to 6.2 million people have fled their homes inside Syria and 5.6 million have been forced to take refuge in neighbouring countries. Without a political solution in sight, the conflict is likely to persist in 2019. The EU and its Member States have mobilised almost €17 billion inside the country and in neighbouring countries since the start of the conflict. According to European Commission data, the Syrian refugees migrated the most to Turkey, Jordan, Lebanon and Egypt. Turkey is currently hosting the largest number of refugees worldwide, with more than 3.6 million registered Syrians (<https://multeciler.org.tr/turkiyedeki-suriyeli-sayisi/>). A limited number of refugees are living in camps settled around the border, and others are spread throughout Turkey (European Commission, 2019). In particular, benefiting from the most basic human rights such as nutrition, education and health of migrants is an issue given the importance by the Republic of Turkey. For example, until 2016, about 21 million outpatient clinics, 1 million clinics, 184.390 births and 797.450 surgical services have been performed within the scope of health services provided to Syrian foreigners under temporary protection (http://www.goc.gov.tr/files/files/2016_yiik_goc_raporu_haziran.pdf).

This explosive and unexpected increase in the Syrian population in Turkey has had several negative impacts on health and social determinants (Doğanay and Demiraslan, 2016). In addition to these challenges to the Turkish healthcare system, Turkish healthcare providers currently have a large number of Syrian refugee patients with whom they have difficulty communicating because of language barriers (Doğanay and Demiraslan, 2016).

Only a minority of refugees speak Turkish before arriving. The inability to communicate fluently was a barrier, not only to integration, but also in managing the asylum process necessary to gain full access to the healthcare system. Language barriers also often present obstacles for refugees in obtaining quality healthcare. Accessing appropriate and quality healthcare is critical. Among refugee populations worldwide, language and translation issues are frequently cited as barriers to quality healthcare for both physical and mental health problems. Interactions with healthcare professionals, from discussing medical history to describing characteristics and duration of symptoms, can be daunting for those with limited language skills.

Refugees face language barriers to access to health services in every country they visit (McKeary and Newbold, 2010). Although this obstacle decreases spontaneously over time, considering the importance of health service, it is inevitable to produce a solution to the language barrier. The use of interpretation services to eliminate this obstacle in reaching their healthcare Syrian refugees in Turkey has been seen as a solution. However, the size of the refugee population and this population to be distributed to the different regions of Turkey, and also the lack of a sufficient number of Arabic translators is a significant challenge. This situation has forced the Ministry of Health and the WHO Regional Office of Gaziantep to find a new solution for refugees' health. In this context, with the project developed, it is aimed that bilingual people (Arabic and Turkish), who have received high school or university education, can undergo a structured short-term education and help the patients and healthcare workers to communicate. The project was planned in 2016 with the aim of raising 960 bilingual medical interpreters and patient guides and then employing them in the migrant health centres and health facilities.

The project "To provide and coordinate lecturers for the delivery of curricula developed by Ankara University and evaluation of the Adaptation Component for Refugee Health Trainings for Syrian Translators/Patient Guides", which was implemented between the years of 2016 and 2018, consists of three stages, including the preparation of educational materials, training and employment. The training phase of this project, which is the subject of this research, was carried out by faculty members of the Ankara University Faculty of Health Sciences. Training materials were developed by analysing the training needs of the participants. The same teaching staffs participated in 23 pieces of training with 1069 people. The training was carried out in six provinces which in Syrians' refugee live density such as Ankara, Izmir, Istanbul, Adana, Şanlıurfa and Gaziantep.

The people who will participate in the training have been determined by the exam made by the Department of Migration Health, the Ministry of Health and Yıldırım Beyazıt University, Department of Arabic Translation and Interpreting. The exam consists of open-ended questions to determine the level of speaking, writing and understanding in Arabic and Turkish languages. Although 960 people will be employed within the scope of the project, 1069 people have been invited to training due to the possibility that some participants may not be employed after the training.

Each of the training is five days and 35 hours and each participant was subjected to a test before and after the training. The training programme of bilingual interpreters and patient guide contains 4 modules. These are the Turkish health system, medical terminology, communication, and patient rights modules. Turkish health system module is a total of 7 hours training consisting of issues such as Turkey's healthcare organization structure, immigrant healthcare and health services. The medical terminology module is a practical training module that provides information about the basic structures of medical terms (prefix, suffix and roots) and medical terms about pathology, surgery, symptoms, and treatment. This module aims to provide the knowledge and skills that will help the patients and the healthcare workers in a short time and without mistake translating. This module consists of 10 hours of theory and 4 hours of practical training. The communication Module consists of 7 hours of interactive training. With this module, it is aimed to carry out activities that will improve the communication quality of patient guides with patients and healthcare workers. The patient rights module is a 7-hour training that includes information on patient rights and the ethical issues that may be encountered in healthcare. Each module was prepared by field experts in accordance with the learning objectives and the training was carried out by the same field experts. According to the results of before and after training examinations, participants who have at least 70% success are given a certificate of attendance. The aim of this study was to evaluate the effectiveness of the training given to the bilingual medical interpreter and patient guide.

Method

The aim of the study is to evaluate the effectiveness of the training program. A repeated measures design was used to test the program's effects before and after training examination results, participants' perception of the training and training organization. In this context, participants completed a 50-question before and after training exam designed to evaluate the effectiveness of the training (Table 1). The perception of participants on the training and training organization questionnaire

contains 12 statements on a 5-point scale (1=very inadequate, 2= inadequate, 3=neutral, 4=adequate, 5=very adequate). In addition to it was collected qualitative data from participants to be informed about their feelings about training and training organisation. In order to it was prepared an interview form which semi-structured and contains 12 questions that open-ended.

Table 1. According to the training modules, the number of pre-education and post-education exam questions and total score.

Training Module	Number of Questions		Total Score
	Pre-education Exam	Post-education Exam	
Turkish Health System Module	10	10	20
Medical Terminology Module	20	20	40
Communication Module	10	10	20
Patient Rights Module	10	10	20
Total	50	50	100

The quantitative data were statistically analysed using SPSS version 25.0. Data are described using mean and standard deviation or frequency and percentages. We used independent sample t-test and paired sample test analysis to explain differences before and after training exam results. The qualitative data were analysed by content analysis method. Between 2017-2019, a total of 23 pieces of training were completed and 1069 people were trained. Four people who did not participate in the before or after training exam were not included in the study.

The participants' rights were the first priority. Therefore, the participants were given written information about research. The anonymity of the participants was ensured by not collecting any personal identifiers.

Findings

Participants in the training, 23.7% (n= 252) were women and 76.3% (n= 813) were men. According to t-test results, there is no statistically significant difference between the pre-education and post-education exam scores of two genders (Table 2). However, the difference between the exams' score of all participants was statistically significant (t=-76,61; df=1064; p=0,000) (Table 3). This result shows that the bilingual interpreters and patient guides training has been successful.

Table 2. The t-test results of the difference between the means of pre-education and post-education exams score of gender

	Gender	N	%	$\bar{x}\pm SD$	Independent Samples Test		
					Test		
					t	df	P
Pre-Education Exam	Female	252	23,7	36,12±15,59	1,514	1063	0,130
	Male	813	76,3	34,56±13,94			
	Total	1065	100	34,93±14,35			
Post-Education Exam	Female	252	23,7	73,60±10,76	0,098	1063	0,922
	Male	813	76,3	73,52±11,72			
	Total	1065	100	73,54±11,50			
The difference between the pre and post education exams score	Female	252	23,7	37,4802±16,78	-1,252	1063	0,211
	Male	813	76,3	38,9643±16,33			
	Total	1065	100	38,61±16,45			

*P≤0,005

Participants' opinions on education were asked with six questions. At the end of the evaluation, the mean score of the participants related to education (4.48) was quite high. According to the statements, it can be said that the participants found the training adequate and satisfying. The highest average score of the participants (4.61) was expressed in the

statement about the adequacy of the educators (Table 4). This result is also supported by the analysis of the qualitative data that the participants have responded with their own expressions.

Table 3. The findings of the paired sample test of the difference between pre-education and post-education exams score

	n	$\chi \pm SD$	Paired Samples Test		
			t	df	P
Pre-Education Exam	1065	34,93±14,35			
Post-Education Exam	1065	73,54±11,50	-76,61	1064	0,000*

*P≤0,005

According to this, the common views of the participants were that the instructors were experts in their fields. The views of the participants can be summarized as follows. "The instructors were all experts in their fields. I learned a lot in a very short time. Topics were told in a nice and simple way." P1.

Table 4. Means of evaluation of the training programme

The questions of evaluations' the training programme	Mean (1=very inadequate; 5=very adequate)
Do you think the training has reached its goal?	4,32
Was the content/subjects of the training sufficient?	4,46
Was the teaching methods and techniques sufficient?	4,53
Were the lecture notes and visual materials used sufficient?	4,44
Were the trainers adequate?	4,61
Can you use this information in your work?	4,52
Total	4.48

When we look at the views of the participants on the duration of their education, it has seen that 50.7% (n = 540) stated that the education period was sufficient (Table 5).

Table 5. The participants' views on the duration of the education

Duration of the education	n	%
Too short	123	11,6
Short	270	25,3
Adequate	540	50,7
Long	97	9,1
Too long	35	3,3
Total	1065	100

When the views of the participants on the organization of education are examined, it is determined that the highest score is related to transportation (4,49) and organization of courses (4,48). The lowest score was found to be related to accommodation (room, service, meals, location of the hotel etc.) (4,31). The overall satisfaction rate about the organization was found to be quite high (4.41) (Table 6).

Table 6. The perception of participants on the organization of education

Expressions	Mean (1=very inadequate; 5=very adequate)
Information and communication before training	4,41
Training place	4,36
Organization of courses (starting on time and ending in time, order etc.)	4,48

Transportation	4,49
Accommodation (room, service, meals, location of hotel etc.)	4,31
<hr/>	
Total	4,41

Participants' responses to open-ended questions support quantitative results. The vast majority of participants thought that education has reached its goal. In addition to this, they told that the subjects they did not know before in education, even that they even learned the subjects they thought would be hard to learn like medical terms and they could use this information in medical interpreting and guidance services. However, some participants complained about the shortness of the training period. In order to reinforce the information given, they indicated that the training period should be longer or should be repeated at regular intervals. Participants are highly satisfied with the content of the training, the trainers and the organization. Besides positive opinions about education, they have criticism and suggestions. They have often been related to educational materials and accommodation. Some of the interviewees said that the use of video content in the lessons could be more effective, the lesson hours could be shorter and social organizations could be added.

Discussion and Conclusion

The health of refugees is a big problem all over the world. The fact that immigrants cannot speak the language of the host country is the biggest obstacle in accessing health services. As a solution for eliminating this barrier, the use of people who speak both languages could be as a useful option. However, in this context, it is not enough for the medical interpreter to speak and write only these languages. The interpreter's ability to provide accurate translation and guidance in the time of the patient's access to quality health service depends on own skills and knowledge such as communication, medical terms, healthcare organisation and medical ethics. In short, medical translation requires quite different knowledge and understanding than other translation services. First of all, this person, who will help the patient and the patient's relatives, should know the host country's health system, health organization and bureaucratic structure. The fact that immigrants cannot speak the language of the host country is the biggest obstacle in accessing health services. As a solution for eliminating this barrier, the use of people who speak both languages is used as an option.

However, the translator does not simply transfer the patient's problems to the healthcare workers when translating. At the same time, healthcare workers also inform the patient and his relatives. This information often contains medical terms. Therefore, the interpreter should be familiar with the widely used Greek and Latin medical terms.

The medical interpreter should be familiar with two different cultures, know the rules of verbal, written and non-verbal communication and be able to use them in communication. Another important issue that differentiates health services from other services is patient rights. In this context, the medical interpreter should be able to demonstrate the sensitivities of knowing the basic principles of medical ethics and legal situations such as autonomy and privacy of the patient.

To provide all of this knowledge and skills, as seen in Turkey example, has benefited from a short-term medical interpreter and patient guidance training program. In this context, 1069 people have been trained between 2016-2018 with the training program prepared in accordance with the training needs. In this study, in which we evaluated the effectiveness of the training program, it was observed that the results of both the male and female participants were significantly different before and after the training. On the other hand, it was observed that the participants achieved the aim of education with their statements, they were equipped with the information they could use in medical translation and guidance activities and they have found that the education and training organization is satisfactory in general.

As a result, bilingual medical interpreter and patient guides can be trained as a solution to improve migrant health in a short time with such training. However, repeating training at regular intervals and including audio-visual items in the materials used should be seen as another factor that increases the effectiveness of education. It is thought that these research results will contribute to the development of similar trainings.

References

- [1] Doğanay, M. and Demiraslan, H. (2016). Refugees of the Syrian civil war: impact on reemerging infections, health services, and biosecurity in Turkey. *Health security*, 14(4), 220-225.
- [2] European Commission. (2019) https://ec.europa.eu/echo/where/middle-east/syria_en, 27.04.2019

- [3] http://www.goc.gov.tr/files/files/2016_yiik_goc_raporu_haziran.pdf (accessed 15 April 2019)
- [4] <https://multeciler.org.tr/turkiyedeki-suriyeli-sayisi/> (accessed 15 April 2019)
- [5] McKeary, M. and Newbold, B. (2010). Barriers to care: The challenges for Canadian refugees and their healthcare providers. *Journal of Refugee Studies*, 23(4), 523-545.
- [6] United Nations High Commissioner for Refugees 2017 UNHCR Global Trends: Forced Displacement in 2017, UNHCR, Geneva. <http://www.unhcr.org/5b27be547.pdf> (accessed 18 August 2018)

Financial Determinants of Public Investment Strategic Management

Benedykt Opalka

PhD, Warsaw School of Economics, Department of Regional and Spatial Development, Unit of Management in Public Sector, 41 Wisniowa St., 02-520 Warsaw, Poland

Krzysztof Jarosiński

Associate Professor, PhD, Warsaw School of Economics, Department of Regional and Spatial Development, Unit of Management in Public Sector, Head of Unit, 41 Wisniowa St., 02-520 Warsaw, Poland, kjarosi@sgh.waw.pl

Abstract

Strategic management of investment projects in the public sector seems to be one of the more complex phenomena observed in the sphere of implementation of public investment tasks. The complexity of investment processes is influenced by a number of factors with varying impact. First of all, attention should be paid to the high capital intensity of public investment and the associated significant extension of the investment cycle. As a result of the impact of these factors, public investments in most cases require large capital expenditures, and their implementation takes much longer than, for example, in industry. Secondly, public entities responsible for the implementation of investments are in a quite specific situation, which means the continuous development of various components of technical and social infrastructure. Therefore, it is necessary to indicate the strategic dimension of these investments and, consequently, the necessity to use appropriate methods of financing and managing these investments. In principle, the main source of financing public investment is, and probably will remain, the state budget, and in relation to local self-government - the budgets of these units, and therefore public resources. The purpose of the paper is therefore to present the complexity of the issue of financing public investments in relation to the identified conditions for the development of socio-economic infrastructure, financed from public funds. The study has undertaken theoretical research on public investment and research on the possibility of implementing effective management methods in strategic perspective.

Keywords: management in public, public finance, strategic management, investments.

Introduction

Socio-economic transformation in the countries of Central and Eastern Europe and changes in the system of transnational economic connections triggered new development impulses and pointed to the new position of public sector entities and units. In democratic systemic conditions, the scope of tasks and competences of the state as well as the tasks and competences of the reactivated territorial self-government were re-defined. The public sector has become a full-fledged institution of public life organization at the local and regional level, with far-reaching competences in the area of creating directions of development.

The budgets of public sector entities have become an important instrument for the implementation of the socio-economic development policy at the regional and local territorial level. In particular, regional and local government units obtained within their budgets the right to collect income and finance current tasks and development investments. What's more, the tendencies of contemporary changes in the area of financing development processes are related to the increase of autonomy of public sector units at the regional and local level and with the promotion of managerial competences, directed at greater activity and responsibility for undertaken tasks, with successive implementation of new, more effective strategic planning and forecasting solutions effects of activities for future periods.

The submitted study is aimed to determine the financial factors defining the activity of public sector entities in the scope of shaping the level of socio-economic development in the strategic perspective through planning, financing and implementation of public investments, including the division into different levels of competence. In the budget economy of

public sector entities, the most important financial category that is related to the financing of investments are resources that can be used within the balanced budget for financing investments. In such circumstances, therefore, attention should be paid to the autonomous nature of the budget and restrictions resulting from the financial policy taken to conduct specific investment projects. Despite the existing possibilities of using funds for investments from other sources, in the form of subsidies or credits and loans, the basic condition for the correct financial management of public entities is to maintain the principle of balance between budget expenditures and incomes. Regardless of the choice of the investment financing path, the condition of budget balance must be maintained in the long term.

Paying attention to the financial determinants of strategic management of investments in the public sector, one should first examine the own investment financing options based on the own resources. This approach seems justified even when the financing of investments is based on external sources of financing, as the situation may be short- or medium-term, while the condition of budget balance must be maintained in the long term. Bearing in mind the various complex methods of financing investments using funds from diversified sources, it seems that the main position here is the possibility to use the own funds and only then the funds coming from outside the resources of a given public entity, and even outside the public finance sector. An important role here is played by long-term management of public resources and the search for optimal structures from the point of view of financing socio-economic development.

Strategic management of the investments in public sector

In the research on shaping future social and economic phenomena, the particular attention should be paid to strategic management instruments, long-term investment programs, or long-term asset management being the subject of public sector entities' activity. Strategic management in the above approach is connected with practically continuous implementation of the decision-making process, the effects of which are directly related to achieving the quality of life of the inhabitants of a territorial unit (Jarosiński, Grzymala, Opalka, Maśloch, 2015, pp. 33-39). The scope of competences and responsibilities of public sector entities may be reflected in many areas of administrative activity, but also in investment activities, which largely determine the effects of shaping development conditions in the short term and in a long-term perspective (McCartney, 2015, pp. 23-42).

Long-term socio-economic development is a complex process, which consists of factors of varying strength and range of impact. Thus, we are dealing here with short-term impact factors, which come from sphere of operational management, referring to the existing resources and we are dealing with a group of factors that affect the development processes in a multi-year perspective. It cannot be unambiguously determined which group of factors is more important from the point of view of improving living conditions and objectives of socio-economic development. On the one hand, the level and quality of current consumption, which constitutes the assessment of living conditions, will have a greater subjective significance for recipients. On the other hand, strategic development factors are essential to meet society's needs in future years.

In practice, the strategic dimension of development must refer directly to investments that will be carried out in the future or investments that will have a reconstruction character in relation to economic entities operating currently, and maintaining their technical efficiency will require this type of investment. For these reasons, it seems that the strategic dimension of development is much more complex than running the current operating activity of public sector organizational units. This complexity results from the need to determine the scope of future tasks, which could successively be defined and implemented as investment projects, and this complexity is connected with the necessity to establish a long-term path of financing future investment projects. It is the time dimension that makes forecasting of future phenomena a methodological problem and may become a development barrier in the financial dimension.

The long-term nature of the activities of public sector entities, practically unlimited in time, means that the correct implementation of tasks and achieving goals involves taking into account a large number of variables that appear both during ongoing operations as well as when defining future goals and methods achieving these goals in the strategic planning process. The key problem is therefore the approach to the development processes of public sector entities, where it would be possible to combine and correlate individual residents' goals, economic goals of enterprises operating in market economy conditions, social goals of the state and local government units. An additional difficulty associated with the long-term recognition of development processes is the uncertainty strongly associated with forecasting future phenomena, which are considered to be elements of risk affecting the achievement of the assumed goals.

The strategic dimension of development can be the platform for making long-term decisions of a comprehensive nature at a defined level of generality, which is why it is considered to occupy the top-level hierarchy of the management process. Hence, decisions regarding future and remote matters fall into the category of strategic management. An interesting, though complex definition of strategic management was proposed by D. Schendel and Ch. Hofer. They focused on four key stages of strategic management. The first stage is to set the goals of the organization being studied, the second stage is to formulate strategies based on defined goals. The third stage is the implementation of tasks included in the strategic plan, which means implementing the strategy as a necessary transition from the analysis stage to the administration stage, that is to the activities that should lead to the achievement of the set objectives. At this stage, the main stimulators are internal processes in the organization and individual reactions that can force a change in the adopted strategy. The fourth stage, which is strategic control, provides the management of the organization with feedback on the progress achieved in the implementation of the strategic plan (Schendel, Hofer, 1978, pp. 12-64).

In the case of Central and Eastern European countries, which faced the necessity to implement the strategic management methodology in the newly shaped public sector, external role models using the experience of highly developed countries played an important role. An example of the practical approach to the methodology, which can be considered as still valid are the elements of strategic management formulated by N. Berman in relation to local government units at the local level. The author proposed the separation of eight stages in the process of preparing a municipal development strategy (Berman, 2000, pp. 16-20).

Particular importance in his methodology N. Berman applied to ensure the proper composition of the team undertaking work on the strategy document. He drew attention to the great importance of cooperation between representatives of public sector entities and private sector entities. This solution was supposed to increase the chances of a social consensus towards goals and future projects. The appointment of team members should lead to full use of the intellectual potential of the local community. He paid attention to conducting a diagnosis of the existing state and gathering as wide a range of information as possible about factors both internal and external, which may affect the development opportunities of the community. An important part of strategic management would be to identify the most important socio-economic issues that will form the core of the strategic plan. For this purpose, it would be necessary to conduct a SWOT analysis and identify the most important opportunities and threats (external conditions) and strengths and weaknesses (internal conditions) of the community. Only on this basis would it be possible to define objectives, programs and tasks. This work should be done by task subgroups created as a part of the main team appointed to prepare the strategy. After such activities, it would be possible to compile partial results and integrate the prepared action plans in one document to achieve individual strategic goals. At the same time, a social agreement should be reached regarding the final provisions of the strategy, the financial resources needed for their implementation, as well as the determination of competences and responsibilities for the implementation of particular parts of the strategy.

The next stage would be to implement a strategic plan with the cooperation of public authorities, institutions and organizations, private enterprises, involving their resources for development. An essential element of the strategic management process should be monitoring and, as if necessary, updating of the plan. The monitoring process should include an assessment of the state of implementation of strategic projects, along with an assessment of the real impact of the strategy on socio-economic factors. The basic aspects to be monitored are: compliance of project implementation with the planned schedule, funds spent compared to the planned ones, changes among process partners and the external environment that may trigger the need to change the plan and significant changes in the core indicators of economic development. An important scope of activities should be periodic adjustments in the strategy, taking into account the society's needs, in which significant changes may occur in time points of plan verification.

Financial issues determining investments processes in the public sector

There is no doubt that investments carried out in the public sector are considered one of the most important factors affecting growth and socio-economic development. This is because public investment can significantly stimulate the processes of socio-economic development, especially by stimulating private investment. Taking into account the fact that public investments usually refer to infrastructure in the social and economic dimension, it can be assumed that development is determined to a large extent by factors of an infrastructural nature. In addition to other factors, whose list is long and the range of their impact varies - from the local scale to the global dimensions, it is the infrastructural condition of development that seems to play the most important role. The low level of infrastructure development is a serious limitation of the potential conditions for socio-economic development and is usually of interest to economists who are looking for methods and ways

to quickly remove the infrastructure barrier. However, this problem involves significant financial outlays that must be allocated to financing infrastructure investments.

It can therefore be assumed that in most cases the determinants of socio-economic development are related to the possibilities of financing investments in the public sector. This paper is not about considering the scope and impact of different development factors determining long-term socio-economic processes, but rather focusing on paying attention to several of them, i.e. the availability of own budgetary resources for investments, the availability of private enterprises' funds targeted at public investment, the possibility of subsidizing public investment, the possibility of implementing investments under the public-private partnership formula and some other indirect factors.

It should be remembered that investment processes in the public sector for many reasons are characterized by high complexity and always require research in a broader context of conditions. As it results from the observation of the current course of the implementation process of strategic development plans, the implementation of investments in the technical and social infrastructure, encounters significant difficulties, not only in terms of acquiring investment capital. The actual scale of the problem covers a broader subject range, however, the financial barrier limiting the acquisition of key resources enabling correct implementation of all stages of strategic management is not without significance.

Taking into account the presented specifics of investing in public sector conditions, the main groups of factors of a financial nature can be distinguished, which determine the effectiveness and efficiency of shaping socio-economic development in strategic terms through the implementation of investment projects.

The first group should be the issues of the possibility of raising funds for investments. As indicated earlier in this study, the starting point should be the assessment of financial factors underlying the basic activity of public sector entities in the context of own investments. The basic source of financing the investments of public sector entities are usually own funds collected and expended within the budget of the relevant units. The analysis of budgets of public sector entities is an important direction in the study of factors shaping investment opportunities due to the direct dependence of sources of budget revenues on the condition of the economy and previously shaped development processes. For these reasons, investment policy at various territorial levels of the public sector requires the collection and updating of information from research on the systematic development of sources of budget revenues of state government and local government sector entities and the identification of real flows of financial resources within budgets of these units .

Previous research carried out within the European Union shows that in some Member States there is a persistent shortage of budgetary resources that could be allocated in local government units for financing development tasks. The list of disclosed investment needs and budgetary resources of these units, which may be allocated for investments, leads to unequivocal assessments of the current situation in the public sector characterized by the occurrence of serious difficulties in the implementation of statutory own tasks. This results in dilemmas in how to finance infrastructure projects, which in particular in rural areas or in the vicinity of metropolitan areas are considered as a necessary factor in improving the quality of public services, conditioning the achievement of a sufficiently high dynamics of economic development processes (Kessides, 1993, pp. 3-39).

The main source of support in financing public investments in the situation of the deficit of own funds of public sector entities in the European Union countries is still the EU cohesion policy and, consequently, support in the form of subsidies from the EU budget under structural funds, as well as other forms of financing. Due to well-recognized and characterized in the literature the conditions and principles of shaping the assumptions and actions of cohesion policy, it was recognized that in this paper there is no need for their detailed presentation. It is worth noting, however, that the implementation instruments of cohesion policy have resulted in significant changes in the approach to the creation of own investment policy at the level of both Member States as well as regions and local territorial self-government structures. These changes from the perspective of states benefiting from subsidies from the EU budget included, on the one hand, the possibility of increasing the volume of investment expenditures, and thus increasing the material scope of new investments, on the other hand, cohesion policy affected through pre-defined development priorities preferences and decisions regarding directions and scope of investments in the public sector. It can be concluded that the use of subsidies from the EU budget has significantly changed the rigors of public investment financing by including in the investment part of the budgets an additional volume of financial resources, which in practice are equivalent to own funds. However, it should also be borne in mind that this is a temporary situation and, in a certain perspective, it will be necessary to return to financing the development based on own funds or turn to a wider use of funds for investments coming from the financial market.

In the above situation, in terms of the significant determinant of long-term investment opportunities, external return sources of financing should be analysed, mainly in the form of commercial loans or bond issues. It is worth emphasizing that the specifics of investments in the public sector and their socio-economic conditions do not have to cause little interest in such investments from capital markets and resign from the possibility of financing investments by raising funds through credit or bond issuance. However, the problem is the limited ability of public sector entities to increase the level of public debt, assessed primarily in the context of the ability to provide ongoing debt service. The criteria for assessing this ability arise from the law, while the results of its assessment shape the creditworthiness of public sector entities, and consequently affect the attractiveness of the conditions for raising investment capital from the financial market.

In the above conditions, and at the same time in view of the significant pressure on the state budget and budgets of local government units, towards the implementation of new investment projects, there was interest in joint investment projects in the public-private partnership in the scope of public sector tasks. The mismatch of own revenues of public sector entities to the changing scope of their own tasks, which is observed mainly in countries with significant investment needs in the field of infrastructure, should be considered as the basic premise for seeking new forms of co-financing investment projects. On the other hand, the issues of benefits from the involvement of private capital in investment projects, which at the same time allow social functions and provide a source of income for private enterprises acting as an investor or operator of infrastructure facilities, are no less important. In strategic terms, an important feature of public-private partnership is the establishment of long-term cooperation between a public entity and a private entity in order to implement projects in the field of services of general interest, it is important to preserve the principle of separateness of participating entities and to guarantee conditions for achieving separate goals of these entities with simultaneous division of responsibility for managing project risk factors between partners.

The shaping of new forms of cooperation between the public and private sectors is connected with the necessity of transferring instruments and forms of management of relevant private sector entities to the functioning of the public sector. In recent years, this was due to the impact of market factors, but also as a result of active processes supporting the development of public-private partnership by the European Union. The formula of hybrid projects developed and settled by EU regulations was used to take advantage of the combined subsidy possibilities from the EU budget and the public-private partnership formula. Following the definition of this form of investment financing, meeting the compliance criteria in the EU cohesion policy directions and allowing the use of investment capital and know-how of private partners, detailed organizational solutions and management methods in the current and long-term are developed.

At the end of this part of the research, it is worth paying attention to some factors having an indirect impact on the possibilities of making and successfully implementing investments in the long-term perspective. It should be mentioned here the financial outlays necessary to acquire qualified human capital resources for public sector entities, which would allow to gain or strengthen the ability to financially compete in the labour market for the acquisition of specialists with high competences in the field of strategic management and implementation of investment projects. Taking into account the conditions of investment processes characterized earlier, it can be expected that the involvement of specialists with qualifications that ensure abilities to multilevel and complex analysing of investment projects in the public sector is a prerequisite for obtaining satisfactory results from the implemented strategic development plans (Randolph, Hefley, Bogetic, 1996, pp. 37-47). In this group, one can also indicate the need to bear the financial outlays necessary to acquire knowledge and methodology in support of planning processes and implementation of public investments. Such expenditures may refer to providing access to current methods of strategic management and evaluation instruments of investment projects, methods of social cost and benefits assessment, as well as to purchase of computer software supporting project management processes and also providing employees in public sector units with opportunities to improve their skills and competences on the strategic management issues.

The above-described indirect factors determining the financial aspects of management of public investments result from the contemporary conditions of the market economy, forcing to a greater extent the pursuit of achieving a certain level of economic efficiency necessary for operations, in particular investments undertaken by public authorities (Laursen, Myers, 2009, pp. 7-17). The increasing pace of civilization progress is shaping the rise in social expectations, including both the need to implement new technologies and stricter environmental requirements, which usually requires more funds for the construction, maintenance and modernization of infrastructure elements (Messere, de Kam, Heady, 2003, pp. 45-46). Striving to achieve an increase in the level of meeting social needs in market economy conditions in the case of public sector activities requires adapting contemporary management concepts, including searching for solutions that enable

strategic management of financial resources used for programs and projects serving social and economic development goals. This corresponds to the directions of an ever-current debate on the role that the public sector should play in the economy and on the methods used in the processes of managing public service units adopted from management practice of profit-focused enterprises (Newman, 2000, pp. 49-52). The practical dimension of the responsibility of entities and public sector organizational units for financing and implementation of their own tasks therefore takes various forms in the organizational, technical, legal and financial dimensions and shapes the ability to adapt to changing internal conditions and the external environment.

Financing of the long-term public investments

Financing investments of public sector entities should be considered a much more complex issue in relation to the situation occurring in enterprises in the private sector, where investments are aimed at achieving quite narrowly defined development goals. In the public sector, we are dealing with a process approach to development problems, consisting in the implementation of a long-term investment policy, developed as a result of a social consensus in the form of a democratically set hierarchy of goals, tasks and securing financial resources for their implementation. This process is strongly conditioned by endogenous factors, and therefore factors characterizing the general potential of a given unit. These factors play a fundamental role in the long-term development process, although to some extent they are in a permanent or only transient manner, modified by groups of exogenous factors (Diamond, 2006, pp. 24-25). In fact, public sector entities must focus their attention on a properly conducted long-term budgetary economy and implementation of identified hierarchical development goals. It is also important to identify potential sources of investment financing under external measures, in particular non-repayable funds, but also to use commercial credit facilities. An essential stage in planning and design activities should be the development of the financing path, including the identification of sources of financing, as well as establishing the rules for servicing possible debt. In practical terms, it allows to provide sources of financing for development policy and adopted strategic goals.

The subject of the conducted empirical research, the results of which were included in this study, were investment expenditures in relation to GDP, made in EU Member States in the enterprise sector and in the public sector in 2006-2017 and also gross fixed capital formation in the general government and at the local government level in 2009-2018. In the period covered by the study, business investment expenditures in relation to GDP in EU Member States were at a clearly varied levels, however in 2016 they did not exceed 20.0%, except for Ireland, where they amounted to 31.9% in 2016. The relatively high level of the indicator in the discussed period was recorded in rich EU countries. Selected data in this respect are presented in Table 1 and illustrated graphically in Figure 1 and Figure 2.

Table 1: Investment by institutional sectors as % of GDP in selected EU countries in selected years (2010-2017).

Specification	2010			2014			2017		
	Total investment	Business investment	Government investment	Total investment	Business investment	Government investment	Total investment	Business investment	Government investment
Greece	17.6	6.6	3.7	11.5	5.3	3.7	12.9	6.0	4.5
Portugal	20.5	10.7	5.3	15.0	9.8	2.0	16.6	11.3	1.8
Italy	19.9	9.9	2.9	16.7	8.9	2.3	17.6	10.1	2.0
Poland *	20.3	9.7	5.6	19.7	10.4	4.5	18.07	10.35	3.28
Germany	19.4	11.4	2.3	20.0	11.7	2.1	20.3	11.9	2.2
Spain	23.0	12.5	4.7	19.3	14.2	2.2	20.5	15.2	2.0
Netherlands	19.7	10.2	4.2	17.6	9.7	3.5	20.5	11.3	3.4
EU 28 countries	20.5	11.5	3.5	19.9	12.1	2.9	20.8	12.9	2.8
Latvia	19.4	12.2	4.7	22.6	15.0	4.5	20.9	13.5	4.4
Denmark	18.1	10.4	3.3	19.2	11.6	3.9	21.2	13.3	3.4
Slovakia	22.1	13.6	3.6	20.7	12.4	4.0	21.4	13.6	3.2
Finland	21.9	11.8	3.7	20.6	10.5	4.2	22.2	11.5	4.1
Hungary	20.2	12.6	3.7	22.2	13.8	5.3	22.2	13.9	4.5
Romania	26.1	14.7	5.7	24.3	14.6	4.3	22.4	13.9	2.6
France	22.1	11.8	4.2	21.8	12.4	3.7	22.5	13.2	3.4
Ireland	17.5	10.7	3.4	20.7	16.5	2.2	23.5	19.7	1.8
Belgium	21.8	13.4	2.3	23.0	14.8	2.3	23.5	15.5	2.2
Austria	21.6	13.1	3.3	22.7	14.6	3.0	23.6	15.4	3.1

Czechia	26.9	16.0	5.1	25.1	16.5	4.1	24.8	16.7	3.4
Sweden	22.3	14.8	4.5	23.1	16.3	4.4	25.0	17.0	4.6
Norway	20.7	12.1	4.1	23.8	13.6	4.6	25.0	13.1	5.3

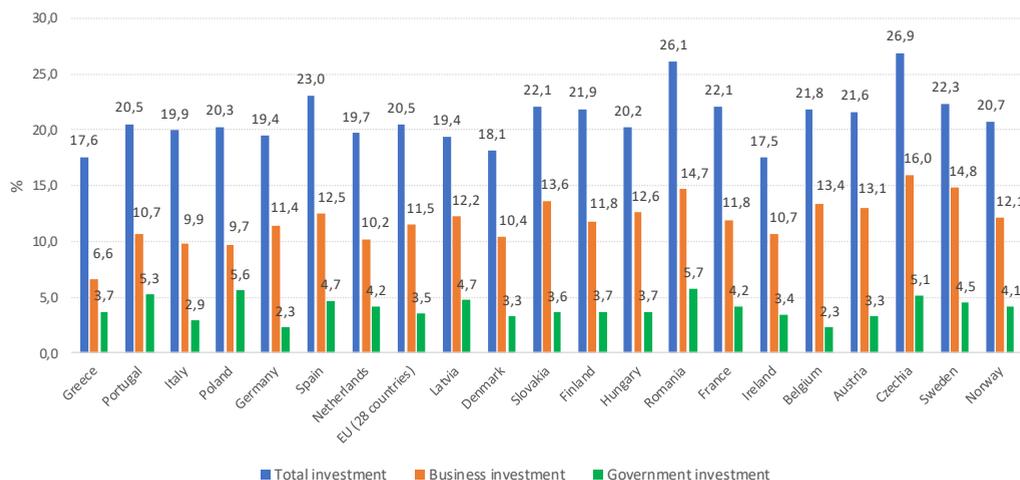
* data for Poland in 2017 were estimated on the basis of Eurostat information for 2016.

Source: own study based on data from Eurostat

<https://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&language=en&pcode=tec00132&plugin=1>, connection of 11.04.2019.

In the initial period of the analysis, i.e. in 2006, a relatively high share of business investment expenditure in GDP was recorded in Bulgaria 20.9%, in Romania 19.8%, in Lithuania 18.0%, in Slovakia 17.9% and in Slovenia 17.2%, as well as in the Czech Republic 17.1%. The general regularity in 2006, which was noted during the research, was the relatively higher value of the indicator in poorer EU countries, which joined the EU in 2004 and at the same time relatively lower value of the index in rich states: in Germany 11.9%, in France 11.8%, the Netherlands 9.7% and in Denmark 12.6%. It should be assumed that this relatively higher value of the indicator was associated in some of the countries mentioned above (except for Bulgaria and Romania), including them in the system of financing programs within the EU cohesion policy. In the following years, the investment situation in the enterprise sector was similar, although the values of the indicator in some Member States fluctuated slightly. And so, in 2017 the highest value of the index was recorded in Ireland 19.7%, in Sweden 17.0% and in the Czech Republic 16.7% and in Austria 15.4%. The lowest value of the indicator was recorded in 2017 in Greece at 6.0%. It is worth noting that the level of the indicator in Greece significantly differed from the situation in other Member States and fluctuated around 7.8% - 4.5% throughout the discussed period. It should be noted that in 2017, as in previous years, there were marked differences in the values of this indicator.

Figure 1: Investment by institutional sectors as % of GDP in the year 2010.

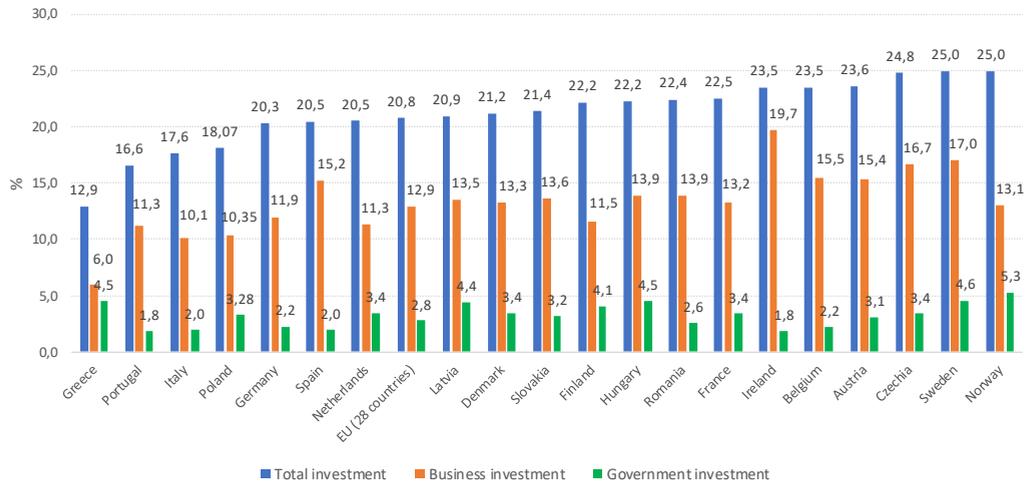


Source: own based on data in Table 1.

The value of the indicator covering government sector investments was significantly lower and varied in individual Member States throughout the period considered. In 2006, the highest value of the indicator was recorded in Greece, 5.7%, and then in Estonia 5.4%, in Hungary 5.1% and also in Romania 5.3%. At the same time, the lowest values of the indicator were recorded in relatively richer countries, i.e. in Belgium 1.9%, in Germany 2.0% and in the United Kingdom 2.5%. Such a distribution of the value of the ratio seems to be justified because public expenditure on investments in a wider scope was implemented in countries with a low level of infrastructure development, while they were lower in rich states with good infrastructure equipment. Noteworthy is the relatively high value of the indicator in Estonia. In 2017, it reached the highest value among the Member States and amounted to 5.4%. The asymmetry of the indicator value in 2017 was maintained in accordance with the previously noted regularity, that in less wealthy countries the value of the indicator was higher than in

the relatively richer countries. The distribution of the indicator in 2017 suggests that the process of equalizing the disproportions in infrastructure equipment has not yet finished, hence the greater share of investment expenditure in GDP was observed in some countries.

Figure 2: Investment by institutional sectors as % of GDP in the year 2017.



Source: own based on data in Table 1.

The conducted analyses may indicate, therefore, that the investment policy pursued by the public sector entities still concentrates on identifying and implementing infrastructural tasks, which in detail includes investments to maintain and restore existing fixed assets, as well as the implementation of new material investments, in accordance with the needs of society and local communities. The ability to effectively implement the above investment policy objectives results from both the legal and organizational conditions of the functioning of public sector entities as well as the degree of their financial independence. These conditions are reflected in the structure of strategic goals of socio-economic development, defined in the planning documents of the state and public sector units at various territorial levels (Szostak, 2009, pp. 66-67).

In the strategic plans of local government units, it is evident that these units are focusing on the pursuit of the highest possible share of investment expenditure in the total budget expenditure. However, such assumptions of the local investment policy are connected with numerous conditions, especially on the side of current expenditures, including those related to servicing previously contracted obligations. Therefore, the funds to be targeted in the future to support development are inherently a result of two basic cash flows, i.e. budget revenues and current expenditure. This means that investment projects cannot always be transformed into real investment projects, which can be financed and implemented, precisely because of the shortage of own budgetary resources for investments. The more valuable are the possibilities of obtaining non-returnable external aid for development purposes, resulting, for example, from subsidizing ventures from the European Union budget as part of cohesion policy and specific instruments for its implementation.

Current trends of changes in the global economy and a significant scope of public support directed to the objectives of social economic development through plans and programs created and coordinated not only at the central administration level indicate the need for in-depth analysis of development problems from a regional and local perspective (Parr, 2001, pp. 10-12). The essence of the regional approach to economic and social processes refers to the identification of development potential of the region itself, external conditions constituting the region's position in relation to the business environment, as well as defining competences and interdependencies between entities having access to various economic resources of the region and creating opportunities and forms of exploitation these resources. Against this background, it is worth pointing out the special role of public sector entities at the regional and local level in shaping development phenomena (Nafziger, 2006, pp. 362-391).

As for the value of gross fixed capital formation in the public sector, there were very significant differences between the EU Member States. As a general rule, in terms of the value was higher gross fixed capital formation in large countries with a relatively large population, while at the same time small outlays in small countries. For example, in 2018 in France, the value of gross fixed capital formation at the level of general government reached almost EUR 80 billion, while at the same time in Lithuania amounted to just over EUR 1.5 billion. Selected data in this respect are presented in Table 2 and illustrated graphically in Figure 3.

Table 2: Gross fixed capital formation in General government and in Local government in selected EU countries in selected years (2010-2018) in bln euro.

Specification	2010		2014		2016		2018	
	General government	Local government	General government	Local government	General government	Local government	General government	Local government
EU 28 countries	451.0	196.9	409.7	180.7	405.2	169.5	454.1	198.3
Belgium	8.4	2.8	9.4	2.9	9.3	2.6	10.8	3.6
Czechia	8.0	3.8	6.5	3.5	5.7	2.3	8.5	4.4
Denmark	8.0	3.7	10.3	4.5	10.7	4.5	10.2	4.7
Germany	59.5	22.6	60.6	21.6	68.2	23.2	78.9	27.5
Ireland	5.7	3.2	4.3	0.7	5.3	1.2	6.5	1.4
Greece	8.3	2.1	6.6	1.2	6.1	1.2	5.6	1.2
Spain	50.7	15.5	22.3	5.4	21.7	5.1	25.4	6.6
France	82.9	44.2	79.6	46.1	75.1	40.3	79.7	46.2
Italy	46.8	25.4	37.0	20.2	35.8	19.2	37.1	18.1
Latvia	0.8	0.5	1.1	0.5	0.9	0.3	1.6	0.7
Hungary	3.6	2.2	5.6	2.0	3.5	0.9	7.7	1.8
Netherlands	26.7	14.6	23.5	12.8	24.7	12.9	26.3	13.8
Austria	9.6	2.5	9.9	2.9	10.6	3.0	11.5	3.4
Poland	20.2	10.6	19.1	10.3	14.0	5.6	23.2	12.2
Portugal	9.5	3.0	3.4	1.5	2.9	1.4	4.0	1.9
Romania	7.2	2.7	6.4	3.3	6.2	3.1	5.4	3.2
Slovakia	2.4	1.1	3.0	0.7	2.6	0.6	3.2	1.1
Finland	6.9	3.6	8.6	4.6	8.9	4.8	9.7	5.5
Sweden	16.7	7.1	19.0	9.5	20.4	10.7	22.4	12.7
Norway	13.4	6.2	17.3	7.1	17.8	7.6	20.1	8.2

Source: own study based on data from Eurostat

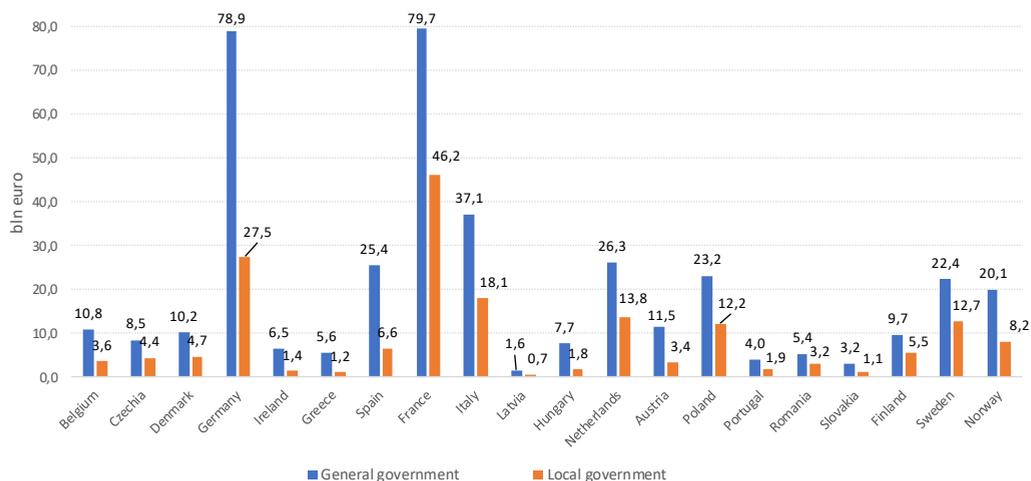
<https://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&language=en&pcode=tec00132&plugin=1>, connection of 11.04.2019,

The general value of public sector investment expenditures consists of government sector expenditure and expenditures of the local government sector. The combination of these two groups of entities clearly shows that in the discussed period, the government sector's gross fixed capital formation prevailed, although in some countries its value in the self-government sector was significant. Discrepancies in this respect were also very large and were conditioned by the size of the state, population, economic and development potential. These differences were not without impact on the financing possibilities of infrastructure investments, the more so as the investment costs are similar in all EU countries, and therefore, in those with smaller resources, the factual investment volume may be limited.

The structure of public gross fixed capital formation broken down by the state government and the local government was diversified. In 2009, a relatively higher share of gross fixed capital formation in the local government sector was recorded in Ireland, 62.4%, in France 57.2%, in the Netherlands 57.2% and in Latvia 55.6%. In the majority of EU Member States, this share was at a level of 30 to 45%. The relatively lowest share of local government gross fixed capital formation was recorded in Cyprus and Malta. It should be assumed that the structure of public gross fixed capital formation in general was conditioned by organizational solutions referring to the relationship between the government and the local self-government. Thus, a greater range of competences and greater financial independence could result in relatively higher expenditures compared to EU Member States. Diversification in this respect persisted throughout the period considered. It should be emphasized, however, that in 2018 the share of gross fixed capital formation of the local government sector in general government's gross fixed capital formation in the majority of the countries surveyed was slightly lower than in the base

period of the analysis. In some of them, the structure has changed in favour of the local sector, such as in Bulgaria, the Czech Republic, France, Italy and Romania. It should be recognized that the existing structure of general government's gross fixed capital formation in general, broken down by the state government sector and the local government sector, is relatively stable and stable, which confirms the proper relations between public administration at the state level and public administration at the local government level.

Figure 3: Gross fixed capital formation in General government and in Local government in selected EU countries in the year 2018 in bln euro.



Source: own based on data in Table 2.

In the examined countries of the European Union, there was undoubtedly a change in ways of approach to the problem of management in public sector organizational units, including local government units, which aimed at improving the efficiency and efficient conduct of public investment, as well as the current functioning of public service providers. Therefore, it can be expected that also the role of local government units at the regional and local level in the implementation of the total volume of investments in the public sector will increase in the coming years.

Conclusions

Strategic management in the public sector is an important factor influencing the effective and efficient use of endogenous financial and organizational resources to meet the collective needs of the local community. Contemporary challenges and development trends increasingly require the use of strategic management instruments in an integrated approach, which strengthens the possibilities of identifying future needs, on the basis of which specific investment projects can be formulated, and leads to better organization and sequential financing of investments in the longer term.

Strategic management and long-term financing are at the same time an important factor in improving the internal situation of public sector entities. Recognition of the current situation and reliable development of the diagnosis of the existing state is a good starting point for the preparation of strategic development plans, defining the path of financing future investment projects and facilitating operational management and strategic management of public sector entities.

Strategic planning in the public sector is a good starting point for a broader approach to the processes of socio-economic development. This applies to issues related to the planning of technical and social infrastructure, which is the basis for both business activity and for improving the quality of life of residents. The strategic approach to development problems provides a basis for prospective analysis in the area of public finances and enables proper selection of sources of financing investment projects in the longer term, including own resources, as well as funds from subsidies and repayable funds.

In the period 2006-2018 it became clearly visible that the level of financing investments included in public sector investments in European Union countries is strongly diversified, which indicates the need to continue the comprehensive approach so that public resources could be used more efficiently across the EU. It is important to study the factors determining the public sector investment policy in the conditions of a market economy. Active participation of public sector entities in economic and social development is noticeably manifested by a change in the approach to public resources and the search for new management methods aimed at increasing the efficiency of the use of funds, in particular in the long-term perspective.

References

- [1] Berman, N.L. (2000). *Strategiczne planowanie rozwoju gospodarczego. Budowanie lepszej przyszłości gospodarczej w polskich gminach*. Warszawa: Mucipium.
- [2] Diamond, J. (2006). *Budget System Reform in Emerging Economies. The Challenges and The Reform Agenda.*, Washington: International Monetary Fund.
- [3] Haughwout, A.F. (2002). Public infrastructure investments, productivity, and welfare in fixed geographic areas. *Journal of Public Economics*, No 83/3.
- [4] Jarosiński, K., Grzymała, Z., Opalka, B., Maśloch, G. (2015). *Financing and management of public sector investment on local and regional levels*. Warszawa: PWN.
- [5] Kessides, Ch. (1993). *The Contributions of Infrastructure to Economic Development: A Review of Experience and Policy Implications*. World Bank Discussion Papers. No. 213. Washington DC: World Bank Publications.
- [6] Laursen, T. Myers B. (2009). *Public Investment Management in the New EU Member States: Strengthening Planning and Implementation of Transport Infrastructure Investments*. World Bank Working Paer. No. 161. Washington DC: World Bank Publications.
- [7] Madl, U., Dierx, A., Ilzkovitz, F. (2008). *Effectiveness and Efficiency of Public Spending*. Economic Papers. No 301. Brussels: European Commission.
- [8] McCartney, M. (2015). *Economic Growth and Development: A Comparative Introduction*. London: Palgrave.
- [9] Messere, K., de Kam, F., Heady, Ch.J. (2003). *Tax Policy: Theory and Practice in OECD Countries*. Oxford: Oxford University Press.
- [10] Nafziger, E. W. (2006). *Economic Development*. Cambridge: Cambridge University Press.
- [11] Newman, J. (2000). *Beyond the new public management. Modernizing public services*. In: J. Clarke, S. Gewirtz, E. McLaughlin (eds.). *New Managerialism, New Welfare?*. London: SAGE Publications Ltd.
- [12] Parr, J.B. (2001). *Regional Economic Planning: Learning from Past Experience*. In: D. Felsenstein, R. McQuaid, P. McCann, D. Shefer (eds.). *Public Investment and Regional Economic Development*. Cheltenham: Edward Elgar Publishing.
- [13] Randolph, S., Hefley, D., Bogetic Z. (1996). *Determinants of Public Expenditure on Infrastructure: Transportation and Communication*. Policy research Working Paper. No. 1661. Washington DC: World Bank Publications.
- [14] Schendel, D., Hofer, Ch. *Strategy (1978). Formulation: Analytical Concepts*. St. Paul: West Publishing Company.
- [15] Szostak, R. (2009). *The Causes of Economic Growth: Interdisciplinary Perspectives*. Heidelberg: Springer Verlag.

Imereti Region's Natural - Recreational and Historical – Cultural Potential as Tourism Development Factor in Georgia

Davituliani Tsitsino

Mikautadze Rusudan

Kutaisi Akaki Tsereteli State University, Georgia

Abstract

Imereti – is one of the smallest region on the Black Sea coast in Georgia. The geographical location, historical-cultural and natural monuments, the rich Imeretian hospitality traditions are a good prerequisite for the development of recreation and tourism. Imereti region is a growing tourist segment. For more than 900 historical and more than 350 natural monuments continuously presents the rich history of the country from the primitive societies until nowadays. Myths and legends related to Imereti (Colchis kingdom, myth about Amirani (Prometheus), Golden Fleece, King Aetees and Medea and etc.) are well-known for the Western society. The work done for the popularization of these tourist products has greatly contributed to the growth of both organized and unorganized tourism. (80,000 men in 2007, in 2017 - more than 450,000). Today, tourism in Georgia is developing at a fast pace. Natural and historic monuments are the "Golden Keys" of the tourism potential of the region. We believe that tourism is a stimulus for the development of the local economy, and it should facilitate for staying of youth in the small towns by creating different jobs in order not to leave their country and therefore alienate from their national identities and culture.

Keywords: natural monuments; historical-cultural heritage; national identity; recreational resources.

Introduction

Georgia has an important strategic location in the Caucasus, on the eastern coast of the Black Sea. It contains all elements of recreational resources: the warm sea, mild climate, vast hydrographic network, constant glaciers, karst caves and rich cultural and historical monuments.

Today, Georgia, with its unique culture, traditions, hospitality, natural and historical monuments, attracts more and more attention on the tourist market. Because of its small territory, tourists can fully imagine its natural-recreational resources and historical-cultural heritage.

We'd like to introduce you one of the regions of Georgia, Imereti and to show you its tourist prospects and potential using various visual, scientific and statistical materials. To analyze the issue we have used two scientific views : theory of unbalanced economic growth¹ (Cooper, et.al, 2008: 248) and Lane's criteria². The first approach is effective especially for developing countries. If investment is implemented in one particular or in several sectors, development of the main field will result in revival, progress and proper functioning of the rest of fields. The second view- Lane's criteria determines the values of the agrotouristic place: 1. The value and beauty of the landscape 2. Territories with wild nature. 3. Cultural - historical and ethnic heritage, 4. favorable conditions for hunting, fishing and skiing. 5. Customer's access to foreign markets. 6. Effective and professional advancement and commercial activity management. According to these views such paramount role in Imereti region can be performed by tourism.



Imereti region is not rich with strategic natural resources, but it can create its own competitive advantage over culture, historical monuments, nature reserves and natural-recreational environment. Therefore, tourism can become one of the main sources of income for the region and promote the development of neighboring fields in the country. For this purpose in 1998-2001 years with the participation of foreign and Georgian experts was elaborated National Tourism Development Strategy and in 2012 was designed tourism development and marketing plan for the Imereti region and was proposed a series of actions to be implemented to improve the contribution of tourism for the local population's economic and social life

The diagram shows cultural tourism destinations which can be found in Imereti.

Imereti natural sights and their perspectives

Imereti Nature is a major factor for the tourism development. At present, 4 categories of the protected areas are located in the study area. According to the data of the last 10 years, most visitors - 1 108 503mln, in the protected areas are registered in 2018, while this figure was 12 226 in 2008, that means that the number of tourists in the last 10 years increased 91 times³.



Imereti region is particularly rich with karst caves. There are up to 1000 karst funnels only in Kutaisi surroundings. Taking into consideration this fact, Georgia adopted the Law on the Creation and Management of Imereti Caves Protected Areas (June 21, 2011, # 4864). It includes Sataplia Nature Reserve, Sataplia Managed Reserve, Natural Monument of Prometheus Cave, Ocatse Canyon Nature Sight and other 17 different sights of nature. Now information about Imereti Cave Protected Areas of Georgia is available on the official web-site of International Show Caves Association (ISCA)⁴.

The most attractive objects for tourists are Prometheus and Sataplia caves with well-equipped infrastructure. Visitors are amazed with breathtaking views of stalactites of unique forms, stalagmites, petrified waterfalls, underground rivers and lakes. You can have a trip by boat on the underground river.

Sataplia complex protected area has preserved a prehistoric nature with wooden relics, labyrinths of karst caves and fossilized tracks of dinosaurs. There are only 3 places in the world where you can find such traces of dinosaurs, and one of them is in Sataplia. The central point for the tourists is the "Stone heart"- a huge heart shape stalagmite. Tourists make a wish near the "sculpture".

An observation deck at the highest point of the Sataplia reserve with a transparent floor, opens up a breathtaking view of the surroundings of Kutaisi and Colchis valley.

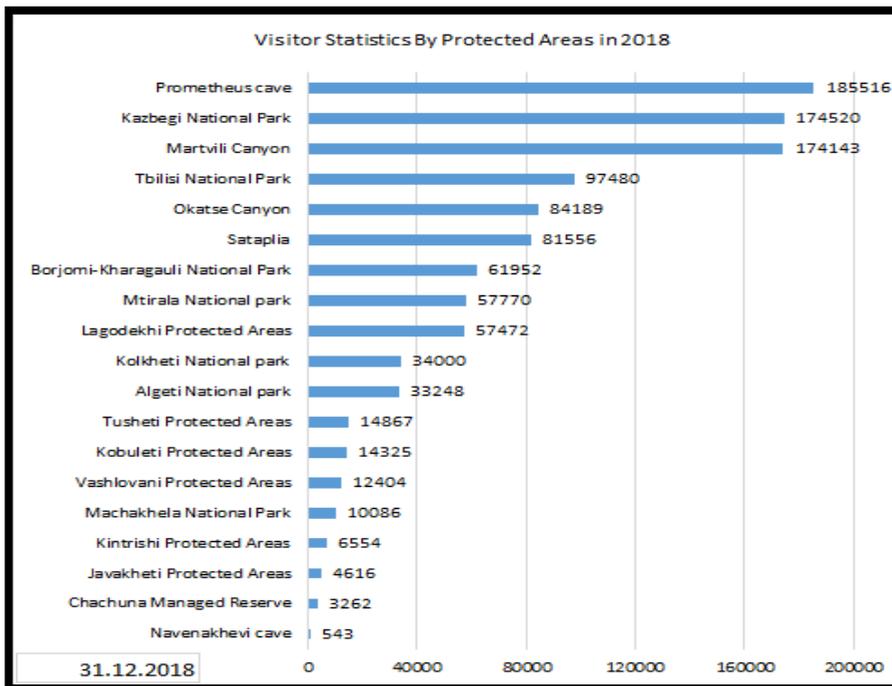
Very special is Tsutskhvti cave located 24 km from Kutaisi, which has no analogy in the world. The cave consists of 13 floors. Unfortunately, due to its complexity, the cave is not very popular among tourists, but it is a great place for extreme tourism lovers.

Imereti caves microclimate and stable temperature are accessible and useful for 76 different diseases, including bronchial asthma, hypertonic and hypotonic diseases. Nowadays, Czech specialists have chosen Satsurbliya Cave for speleo-recreational purposes which will receive the first visitors from this spring. We assume that people with respiratory tract problems will be able to perform different treatments in this healing place.

Nowadays, untrapped caves for extreme speleotourism are few in the world, so the caves of Imereti region can be very interesting for them. In order to develop extreme tourism, the region is rich in mountain rivers too, where rafting can be developed.

The Okace canyon is one of the most popular attraction among tourists. Recently built high quality tourist infrastructure offers tourists magnificent views to the canyon and its surroundings especially in spring, when everything is green and in blossom. Nearby, one can find the tallest waterfall of Georgia – Kinchkha together with another water abundant waterfall nearby.

This diagram shows the number of visitors by protecting areas in 2018. Imereian natural monuments are in the top ten.⁵



The growth of tourism in these places successfully affected on the local population of the high mountain villages of Gordi and Kinchkha. Earlier village Gordi was the health resort for children and native people were involved in different activities including renting their houses. This experience helps them to manage their small businesses. Local small businesses collaborate with touristic agencies and tour operators which ensure constant visits of tourist groups. They are aware of the strategy of success of their own activities and try to satisfy the regular visitors in order to increase their number in future. However, it would be noted that if the state and regional authorities are interested in gradual growth of agrotourism in this part of Imereti, it will allow local residents to use more their resources intensively to enlarge the number of small farms and make them attractive to tourists in order to increase their income.⁶ (Kharashvili,2017: 368).

Little awareness of tourism potential in the region directly effects on the structure of tourism sector in Imereti. The local population is often unable to understand the significance of Imereti's natural monuments as a tourist destination for the future. The problem is pollution of the sights with household waste by community members, in times carst funnels are used as landfills by locals. Local authorities must conduct meetings and trainings to increase their awareness on these issues, involve them in local tourism infrastructure management and take strict measures against environmental pollution.

Historical-Cultural and Religious Tourism Development Perspectives

70% of tourists around the world travel to see the cultural heritage sites. Heritage is cultural diversity and the best way to see the links between cultures. When cultural heritage tourism in the region develops properly, it helps the region to protect and save country's natural and cultural treasures and improve the quality of life of local residents. It has economic impact on the local level by creating new jobs and small businesses, increases the pride and interest of the local population in tourism. The increase of tourism flow gives opportunity to promote the protection and maintenance of cultural heritage monuments⁷. (http://icomos.org.ge/ge/wp-content/uploads/publicationPolicy_GE.pdf)

The cultural-historical potential of Imereti includes: archaeological sites and historical towns, numerous ecclesiastical and civic architecture, museums and other sites. Visiting the unique historical monuments is a great motivation for tourists to get acquainted with the history and culture of Georgia which due to its geopolitical location, represents the place of meeting of Eastern and Western cultures.

Kutaisi and its surroundings in Imereti tourism industry are important attraction. The city is located along the banks of the river Rioni. Its age varies from 3000 to 3500 years. The city and its surroundings are rich in natural, archaeological and historical-cultural heritage monuments.⁸ (<http://kutaisi.gov.ge/ge/turizmi>) Due to its diversity, cognitive tourism in this city can really become an essential part of economic development.

The main attraction in the city is Bagrati Cathedral, built in 1003, as a symbol of unity of Georgia. Here are represented archaeological layers from the first millennium to the present day. Bagrati Cathedral, along with the Gelati monastery complex, was included in UNESCO World Cultural Heritage List in 1994. Unfortunately, after its hastily reconstruction by the government, the cathedral lost its authenticity and in 2017 UNESCO removed it from the World Cultural Heritage List which was a huge loss. Nevertheless, the monument still makes a great impression on the visitors.

Nowadays, Cultural Heritage Protection Agency of Georgia and the Polish archaeological expedition lead an intensive work to enter Kutaisi as a "cultural landscape" into the UNESCO World Heritage List. Kutaisi, as one of the oldest cities in the world, satisfies all these criteria. In this case there is a chance that the Bagrati Cathedral will return to the UNESCO nomination. As a result of recent archaeological studies, the materials found on "Gabashvili and Dadeshidze Gorges" dates back to XII-VIII centuries BC, which proves that Colchis's civilization was really existed around Kutaisi. This fact is another motivation that archaeologists' work will be finished successfully.

Six km from Kutaisi is located the Motsameta Monastery Complex, which dates back to the eighth century (and 11 kilometer from Kutaisi is situated the Gelati Monastery Complex, built in the first half of the 12th century by the greatest Georgian King David Aghmashenebeli or David the Builder as "New Athene and Other Jerusalem". It is listed on World Cultural Heritage from 1994. The main cathedral is distinguished with a monumental mosaic that is a high-artistic design art.⁹ (<http://www.dzeglebi.ge>)

In the Kutaisi suburb is the ruins of Geguti royal palace. The importance of the ruins of the Geguti palace is emphasized by its largely secular nature as most of the surviving monuments of medieval Georgian architecture are churches and

monasteries. In 2015, there was installed a special glass construction, which allows the viewer to see the monument in its original form. This technology is unique in our country.¹⁰ (<http://sputnik-georgia.com>).

There is still a lot to do in the direction of cultural heritage tourism. There is no appropriate coordination among the state, church and local population to make these tourist destinations more attractive in identifying the country through cultural monuments. It is urgent to improve the existing infrastructure, ecumenical relations between the tourists, church and local representatives, to protect the reliability of the information about cultural heritage monuments, which is provided to tourists because, unfortunately, some foreign guides, who accompany tourism groups, distort the history and culture of our country.

In Imereti, tourists are interested in Antique City Suriumi, today's Vani (VII-I centuries BC) which is located on the 40-minute drive from Kutaisi. Although only a third of the site has been studied, it has produced an astonishing number of artifacts: temples and sacrificial altars, Colchis pottery, imported Greek luxury items, graceful bronze sculptures and exquisite golden jewellery. Despite their diversity, the gold ornaments found at Vani are characterized by unity of style and technique, which clearly points to their belonging to a Colchian school of art.¹¹ (<http://vani.org.ge/municipality>)

While researching the tourism potential of Imereti, it is important to determine the role of sustainable tourism for overcoming the poverty of the local population. It is worth noting, that this direction is particularly related to the issues of developing countries where income is scarce and unstable. According to Geostat data, in 2016 the share of population, which was below the absolute poverty line, was 21,3%. The poverty rate is especially high in rural areas. We have studied several dissertations and scientific works on this issue¹² (T. Doghonadze, (2018: 69); Kharashvili E (2017) Devidze Eka. <http://www.nplg.gov.ge/dlibrary/collect/0002/000609/Devidze%20E.pdf>;) to find out which part of local population has gained the benefits from tourism. It appeared that touristic development in the region is mostly effectively reflected on non-poor families, which have a small amount of initial capital. They have the initiative to combine their material and social-intellectual resources and through labor diversification get benefits from tourism. Poor population is less successful in this regard.

Studies show that after the amenities of tourist monuments in the region were created new family hotels, increased the number of renting vehicles, opened catering facilities, appeared additional jobs.

Nowadays one of the distinguished role in touristic business belong to the cuisine. Georgian cuisine - Imeretian Khachapuri, Khinkali, Kupati, Satsivi, Wine and Churchkhela are popular among foreign visitors. In the hot tourist season, there are loads of food facilities nearby tourist attractions which promotes the growth of local population income. Studies show that Kutaisi is the leader in variety of Georgian cuisine and gourmet food.¹³ /Kharashvili E. (2017: 373/

According to the influential edition Bloomberg report in 2017, Georgia ranks second among the fastest growing tourist destinations in Europe with an increase of + 27.9%. They claim that Georgian traditional dishes are the best reason to visit Europe Untouched corner."¹⁴ (<https://www.geotourism.ge/news/evropasi-yvelaze-swrafad-mzard-turistul-qveynebi> 2018). The growth of tourism potential of Kutaisi and its surroundings has significantly contributed to rehabilitation of Davit Aghmashenebeli International Airport in 2012, from which flights are available in any weather and visibility. The airport is the first international airport in the region, offering cost-efficient airline services, which greatly influenced on increase of tourists flow from Europe and Asia¹⁵ (<https://www.geotourism.ge/news/wizz-air>).

Nowadays in the development of Imereti tourism prevails the inner tourism. This is probably due to its geographical location. Imereti mostly serves as a link between other regions of the country. However, the State representative-Governor's Administration in Imereti and Kutaisi City Hall do much to make Imereti and Kutaisi more attractive for foreign tourists and increase their awareness on the international tourism market.

Recommendations and conclusion

However, there are a number of factors that have a negative impact on tourism development, namely: Imereti tourism system lacks competitiveness in certain aspects. This concerns the infrastructure that needs perfection. There is lack of activities which can be interesting for tourists. Besides, it is essential to improve employees' skills and experience who work in the sector, to promote and stimulate the work of tourist agencies and tour operators, good advertising has paramount importance in order to increase awareness about the region and create desirable image on tourist market. The sector needs more support and regulation from the government. There is weak coordination between administration, private business and native population. Unavailability in marketing information prevent them to conduct their commercial

work in an effective way. It would be fruitful if we engage local residents in different tourism activities, provide goal-seeking trainings and consultations. Proper management will enable us to increase the number of visitors and social-economic benefits for the local population.

Taking into account existed touristic potential of Imereti region we can arrive to the conclusion that tourism can become an essential part of the economic development for such a small region as Imereti, which will support the preservation of natural-recreational and historical-cultural heritage, increase employment of local population, social activity and income of communities, contribute to the development of small businesses, create healthy competition in marketing and facilitate to develop new international programs and projects.

References

- [1] Cooper Ch.,Flether J., Fyall S.,Gilbert D.,and Wanhill S.(2008). Tourism: Principals and Practicies. Prentice Hall.
- [2] Lane B. (1994).Whatnis Rral Tourism. Journal of Sustainable Tourism Vol.2 # 7
- [3] www.APA.GE
- [4] <http://www.i-s-c-a.com/show-cave/131-imereti-caves>
- [5] www.APA.GE
- [6] Kharaihvili E. Agrotouristic Areas Assessment with the Lane Criteria and the possibilities for Economic Development of Related Sectors Geography in Gblal Context: Achievements and Challenges. Collected Papers. 2017. Kutaisi. Akaki Tsereteli State University
- [7] ICOMOS, International Cultural Tourism Charter. Principles and Guidelines For Managing Tourism At Places Of Cultural And Heritage Significance. ICOMOS International Cultural Tourism Committee. 2002. http://icomos.org/ge/wp-content/uploads/publicationPolicy_GE.pdf
- [8] <http://kutaisi.gov.ge/ge/turizmi>
- [9] <http://www.dzglebi.ge/>
- [10] <http://sputnik-georgia.com>
- [11] <http://vani.org.ge/municipality/>
- [12] Tatia Doghonadze, The Spöatial Aspects and Peculiarities of Sustainable Tourism Development in the Imereti Region, an abstract from the presented dissertation for obtaining the academic degree of Doctor of Geography,Kutaisi, 2018 p. 69; Davidze Eka. Cultural heritage and Tourism Development problems in Inereti Region. Dissertation for obtaining the academic degree of Doctor of Business Administration. <http://www.nplg.gov.ge/dlibrary/collect/0002/000609/Devidze%20E.pdf>; Kharaihvili E. Agrotouristic Areas Assessment with the Lane Criteria and the possibilities for Economic Development of Related Sectors Geography in Gblal Context: Achievements and Challenges. Collected Papers. 2017. Kutaisi. Akaki Tsereteli State University
- [13] Kharaihvili E. Agrotouristic Areas Assessment with the Lane Criteria and the possibilities for Economic Development of Related Sectors Geography in Gblal Context: Achievements and Challenges. Collected Papers. 2017.Kutaisi. Akaki Tsereteli State University
- [14] <https://www.geotourism.ge/news/evropasi-yvelaze-swrafad-mzard-turistul-qveynebi> 2018
- [15] <https://www.geotourism.ge/news/wizz-air>

Selection of Maintenance Strategies for Automobile Shredder Residue – Reliability, Economic and Human Resources Aspect

Eleonora Desnica

PhD, Assoc. Prof. Dr. University of Novi Sad

Technical faculty "Mihajlo Pupin, Zrenjanin, Republic of Serbia

Abstract

It is a general assessment that the development of automobile recycling industry in the developed world is continuously expanding. It shows that each year, only in the EU countries more than 10 million end of life vehicles (ELVs) are being discarded meaning that 10 million tons of waste is produced annually. This reason is more than enough to put ELVs as a priority in each country. The consideration in this paper is the problem of maintenance strategy selection for automobile shredder residue (ASR), which is one of the significant links in the chain of motor vehicle recycling. The choice was made between five strategies (defined actions) – preventive maintenance model, corrective maintenance model, reliability based maintenance model, risk based maintenance model and combined maintenance. In goal of objective view and solution to this problem, in this paper was proposed that the choice of strategy is done using multi-criteria analysis method, precisely application of TOPSIS (Technique for Order Preference by Similarity to Ideal Solution) method, based on following four criteria: reliability of system functioning, maintenance cost, human resource engagement and the expertise of human resources. According to TOPSIS method and given decision making conditions, the optimal choice would be reliability based maintenance model. In case of better training of human resource, maintenance models based of reliability and based on risk would give overall significantly better result.¹

Keywords: maintenance strategies, automobile shredder residue (ASR), multi-criteria analysis, TOPSIS method, criteria

Introduction

Waste treatment has become an important issue, and serious concerns about reducing waste during the generation process have been focused on as the first priority before further treatment. Waste from end-of-life vehicles (ELVs) is also of concern and the maximum recovery and recycling needs to be achieved to reduce waste discharge and to enhance the image of the automobile industry through environmentally sound management. Prior to establishing recycling rate targets and researching the technical means to reduce waste, Serbia needs to understand the present situation of ELV management and the characteristics of ASR (Automobile shredder residue) with shredder dust (SD) generated for further proper treatment. [Hyun-Tae Joung & at al. (2007), I Vermeulena at al. (2011), Desnica, E. at al. (2016)]

Characteristics of the present time and relationships that have been established and dominated in the business world have greatly influenced the development and treatment of maintenance as activities and functions necessary in continuous and complex production process as well as the overall business of companies. The main role of maintenance is to provide a high level of reliability and availability of technical systems during their lifecycle meaning that the maintenance significantly increases the level of efficiency of company's business. It represents a crucial condition of company's survival in the future. Due to these reasons, modern science is increasingly studying the maintenance process and raises it to a higher level of importance in economy and society. [Adamović, Ž., Bešić, C. (2008), Radovanović, Lj., Adamovic, Ž. (2008), Adamović, Ž. (2010)]

¹ This paper is a result of the research activities conducted under the project "Sustainable development of technology and equipment for motor vehicles recycling" TR 35033, which is financed by the Ministry of Education, Science and Technological Development of Republic of Serbia. Full prof. Milan Nikolic and teaching assistant Miroslav Vulic have also participated in this research.

With the rapid development of science and technology, professional improvement of maintenance operators becomes a very important task. The companies that will invest in the professional development of its employees will be able to keep pace with their competitors. [Desnica, E. at al. (2017), Palinkaš, I. at al. (2018)]

Analyzing everything previously, the consideration in this paper is the problem of maintenance strategy selection for automobile shredder residue, which is one of the significant links in the chain of motor vehicle recycling. In goal of objective view and solution to this problem, in this paper was proposed that the choice of strategy is done using multi-criteria analysis method, precisely application of TOPSIS (Technique for Order Preference by Similarity to Ideal Solution).

Technical characteristics of shredder

Technical solution of automobile shredder residue (3D model) was developed within the project TR 35033 in the Republic of Serbia (Figure 1). Newly developed device for separating metal from plastic materials that are used for producing cables is primarily oriented to the recycling industry. Specifically, it refers to the recycling of electric cables which are found in vehicles at the end of the life cycle.

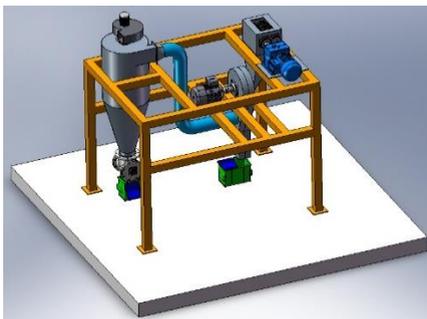


Fig 1. 3D model of automobile shredder residue (ASR). [Pavlović, M. at al. (2013)]

Increased prices of copper and aluminum on the world stock market requires a need to increase the recycling volume of these materials. Electrical cables at the end of their life represent a main source of non-ferrous metals. But, the problem of efficient recycling of cables due to the presence of plastic and metal parts is a big challenge.

This machine simultaneously performs shredding of cables as well as separation of metal from plastic parts. For this purpose, shredder is used primarily for cable shredding followed by gravitational transport of shredded material to the mill-crusher which performs secondary shredding and separation of metal from a plastic coating. From there, the metal is deposited by gravitational force into the receiving hopper, while the plastic granulate is carried by the air stream through the pipeline to the cyclone. In a cyclone, the plastic granulate is separated from the air current and goes to the receiving hopper. Air for pneumatic transport is provided by the fan which is located on the cyclone. [Nikolić, M. at al. (2017), Pavlović, M. at al. (2018)]

Multi-criteria decision making

Today, there are fewer business decision-making problems where the choice is made only on the basis of one criterion. Multiple-criteria decision-making (MCDM) refers to decision-making situations when there is a larger number of commonly conflicting criteria [8]. Ranking alternatives to a number of criteria at the same time contributes to the reality of resolving such situations. However, the multi-criteria approach has its own bad side, which is a need for using much more complex mathematical models for solving multi-criteria problems. In addition, despite the large number of different models, there is still no fully objective and reliable method of multi-criteria decision-making.

MCDM problems can be classified according to some characteristics in two groups [Čupić, M. at al. (2001)]:

Multitributable Decision Making (MDM) or as it is more recently called Multi Criteria Analysis (MCA). This group of MCDM method solves problems by selecting the best action from a set of previously defined ones.

Multi-Target Decision-Making (MTDM). This group of MCDM methods solves problems by designing the best action.

There are several methods of multicriteria analysis (MCA) that are considered to be the best in the world, the so-called outranking methods. These methods have wide applicability and great practical significance. The most well-known methods of multi-criteria analysis are: ELECTRE (ELimination and Et Choice Translating REality); The PROMETHEE method (Preference Ranking Organization METHod for Enrichment Evaluation); The method of analytical hierarchical processes (AHP method) is one of the most popular and widely used methods of MCA; Method TOPSIS (Technique for Order Preference by Similarity to Ideal Solution).

Technique for Order Preference by Similarity to Ideal Solution (TOPSIS)

The TOPSIS method (Technique for Order Preference by Similarity to Ideal Solution) is a widely used method of multicriteria decision analysis (MCDA). The authors of this method are Hwang and Yoon (1981). [13] The TOPSIS method has significant similarities with the ELECTRE method (also the method of multicriteria decision making), so that it can be considered as one of the frequently used variants of the ELECTRE method [Benayoun, R. at al. (1966)]. The essence of the TOPSIS method is to define the ideal (best) solution and the negative ideal (the worst possible) solution. Then, the most favorable action is taken, where this action should be the most similar to the ideal solution (to have the least distance from the best action), and most different from the negative ideal solution (to have the greatest distance from the worst action). The TOPSIS method is applied through an iterative process, which means that the method has the appropriate number of steps.

Selection of the maintenance strategy of shredder using the TOPSIS method

The TOPSIS method has been applied to the selection of the strategy for maintaining the shredder for the recycling of automotive cables. The selection of an appropriate strategy for maintaining this technical system is aimed at increasing the efficiency of the system, as well as optimizing costs.

The choice of the maintenance strategy is made between the five available actions:

- a1 - Corrective maintenance model,
- a2 - Preventive maintenance model,
- a3 - Maintenance model based on reliability,
- a4 - Risk-based maintenance model,
- a5 - Combined maintenance.

The selection is based on four attributes (criteria):

- A1 - Continuity (reliability) of system operation (maximization request),
- A2 - Maintenance costs (minimization request),
- A3 - Human Resources Engagement (demand for minimization),
- A4 - Human Resources Training (maximization request).

Defining the actions and criteria was done similarly to the reference. [Nikolić, M. (2012)]

The initial matrix of decision making contains estimates of all actions according to each criterion separately. In this case, all grades are qualitative, and the initial decision matrix has the following values:

	A ₁	A ₂ (min)	A ₃ (min)	A ₄
a ₁	Low	Very low	Low	Very high
a ₂	Average	Average	Average	High
a ₃	Very high	High	Average	Low
a ₄	High	Average	Average	Low
a ₅	High	High	High	High

Quantification of qualitative attributes is carried out over the following scale: 1 - very low level, 3 - low, 5 - average (medium), 7 - high and 9 - very high level. The quantified decision matrix has the following values:

O =	a ₁	3	A ₂ (min)	1	A ₃ (min)	3	A ₄	9
	a ₂	5		5		5		7
	a ₃	9		7		5		3
	a ₄	7		5		5		3
	a ₅	7		7		7		7

Step 1. Calculating the decision matrix N with normalized values

In this step, the division of each element of the vector (the column from the quantified decision matrix) is made with the corresponding norm. The normalized decision matrix N is formed from the normalized values of n_{ij}, which are calculated according to the formula:

$$n_{ij} = \frac{x_{ij}}{\sqrt{\sum_{i=1}^m x_{ij}^2}}$$

where is:

i = 1, 2, ..., m - number of actions,

j = 1, 2, ..., n - number of attributes.

To change the minimization A_j into the maximization of A_j, the following expression is used:

$$n_{ij} = 1 - \frac{x_{ij}}{\sqrt{\sum_{i=1}^m x_{ij}^2}}$$

In this case, for attributes A₂ and A₃, the expression for translating min A_j into max A_j was applied. Thus, the normalized decision matrix has the following values:

N =	a ₁	0.2055	A ₂	0.9181	A ₃	0.7399	A ₄	0.6412
	a ₂	0.3426		0.5904		0.5664		0.4987
	a ₃	0.6167		0.4265		0.5664		0.2137
	a ₄	0.4796		0.5904		0.5664		0.2137
	a ₅	0.4796		0.4265		0.3930		0.4987

Examples of calculating some normalized values:

$$n_{11} = \frac{3}{\sqrt{3^2 + 5^2 + 9^2 + 7^2 + 7^2}} = 0.2055$$

$$n_{12} = 1 - \frac{1}{\sqrt{1^2 + 5^2 + 7^2 + 5^2 + 7^2}} = 0.9181$$

Step 2. Determination of the normalized decision matrix V with weights

In this step, the weights of all attributes are defined first, in the following way:

$$w_1 = 0.40; w_2 = 0.30; w_3 = 0.20; w_4 = 0.10$$

Now the normalized matrix of decision V is calculated with the weights. In general, this can be presented in the following way:

$$V = \begin{bmatrix} w_1 \cdot n_{11} & w_2 \cdot n_{12} & \dots & w_n \cdot n_{1n} \\ w_1 \cdot n_{21} & w_2 \cdot n_{22} & \dots & w_n \cdot n_{2n} \\ \dots & \dots & \dots & \dots \\ w_1 \cdot n_{m1} & w_2 \cdot n_{m2} & \dots & w_n \cdot n_{mn} \end{bmatrix} = \begin{bmatrix} v_{11} & v_{12} & \dots & v_{1n} \\ v_{21} & v_{22} & \dots & v_{2n} \\ \dots & \dots & \dots & \dots \\ v_{m1} & v_{m2} & \dots & v_{mn} \end{bmatrix}$$

In the analyzed case, the weighted normalized decision matrix has the following values:

$$V = \begin{matrix} & A_1 & A_2 & A_3 & A_4 \\ a_1 & 0.0822 & 0.2754 & 0.1480 & 0.0641 \\ a_2 & 0.1370 & 0.1771 & 0.1133 & 0.0499 \\ a_3 & 0.2467 & 0.1279 & 0.1133 & 0.0214 \\ a_4 & 0.1918 & 0.1771 & 0.1133 & 0.0214 \\ a_5 & 0.1918 & 0.1279 & 0.0786 & 0.0499 \end{matrix}$$

Step 3. Defining the ideal (best) solution and the negative ideal (worst) solution

In general, determining the ideal solution is done on the basis of the form:

$$a^* = \{(\max v_{ij} \mid \max A_j), (\min v_{ij} \mid \min A_j), i = 1, 2, \dots, m\}$$

In general, the determination of a negatively ideal solution is done on the basis of the form:

$$a^- = \{(\min v_{ij} \mid \max A_j), (\max v_{ij} \mid \min A_j), i = 1, 2, \dots, m\}$$

At normalization, the transaction of $\min A_j$ into $\max A_j$ has already been carried out, so that when choosing the ideal and negatively ideal solution, only the maximal values for a^* , ie the minimum for a^- (within each criterion are considered separately), are observed. In this case, the ideal and negative ideal solution are defined as follows:

$$a^* = \{0.2467; 0.2754; 0.1480; 0.0641\}; a^- = \{0.0822; 0.1279; 0.0786; 0.0214\}$$

Step 4. Calculating partial distances

In this step, for each action, the distance to an ideal and negative ideal solution is counted. In doing so, Euclidean distance is used:

The distance to the action and to the ideal solution is given by the expression:

$$S_i^* = \sqrt{\sum_{j=1}^n (v_{ij} - v_j^*)^2}, \quad i = 1, 2, \dots, m$$

The distance of the action and the negative ideal solution is given by the expression:

$$S_i^- = \sqrt{\sum_{j=1}^n (v_{ij} - v_j^-)^2}, \quad i = 1, 2, \dots, m$$

In this case, the partial distances to the ideal solution are:

$$S_1^* = \sqrt{(0.0822 - 0.2467)^2 + (0.2754 - 0.2754)^2 + (0.1480 - 0.1480)^2 + (0.0641 - 0.0641)^2} = 0.1645$$

$$S_2^* = \sqrt{(0.1370 - 0.2467)^2 + (0.1771 - 0.2754)^2 + (0.1133 - 0.1480)^2 + (0.0499 - 0.0641)^2} = 0.1520$$

$$S_3^* = \sqrt{(0.2467 - 0.2467)^2 + (0.1279 - 0.2754)^2 + (0.1133 - 0.1480)^2 + (0.0214 - 0.0641)^2} = 0.1574$$

$$S_4^* = \sqrt{(0.1918 - 0.2467)^2 + (0.1771 - 0.2754)^2 + (0.1133 - 0.1480)^2 + (0.0214 - 0.0641)^2} = 0.1253$$

$$S_5^* = \sqrt{(0.1918 - 0.2467)^2 + (0.1279 - 0.2754)^2 + (0.0786 - 0.1480)^2 + (0.0499 - 0.0641)^2} = 0.1726$$

In this case, the partial distances to the negative ideal solution are:

$$S_1^- = \sqrt{(0.0822 - 0.0822)^2 + (0.2754 - 0.1279)^2 + (0.1480 - 0.0786)^2 + (0.0641 - 0.0214)^2} = 0.1685$$

$$S_2^- = \sqrt{(0.1370 - 0.0822)^2 + (0.1771 - 0.1279)^2 + (0.1133 - 0.0786)^2 + (0.0499 - 0.0214)^2} = 0.0862$$

$$S_3^- = \sqrt{(0.2467 - 0.0822)^2 + (0.1279 - 0.1279)^2 + (0.1133 - 0.0786)^2 + (0.0214 - 0.0214)^2} = 0.1681$$

$$S_4^- = \sqrt{(0.1918 - 0.0822)^2 + (0.1771 - 0.1279)^2 + (0.1133 - 0.0786)^2 + (0.0214 - 0.0214)^2} = 0.1251$$

$$S_5^- = \sqrt{(0.1918 - 0.0822)^2 + (0.1279 - 0.1279)^2 + (0.0786 - 0.0786)^2 + (0.0499 - 0.0214)^2} = 0.1132$$

Step 5. Calculating the distance from the ideal (best) solution

The distance of the action a_i from the ideal (best) solution is calculated according to the form:

$$C_i^* = \frac{S_i^-}{S_i^* + S_i^-}, \quad i = 1, 2, \dots, m$$

Based on the previous expression, it is valid:

$$1 \geq C_i^* \geq 0$$

$$a_i = A^* \Rightarrow S_i^* = 0 \Rightarrow C_i^* = 1$$

$$a_i = A^- \Rightarrow S_i^- = 0 \Rightarrow C_i^* = 0$$

The best action is determined by the size of the C_i^* . To be more precise, the higher the value of C_i^* , the action is closer to the ideal (best) solution and, therefore, better. Therefore, an action that has the highest value of C_i^* is selected.

In this case, the relative closeness to the ideal solution is:

$$C_1^* = \frac{S_1^-}{S_1^* + S_1^-} = \frac{0.1685}{0.1645 + 0.1685} = 0.50601$$

$$C_2^* = \frac{S_2^-}{S_2^* + S_2^-} = \frac{0.0862}{0.1520 + 0.0862} = 0.36188$$

$$C_3^* = \frac{S_3^-}{S_3^* + S_3^-} = \frac{0.1681}{0.1574 + 0.1681} = 0.51644$$

$$C_4^* = \frac{S_4^-}{S_4^* + S_4^-} = \frac{0.1251}{0.1253 + 0.1251} = 0.49960$$

$$C_5^* = \frac{S_5^-}{S_5^* + S_5^-} = \frac{0.1132}{0.1726 + 0.1132} = 0.39608$$

Step 6. Determining the ranking of actions

The TOPSIS method allows the ranking of actions in a complete order. This is done on the basis of the size of the C_i^* value. Practically, the first ranking belongs to the action that has the highest value of C_i^* , the second ranking belongs to the action that has the second largest value of C_i^* , and so on.

Discussion

In the given example, the action ranking are as follows:

1st rank: action a3

2nd ranking: action a1

3rd rank: action a4

4th rank: action a5

5th rank: action a2

According to the TOPSIS method, in this case, the optimal choice would be the action a3 - Maintenance model based on reliability. However, it should be noted that, according to C_i^* values, two more actions are very close to the best ranked action. These are actions: a1 - Corrective maintenance model and a4 - Risk-based maintenance model. This result can be interpreted as follows: a3 actions - Maintenance model based on reliability and a4 - Risk-based maintenance model provide very high functioning reliability of the technical system. On the other hand, the action a1 - Corrective maintenance model provides the least maintenance costs, as well as the least engagement and training of human resources. In this example, the importance of training human resources can be perceived. In the case of better training of human resources, the Maintenance model based on reliability and the Risk-based maintenance model would have a significantly better overall rating (in this case, the value of C_i^*). Then these maintenance strategies would have considerably more stable high ranks in the overall multi-criteria ranking of available maintenance strategies, and the choice of maintenance strategy would be less uncertain.

Conclusion

Based on the above, the conclusion is that the multi-criteria analysis can be successfully applied in solving the problem of the choice of maintenance strategy. This is shown on the example of the automobile shredder residue, and the problem is solved by the TOPSIS method. In this way, a more objective examination of the problem and its efficient solution is achieved. It should be emphasized that it is possible to change the criteria and their significance, depending on the concrete conditions. It is also possible to apply other methods of multi-criteria analysis in the problem of choosing a maintenance strategy.

Existing methodologies for maintaining technical systems are aimed at ensuring the desired reliability and the availability of the system with as little cost as possible and the better training of human resources.

Acknowledgments: This paper is a result of the research activities conducted under the project "Sustainable development of technology and equipment for motor vehicles recycling" TR 35033, which is financed by the Ministry of Education, Science and Technological Development of Republic of Serbia.

References

- [1] Hyun-Tae Joung, Sung-Jin Cho, Yong-Chil Seo Woo-Hyun Kim, Status of recycling end-of-life vehicles and efforts to reduce automobile shredder residues in Korea, *J Mater Cycles Waste Manag* (2007) 9:159–166, DOI 10.1007/s10163-007-0181-1
- [2] I Vermeulena, J. Van Caneghem, C. Block, J. Baeyens, C. Vandecasteele, Automotive shredder residue (ASR): Reviewing its production from end-of-life vehicles (ELVs) and its recycling, energy or chemicals' valorisation, *Journal of Hazardous Materials*, 190 (2011) 8-27, doi:10.1016/j.jhazmat.2011.02.088
- [3] Desnica, E., Vulić, M., Nikolić, M., AHP method in the function of adequate equipment choice for elv detoxification in serbia and eu, *Applied Engineering Letters - Journal of Engineering and Applied Sciences*, Vol.1, No.4, pp. 115-121, 2016. (ISSN 2466-4677)
- [4] Adamović, Ž., Bešić, C., (2008) Maintenance of technical systems, Society for Technical Diagnostics of Serbia, Beograd.
- [5] Radovanović, Lj., Adamovic, Ž., The Effective Maintenance Strategies Development, *Communications in Dependability and Quality Management*, 2008., Vol. 11, No. 2 , p. 38–44., UDC : 658.58
- [6] Adamović, Ž., (2010) Maintenance management, Technical faculty „Mihajlo Pupin“, Zrenjanin.
- [7] Desnica, E., Popescu, F., Nikolić, M., Vulić, M., Education strategy analysis and development of human resources in the field of elv recycling, VII International Symposium Engineering management and competitiveness – EMC 2017, Zrenjanin, june 2017., pp. 124-128.
- [8] Palinkaš, I., Pekez, J., Desnica, E., Radovanović, Lj., Application of modern technology for increasing expertise of employees in mechanical industry, IV International Conference on Mechanical Engineering Technologies and application (COMETa 2018), Istočno Sarajevo, november 2018. pp. 221-228.
- [9] Pavlović, M., D. Tolmač, Čarkić, Z., Tomović, A., Čurčić, S, Arsovski, S., Automatski šreder za reciklažu kablova - prototip, Univerzitet u Novom Sadu, Tehnički fakultet “Mihajlo Pupin”, Zrenjanin, 2013.
- [10] Nikolić, M., Vulić, M., Pavlović, M., Desnica, E., Benchmarking of technologies of baling presses machines in the ELV recycling process, VII International Conference – Industrial engineering and Environmental Protection (IIZS 2017), Zrenjanin, october 2017., pp. 277-283.
- [11] Pavlović, A., Nikolić, M., Vulić, M., Desnica, E., Research and development of the vehicles in the Serbia from the recycling aspect, VIII International Conference – Industrial engineering and Environmental Protection (IIZS 2018), Zrenjanin, october 2018., pp. 210-215.
- [12] Čupić, M., Tummala, R., Suknović, M., (2001) Decision making: formal approach, Faculty of organizational sciences, Beograd.
- [13] Hwang, C. L., Yoon, K., (1981) Multiple Attribute Decision Making: Methods and Applications, Springer-Verlag, New York, NY, USA.
- [14] Benayoun, R., Roy, B., Sussman, N., (1966). Manual de Reference du Programme Electre, Note de Synthese et Formation, No. 25, Direction Scientifique SEMA, Paris, France.
- [15] Nikolić, M., (2012) Decision making methods, Technical faculty „Mihajlo Pupin“, Zrenjanin.

Teacher Attrition and School Leaders' Capacity for Leading, Practices and Behaviors – a Comparative Study

Dr. Gabriela E. Gui

Grand Valley State University, Michigan, USA

Abstract

Teacher attrition, as part of the bigger issue of teacher shortage, has caused increasing concerns in the past decades for both policymakers and educational leaders. Its negative effects impact various aspects of a school. Historically struggling schools serving students in poverty areas are perennially and negatively affected by high turnover rates at deeper levels. Building on existing literature that examines the correlation between school contextual factors and teacher attrition, this study examines the responses of 300+ teachers from Western and Southeast Michigan, gathered through a 24-questions survey. Data was analyzed against the study's research questions using the Cronbach's alpha test and one-way ANOVA. For the first research question, the study looked at the effects of the school principal and his/her leadership capacity on the teachers' decision to leave a school, a school district, or the teaching profession altogether. The second research question dealt with differences related to how teachers from various backgrounds were affected by the quality of their school principals and work environments. The findings support the study's hypothesis that the principal's role in building a positive school culture, along with the principal's behaviors, practices, and leadership capacity significantly affect teacher satisfaction and retention. Some differences do exist with respect to how teachers from various grade levels are affected by their learning environments (including principal leadership), and to what organizational factors influence their decisions to stay.

Keywords: teacher attrition, retention, principal leadership

Introduction and Background

Teacher shortage is far from being a US problem. As of 2015, 93 countries in the world have experienced a shortage of teachers (The Borgen Project, 2015). Statisticians predict that more than 69 million new teachers would be needed by 2030 to teach the world's children (UNESCO, 2009). More than half of those would be needed to replace teachers quitting the profession or retiring (UN News, 2016). Schools serving children from poverty are significantly more impacted by this crisis than affluent schools.

Teacher shortages have been frequently associated with teacher attrition. The constant revolving door – especially for early career teachers in American schools – has been an increasing concern for both educational leaders and policymakers. Unlike teacher shortages, early career teacher attrition doesn't seem to be a problem spread globally (Organization for Economic Co-operation and Development, 2005). However, a number of Western countries have experienced same negative effects as the United States – especially Ireland, Australia, Spain, Britain, Sweden, and Canada (UNESCO, 2009).

In the United States, teacher turnover has had negative and costly effects on school finances, student achievement, staff morale, instructional continuity, parent satisfaction, and school culture. According to a report from Alliance for Excellent Education (2014), "roughly half a million U.S. teachers either move or leave the profession each year—attrition that costs the United States up to \$2.2 billion annually". Earlier studies also establish the financial impact that attrition has on organizations. In examining the cost of teacher attrition, Watlington, Shockley, Guglielmino, & Felsher, (2010) show that the cost of early attrition is not only economic: when highly effective teachers leave their classrooms, the impact on both student achievement and school budgets are "significant and deleterious" (Watlington et al., 2010).

High teacher attrition rates destabilize schools and rob the remaining staff of opportunities to grow professionally. While teacher expertise is developed in three to seven years, teachers are not staying in education long enough to become highly

skilled. In the United States alone, 40% of new teachers are leaving the profession within their first five years, with almost half of the teachers leaving from highly impoverished schools in rural or urban areas, or schools teaching large populations of minority students (Alliance for Excellent Education, 2014). Students learning from uncertified, inexperienced, or ineffective teachers struggle academically and are more likely to fall behind and drop out of school. Approximately 30% of these teachers leave for personal reasons. What about the others? And what role does teacher retention play in the bigger scheme of teacher shortage?

The reasons for teacher attrition have been studied frequently and from various perspectives: as a function of the teachers' individual characteristics, as influenced by economic necessities, and from a sociological perspective – that of the organization itself. While changing the individual characteristics of people or influencing the economic growth might prove to be daunting tasks, improving teachers' work conditions and feelings of self-efficacy are areas that educational leaders and policymakers could address.

At the organizational level, key contextual factors influencing a teacher's decision to stay may include the composition of the student population; hiring practices; the availability of resources for instructional spending; workload; teacher compensation and benefits; lack of collegiality; administrative support; and availability of professional development (Corbell, Osborne, & Reiman, 2010; Le Maistre & Pare, 2010). Not surprisingly, current research shows a direct correlation between teacher retention rates and school principals' level of support. However, are there any differences in contextual reasons why teachers with various characteristics stay or leave?

Purpose

The purpose of this study is to build on existing literature that examines the correlation between teacher attrition and school contextual and interpersonal factors - in particular the principal's behaviors, practices, and capacity to lead. The responses of teachers in different school environments in Western and Southeast Michigan are compared. The study looks at contextual reasons why teachers with various demographic characteristics, teaching experiences, teaching assignments, and levels of influence remain in a school or leave. The quality and the role of the school principal in retention is examined. Finally, recommendations are made to help educational leaders and policymakers better understand what they could do, from an organizational and legislative perspective, to help the retention of teachers.

Although this study examines various types of schools in Midwestern USA (specifically in Michigan), some extensions could be made to the global educational field, since neither the recommendations made, nor the teachers' aspirations towards a better work environment are regionally specific, and this research might inform a broader context.

Research Question 1: What are the effects of the school leadership on teachers' attrition?

Research Question 2: Are teachers from various demographic backgrounds, school systems, rural-urban areas, etc. affected differently by the quality of their school principals and work environments?

Literature Review

Numerous studies in the past decades have established a direct correlation between student learning and the quality of teachers, even when controlling for external factors such as students' low socio-economic status and English language proficiency levels (Aronson, Barrow, & Sanders, 2003; Hill, Rowan, & Ball, 2005; Sanders, Ashton, & Wright, 2005). The ability to secure quality teachers is lower for historically underachieving, high-poverty schools in large urban areas and rural districts than it is for wealthier, more successful schools (Gill, Posamentier, & Hill, 2016).

More retirements; fewer candidates matriculating in teacher preparation programs; relocation to a different geographical area; loss of licensure – all are valid reasons why the profession is losing some of its cadre. However, current research suggests that, in general, there is no shortage of qualified teachers to fill the number of extant vacant positions in the United States (Darling-Hammond, 2001). Supporting this finding, Voke (2002) argues that the so-called "shortage" comes from the distribution of teachers, and not from a general teacher supply problem. Shortages exist in highly impoverished schools; in certain geographical areas of the country; in schools serving English Language Learners (ELLs) or minority students; and in particular subjects - such as math, science, special education, or bilingual education (Voke, 2002; Bradley, 1999).

As a response to teacher distribution theories, a substantial body of empirical research centered on the reasons why teachers leave a school or the profession through the lenses of various theoretical and methodological perspectives. In

general, these studies explain the attrition phenomenon in the context of teacher personal characteristics, economic considerations, and sociological factors.

Various studies associate the high attrition rates with the personal characteristics of teachers. Teacher demographics (age, race, ethnicity, gender); the proxy measures of their qualifications (degrees, teaching experience, certifications); their personal characteristics (life outlook and resilience); and overall personality, have been analyzed in relationship to teacher attrition (Newton, Rivero, Fuller, & Dauter, 2011). Looking at longitudinal studies informing teacher retention and attrition since mid-1999, it appears that individual factors associated with teacher burnout, resilience, demographic features, and family characteristics were the biggest influences on leavers (Schaefer, Long, & Clandinin, 2012). Other personal factors include self-efficacy beliefs (Caspersen, 2013); alignment between work expectations and reality (Le Maistre & Pare, 2010); teaching orientation (Lam & Yan, 2011); and attaining a work-life balance (Cinamon & Rich, 2005).

Beginning with the early 2000's, research that was carried out by Richard Ingersoll started to look at teacher attrition through economic lenses. Ingersoll noted that trying to simply increase the supply of teachers through recruitment efforts or increased matriculation to teacher preparation programs without addressing why teachers are leaving would not fix the availability of teachers in low-income communities (Ingersoll, 2001). The centerpiece of his work is the theory that it is the high rates of teacher attrition in impoverished urban schools that causes a teacher shortage in these particular schools, and that any solution must focus more on retention initiatives than recruitment (Ingersoll, 2001).

Within the same conceptual framework grounded in economic theories, Grissom, Viano, and Selin (2015) argue that teacher turnover, in particular, and employee mobility in the public sector, in general, is influenced by the laws of labor supply and demand.

In looking at reasons for teacher attrition, Borman and Dowling (2008) reject a unilateral causation, naming both the teachers' individual characteristics and the organizational characteristics of their schools as main causes. At the school level, contextual factors include the composition of the student population; hiring practices; the availability of resources; student discipline; workload; teacher compensation and benefits; and opportunities to contribute to the decision-making process (Borman & Dowling, 2008; Corbell et al., 2010; Fantilli & McDougall, 2009; Le Maistre & Pare, 2010; Renzulli, Parrott, & Beattie, 2011).

Several studies emphasize the importance of looking at teacher attrition through the lenses of the sociology of organizations, in the context of the organization where the employees work (Ingersoll, 2001; Ladd, 2011). The theoretical framework of this study is deeply grounded in the sociology of organizations – specifically in the belief that teacher attrition can neither be solely explained as a function of teachers' individual characteristics, nor based on economic factors, without looking at the characteristics of the organization itself.

Some contextual factors of the organization that have an influence on a teacher's decision to leave include: the composition of the student population; hiring and onboarding practices; the availability of resources for instructional spending; the degree of teacher influence over organization policies; principal instructional leadership; workload, teacher compensation and benefits; teacher innovation; and availability of professional development (Allensworth, Ponisciak, & Mazzeo, 2009; Fantilli & McDougall, 2009; Johnson & Simon, 2015).

Some literature on teacher attrition also highlights the role that racial misalignment between students and their teachers has on teachers' levels of satisfaction with their work environments and subsequent departure from that organization. Two variables that affect job dissatisfaction and teacher turnover the most are the racial composition of their student population and the type of school they work in (traditional public v. charter). This affects white teachers from traditional public schools more than charter school teachers. Additionally, while charter school teachers enjoy more satisfaction with their jobs due to greater autonomy, they are also more likely to leave the teaching profession (Renzulli, Parrott, & Beattie, 2011).

A more explicit shift in the teacher attrition literature is made with the realization that some of the most important organizational factors affecting teacher retention are at the interpersonal level – things such as administrative support; positive and trusting relationships among staff; principal – teacher trust; degree of parent collaboration; student – teacher rapport; and mentor guidance (Bennett, Brown, Kirby, & Severson, 2013).

Especially interesting from a sociological perspective is the effect of the principal leadership on a teacher's decision to leave. More effective principals create environments where teachers thrive, thus preventing the retention challenges

common to schools with less effective school leaders (Ingersoll, 2001; Johnson, Kraft, & Papay, 2012; Ladd, 2011). In addition, principal's capacity to lead has been identified as one of the strongest predictors of teachers continuing in the same school year after year, or leaving the organization (Boyd et al., 2011; Grissom, 2011; Ladd, 2011).

In looking at the correlation between principal's level of support and teacher attrition in hard-to-staff schools, Hughes, Matt, and O'Reilly (2014) found that teachers who were planning to remain at the same school based their decision on the following areas of support (listed in the order of importance): emotional support, environmental support, instructional support and, lastly, technical support. There were no significant differences between the grade levels of teachers with respect to the importance of principal support in their decision to remain at the same school or leave (Hughes et al., 2014).

Methodology

In this section, the researcher presents the methodology used in accessing primary sources, beginning with a description of the data collection instrument (the survey); continuing with the selection of research participants; the data analysis procedure; and, finally, addressing some of the limitations of the data collection and analysis.

The Survey

A survey of 24 questions was developed to collect information leading to finding answers to the two research questions (see Appendix A). The survey contained both closed questions and open-ended questions.

Five types of demographic data sets were collected: type of school where respondent taught; grade level of the teaching assignment; teacher's years of experience; teacher's gender; and teacher's age. There were also four different sets of numerical answer questions that focused on teachers' perceptions of leadership effectiveness, staff culture, level of influence, and likelihood of moving schools based on the principal's capacity for leading, practices, and behaviors. Additionally, there were short answer questions that solicited responses related to the reasons for leaving the respondent's previous job; the aspects of the teaching job that produced most and least satisfaction for the respondent; and the areas of influence on school issues the respondent had. One question on the survey asked about the teacher's performance – as evidenced by the annual official teacher effectiveness rating based, in part, on student academic achievement or growth.

The survey was distributed on line, via Qualtrics, to preserve the anonymity of respondents. The assurance of anonymity was important to participants, since the subject matter addressed respondents' perceptions about their supervisors' capacity to lead schools and concerns about use of information had to be addressed. Participants were provided with a Consent Form incorporated in the very first pages of the actual survey. There were no pre-test or post-test procedures. This survey took approximately 20 minutes to complete and closed after six weeks from when participants received the invitation email.

The Participants

Voluntary participants included teachers of different ethnic backgrounds, age, gender, teaching experience, effectiveness ratings, etc. Participants were recruited through an email invitation to fill out the survey. The email was distributed in two ways: a) to the entire teaching staffs of traditional public and public charter schools in both rural and urban areas in Southeast (Metro Detroit) and Western Michigan areas; and b) randomly, to teachers at various schools in the targeted areas. A universal link to the survey was included; the link allowed the recipient to share with other teachers, through teacher networks and personal connections. Recipients of the email invitation were provided with a Consent Form incorporated in the very first pages of the actual survey. All subjects who fit the description "teacher," have worked in a targeted school; and filled out the survey were included in the preliminary data analysis.

Data Analysis Procedures and Limitations

Roughly 315 responses were collected using this survey. The initial step included a "data cleaning" phase, which resulted in the elimination of approximately 15 surveys – those from respondents other than "Teacher"; from Central Office or Intermediate School District staff; and those missing too many answers to be of any value for this study. The "Private School" and the "GED" (General Educational Development) groups were too small to analyze with a high degree of statistical certainty; therefore, responses from these 2 groups were excluded for some items.

The next step involved an analysis of whether the initial survey data was organized in a way that was appropriate for statistical analysis. Three main problems were identified that required correcting: missing data; too many numerical

questions to have short, meaningful summaries; and uncategorized short answer questions. As stated before, there were several respondents who opted out of answering one or two questions or sub-questions. To adjust for this, these responses were ignored on a need-by-need basis, and still used for all the answered questions, as they still provided valuable information.

To determine the internal consistency of the Likert-type questions and to resolve the problem of too many numerical questions to have short, meaningful summaries, the Cronbach's alpha test was employed. The goal was to determine if it was possible to combine the sub-questions of the sliding scale questions into single variables. Questions 8, 12, 13, and 24 were analyzed using this method. Based on the results of this test, questions 8, 12 and 13 were converted to a super-score. This super-score was an average of all of the respondent's answers for all of the sub-questions, meaning that 4 super-scores were calculated for each individual. The purpose of the super-score was to keep each individual answer independent and usable for further analysis.

The third challenge to resolve was the short answer questions. These included questions 14 through 23. Categories needed to be created to group the answers into a useable form. This was done manually, by going through all of the observations for each question, determining similarities in responses and developing categories to use. This method is a limitation because of the possible subjectivity in the groupings and the large amount of manual effort needed to change the dataset.

Although the numerical questions were treated as hard numbers, answers to "Likert-scale" questions on the survey could be somewhat subjective. To solve for this problem and because the questions are on a scale of 1 to 100 instead of the more common 1 to 10, the researcher chose to treat them numerically, as the alternative of converting the answers into bins, groups of ranges of answers, or different numbers takes away much of the variability of the data.

A last data collection and analysis limitation is also related to variability. The act of converting the sliding scale questions into solitary variables could be problematic because this can hide some information that might be interesting to look at in a future study. However, the researcher believes that it was important to balance this limitation with having a concise frame of data on which to make decisions, and that using three variables that effectively elicit the information needed to address the research questions is a worthwhile approach for this study.

Findings

The results and findings of this research study are consistent with findings from previous research, and provide additional insights to why teachers choose to stay at a school and in the profession, or leave. The results also indicate that there are some differences between what high school teachers would need to remain at a school and teachers from the elementary or middle school levels.

Description of Participants

Roughly 300 responses submitted from all grade levels were used consistently for this study. The largest group (n = 145, 63.0%) reported teaching at the elementary level. The second largest group was comprised of high school teachers (n=59, 19%). Forty-three (13.6%) teachers were teaching at the middle school level. There were 24 teachers (7.6%) who reported that their certification and teaching assignment span from Pre-k to Grade 12. A somehow non-traditional school configuration was the Grade 6 – Grade 12 group: nine teachers (2.8%) taught in these schools. Finally, two teachers (0.6%) worked in the General Educational Development (GED) Program. Fifteen respondents (4.7%) either missed to answer the question, or indicated they were not working as teachers, disqualifying their responses from being included in the data analysis.

The majority of teachers (n = 274, 87.0%) were female and forty-one (13.0%) teachers were male. This gender distribution aligns with data from the Organization for Economic Co-operation and Development (OECD), whose 2016 report on Distribution of Gender and Age for teachers in the United States indicated 87.1% women.

The teachers were asked to indicate their age, the number of years they had been teaching, and the type of school where they worked when they took the survey. The largest group of teachers (n = 116, 36.8%) were between 30 and 39 years old; the second largest group (n=74, 23.5%) were the teachers between 40 and 49 years old; sixty-three (20%) reported being between 20 and 29 years old; and forty-nine (15.5%) were between 50 and 59 years old. There were thirteen (4.1%) teachers who did not provide a response to this item.

The largest group of teachers (n=97, 30.8%) had been teaching for more than 16 years; the next largest group (n=46, 14.6%) were teachers with 4 to 6 years of experience in teaching; thirty-five (11.1%) teachers reported between 7 to 9 years in teaching; while thirty-four teachers (10.8%) had both between 10 to 12 years of experience and 1 to 3 years. Finally, thirty-one (9.8%) teachers reported between 13 to 15 years of teaching, and eleven (3.5%) were in their first year of teaching when they took the survey. Twenty-seven (8.5%) respondents did not respond to this item or were in a non-teaching position at the time of the survey.

When asked about their annual effectiveness rating for teacher evaluation purposes, 157 (52.3%) of teachers responded that they were rated "Effective" in the past 3 years; 140 (46.7%) were rated "Highly Effective"; and 3 (1%) were rated "Minimally Effective".

For the type of school where they worked, the largest group of respondents (n=141, 47%) worked in traditional public schools. Seventy-one teachers (23.6%) were employed by Grand Valley State University (GVSU) chartered public schools, while 54 teachers (18%) worked in charter public schools authorized by other entities in Michigan. A small group of teachers (n=7, 2.3%) reported employment in private schools and six (2.0%) worked in Special Education Centers. Twenty-one (7.0%) respondents from the teaching ranks did not indicate the type of school where they worked.

Cursory observations of these data sets showed that for the grade level and school type categories, the "Special Education Center" and "Private School" groups are too small to be analyzed with a high degree of statistical certainty. Problems within the student grade level demographic include small sample sizes for the "GED Program".

Research Question 1: Data Analysis, Findings, and Discussion

Research Question 1 asked: "What are the effects of the school leadership on teachers' attrition"?

For this summary, the main numerical question is 24, designed to elicit perceptions about the importance of school leaders' experiences, attitudes, actions, and practices. This question has a 6-part sliding scale response format, where each of the sub-questions is related to a respondent's likelihood of leaving their school based on specific reasons. It was determined via the Cronbach's alpha test that the separate responses could not be grouped together as one overarching question. Across the various age groups, number of years teaching, and the grade level for the teaching assignment, all teachers indicated that school leadership had a considerable impact on their decision to stay at a school. There was very little difference in how the sub-questions were answered, except between the different school types.

The analysis of numerical questions treated as hard numbers on a scale 1 to 100 (where 100 means "the most important" and "most likely") revealed that teachers from Non-GVSU-Authorized Charter Schools had the most likelihood of being influenced in their decision to leave a school by the principal's level of experience, attitudes, actions, and practices – with an average around 86.6%. The least likely teacher group to be influenced by the principal's attitudes and actions were teachers from Private Schools. This could be explained, partially, by the fact that this was the smallest group analyzed (with n=7), and partially by the specific profile of teachers working in nonsectarian private schools. In general, these teachers are more satisfied with their class size (smaller than in traditional public schools) and the level of control they feel they have over school curriculum, the choice of textbooks, and class content (National Center for Education Statistics, 2005). Teachers from private schools might also have stronger community ties that could influence their decision to stay at a school more than their principals' attitudes and actions.

Looking at sub-questions 5 and 6, it could be inferred that teachers are not as likely to quit the teaching profession based on the principal's or other administrators' attitudes, actions, and practices, except for those who teach at GVSU-Authorized Charter Schools. It is important to note that, although this group of teachers is more likely to quit the profession, the average answers were still relatively low (around 50 on a scale of 1 to 100).

One of the specific sub-questions (24_4) asked about the likelihood that a teacher would be willing to change schools to follow a principal. Based on an answer average of 50 or higher, in all cases except for Private Schools and Special Education Centers, teachers would at least consider this possibility. We hypothesize that the reason we see a difference in these two school types is that there is a distinguishable difference in how these particular teachers view their roles. Teachers who are associated with a private school system, may have more autonomy and community ties, so they are not as beholden to the principal and other administrators as teachers from more traditional schools. We also hypothesize that "special needs" teachers are more likely to be attached to their students, regardless of the principal or administration.

These teachers could have overlapping managers: their principal and a Special Education Supervisor, who might be responsible for their teacher evaluation. So, this category of teachers might not be as tied to their principal as others.

Question 17 asked about the last time participants left a school, including whether they were planning to leave their school at the end of the current school year and the circumstances of their departure: if they left at will; were encouraged to leave; were laid off, or terminated. The majority of those who left at will were from traditional public schools (n=147, 49.1%). The next highest demographic was GVSU-Authorized Charter Schools (n=68, 22.6%), followed by Non-GVSU Authorized Charter Schools (n=51, 17.0%). Looking at the percentage breakdown of how many responses participated in the survey, by school, approximately 50% of the respondents were from traditional public schools, and the next highest percentages were again GVSU-Authorized and Non-GVSU-Authorized Charter Schools. This means that the responses for leaving at will follow the same distribution as the number of responses from each school type, which means that there is no school type where the teachers are leaving at will at a higher rate than other school types.

As a follow-up to question 17, question 18 asked those who indicated they left their school at will about their reason. This was one of the open-ended questions that was manually re-categorized. Approximately one third of the teachers (29.9%) left because of poor or unstable leadership. Teachers from traditional public schools (17%), followed by both GVSU-Authorized (12%) and Non-GVSU-Authorized (12%) charter schools had the most responses in this category.

The next analysis pertains to responses given to question 21, "Under what conditions under the control of your principal would you have remained at the school?". A manual re-categorization was required for this question. The 3 key conditions that teachers feel are under the control of the principal that would have affected decisions to stay were "more support" (7.7%) at par with better compensation and benefits (7.7%), followed by more respect (4.8%).

Research Question 2 Data Analysis, Findings, and Discussion

Research Question 2 asked, "Are teachers from various demographic backgrounds, school systems, rural-urban areas, etc. affected differently by the quality of their school principals and work environments"?

The One-Way ANOVA statistical test was performed on the sliding scale questions 8, 12, and 13. The analysis revealed that the only demographic where there seemed to be some degree of difference is within the grade level of the teacher's assignment. Both sets of ANOVA tests agreed that there is a score difference for questions 8 and 13. To find out which groups are different from each other, a post-hoc test called Tukey's Honest Significant Difference was performed. This test checks every pairwise combination of groups within the demographic variable and returns a p-value similar to the ANOVA test to help indicate which groups are significantly different.

After running the TukeyHSD test, we found that there is one group that is significantly different than two others for the Teaching Grade Level demographic: the high school teachers, who have significantly different scores with respect to the school environment and teacher influence. To find out the reason for this, the researcher looked at the average scores for these three main teaching grade levels for questions 8 and 13. The high school teachers have an average score of 10 less compared to the other school types. Because the averages comprise over 50 observations, the volume means that seemingly smaller differences are much more important. One key finding of this analysis then is that high school teachers are less satisfied with their school environment and teacher influence than teachers from other grade levels.

To gain a deeper understanding of the teachers' specific concerns, the short answer questions were analyzed. Question 10 asked about the frequency of work-related social gatherings organized by school leaders. While there were some small differences, the percentages were roughly the same for each teaching grade level group. This consistency across grade levels could be attributed to the fact that this question could be associated more with staff culture than with the school work environment and teacher influence.

Question 23 asked about what the teachers would change at their current school, given the opportunity. The most standout responses are a need for a supplies budget, higher compensation, and better student discipline. Additionally, the response rate for school leaders' communication, better teacher evaluation, consistency, curriculum input, and school culture are all fairly high for high school teachers. These teachers are more focused on specific things an administrator needs to provide them in terms of support. While elementary teachers are looking for constant feedback and collegial contact, high school teachers see themselves as more entrepreneurial in the classroom: they want to be provided with the materials and supplies they need, make curriculum decisions, and then be allowed to do their job without much interference.

Seven of the eight categories fit the parameters of “school environment” and “teacher input”, leading to the conclusion that these areas are important to address in a high school environment. Furthermore, these categories had relatively larger response rates from elementary and middle school teachers, too, pointing towards areas of improvement for all schools, regardless of the grade level taught.

Finally, question 20, “What specific aspects of your job did you least enjoy?” could also reveal discrepancies between teachers assigned to different grade levels. Although this question is phrased in a way that asks about the teacher’s previous job, the information provided could still be relevant to the same grade level because teachers’ certification rarely changes from one year to another. There are many response categories for question 20; however, there are some that stand out from the rest. These include “Lack of Administration Support”, “Paperwork”, “Students”, and “Staff Issues”. Three out of the four of these are common problems among all three grade levels. The exception is “Staff Issues” that appears to be more of a concern for high school teachers. The four areas indicate some of the organization and leadership-related issues that would need to be addressed if higher retention of teachers is desirable.

To conclude the findings for the second research question, the only sizeable difference found within the demographics concerns the grade level of teachers’ assignments related to the school environment and teacher influence variables. The data analysis was accomplished via a One-Way ANOVA test, and the post-hoc tests revealed that the high school teachers group was significantly different. Upon looking into the high school group further, it was evident that the biggest points of complaint were fiscally motivated (supplies budget and greater compensation); and desiring of better administration support (teacher evaluation practices, student discipline, and more curriculum input). Furthermore, we found that some of the common issues that teachers of all types of students had with their previous jobs that are likely still issues were with a lack of administration support, students and their behavior, staff issues, and excessive paperwork.

Conclusions and Recommendations

The results of this study support the claim that more effective principals know how to create environments where teachers flourish, consequently preventing the attrition challenges common to schools with less effective school leaders. While it is true that a number of problems identified have to do with finances, which can be harder to solve, some of the most important organizational factors affecting teacher retention are at the management and the interpersonal level. The implications of this study for principals include finding and providing resources; creating systems and structures that lead to order in the organization; encouraging collaborative environments; better practices in supporting, developing, and evaluating teachers; reducing bureaucratic tasks for instructional staff; implementing strong induction and mentoring programs; showing and giving respect – attributes that result in better working conditions and job satisfaction for teachers.

The implications of this study for those developing future leaders are related to best ways to teach supportive leadership skills to aspiring principals. With similar findings across contextual factors, should the development of teacher leaders have some variations because of the different contexts of specific schools? One example would be developing leaders of schools with limited resources to know how to access and utilize community resources. Similarly, since principals might need a different skill set depending on the environment where they will work (urban settings v. rural; less affluent v. affluent; schools where there is a large discrepancy between the racial composition of students v. teachers; etc.) should educational leadership programs train principals to lead differently? This aspect has not been yet addressed in previous literature.

Finally, recommendations for policymakers include creating policies to promote a more equitable distribution of experienced teachers and to prevent the concentration of beginner teachers in high-needs schools, as well as strengthening educational finance reforms that have multiple goals: to attract new individuals to the profession; to provide adequate resources to existing teachers and school administrators (including increased instructional spending and salaries); and to increase the overall effectiveness of school finances and operations.

References

- [1] Aaronson, D., Barrow, L. & Sander, W. (2007, January). Teachers and Student Achievement in the Chicago Public High Schools. *Journal of Labor Economics* 25, no. 1: 95-135. Retrieved from: <https://doi.org/10.1086/508733>.
- [2] Allensworth, E., Ponisciak, S., & Mazzeo, C. (2009, June). The Schools Teachers Leave: Teacher Mobility in Chicago Public Schools. Chicago: Consortium on Chicago School Research at the University of Chicago Urban Education Institute. Retrieved from: https://ccsr.uchicago.edu/sites/default/files/publications/CCSR_Teacher_Mobility.pdf. Page 2.
- [3] Alliance for Excellent Education. (2014, July). On the Path to Equity: Improving the Effectiveness of Beginning Teachers. Washington, DC: Author. Retrieved from: <https://all4ed.org/wpcontent/uploads/2014/07/PathToEquity.pdf>.
- [4] Bennett, S. V., Brown, J. Kirby, A., & Severson, B. (2013). Influences of the heart: Novice and experienced teachers remaining in the field. *Teacher Development*, 17(4), 562-576. doi: 10.1080/13664530.2013.849613.
- [5] Borman, G. D., & Dowling, N. M. (2008). Teacher attrition and retention: A meta-analytic and narrative review of the research. *Review of Educational Research*, 78, 367–409.
- [6] Boyd, D. J., Grossmam, P. L., Ing, M., Lankford, H., Loeb, S., & Wycoff, J. H. (2011). The influence of school administrators on teacher retention decisions. *American Educational Research Journal*, 48(2), 303-333. <http://dx.doi.org/10.3102/0002831210380788>
- [7] Bradley, A. (1999). States' uneven teacher supply complicates staffing of schools. *Education Week*, 18(26), 1, 10–11.
- [8] Caspersen, J. (2013). The valuation of knowledge and normative reflection in teacher qualification: A comparison of teacher educators, novice and experienced teachers. *Teaching and teacher education*, 30, 109–119.
- [9] Cinamon, R. C., & Rich, Y. (2005). Work-family conflict among female teachers. *Teaching and Teacher Education*, 21, 365-378.
- [10] Corbell, K.A., Osborne, J. and Reiman, A.J. (2010). Supporting and retaining beginning teachers: a validity study of the Perceptions of Success Inventory for Beginning Teachers; *Educational Research and Evaluation*, 16:1, 75-96.
- [11] Darling-Hammond, L. (2001). The Challenge of Staffing Our Schools. *Educational Leadership*, v58 n8, 12-17.
- [12] Fantilli, R. D., & McDougall, D. E. (2009). A Study of Novice Teachers: Challenges and Supports in the First Years. *Teaching and Teacher Education*, 25, 814-825. From: <http://dx.doi.org/10.1016/j.tate.2009.02.021>
- [13] Gill, S., Posamentier, J., & Hill, P. (2016). Suburban Schools: The Unrecognized Frontier in Public Education. Center on Reinventing Public Education. University of Washington, Seattle, WA. Retrieved from: <https://files.eric.ed.gov/fulltext/ED565891.pdf>.
- [14] Grissom, J. A. (2011). Can good principals keep teachers in disadvantaged schools? Linking principal effectiveness to teacher satisfaction and turnover in hard-to-staff environments. *Teachers College Record*, 113, 2552–2585.
- [15] Grissom, J., Viano, L. S., & Selin, J. (2015). Understanding Employee Turnover in the Public Sector: Insights from Research on Teacher Mobility. *Public Administration Review*. 76. 10.1111/puar.12435.
- [16] Hill, C. H., Rowan, B., & Ball, D. L. (2005). Effects of teachers' mathematical knowledge for teaching on student achievement. *American Educational Research Journal*, 42, 2, 371-406.

- [17] Hughes, A., Matt, J., & O'Reilly, F. (2014). Principal Support is Imperative to the Retention of Teachers in Hard-to-Staff Schools. *Journal of Education and Training Studies*, 3(1), 129-134. doi: <http://dx.doi.org/10.11114/jets.v3i1.622>
- [18] Ingersoll, R. M. (2001). Teacher turnover and teacher shortages: An organizational analysis. *American educational research journal*, 38 (3), 499-534.
- [19] Johnson, S. M., Kraft, M. A., & Papay, J. P. (2012). How context matters in high-need schools: The effects of teachers' working conditions on their professional satisfaction and their students' achievement. *Teachers College Record*, 114(10), 1-39.
- [20] Johnson, S. M. & Simon, N. S. (2015). Teacher Turnover in High-Poverty Schools: What We Know and Can Do. *Teachers College Record*, v117 n3 2015.
- [21] Ladd, H. F. (2011). Teachers' perceptions of their working conditions: How predictive of planned and actual teacher movement? *Educational Evaluation and Policy Analysis*, 33(2), 235-261. <http://dx.doi.org/10.3102/0162373711398128>
- [22] Lam, B. and Yan, H. (2011) Beginning Teachers' Job Satisfaction: The Impact of School-Based Factors. *Teacher Development*, 15, 333-348. <http://dx.doi.org/10.1080/13664530.2011.608516>
- [23] Le Maistre, C., & Paré, A. (2010). Whatever it takes: How beginning teachers learn to survive. *Teaching and Teacher Education*, 26(3).
- [24] National Center for Education Statistics (2005). Private Schools in the United States: A Statistical Profile, 2003-2004. Nonsectarian Regular Schools. Retrieved from: <https://nces.ed.gov/pubs/ps/97459ch4.asp>.
- [25] Newton, X. A., Rivero, R., Fuller, B., & Dauter, L. (2011). Teacher stability and turnover in Los Angeles: The influence of teacher and school characteristics. From: http://edpolicyinca.org/sites/default/files/2011_PACE_WP_NEWTON.pdf
- [26] Organization for Economic Co-operation and Development. (2005). Teachers matter: Attracting, developing and retaining effective teachers. Retrieved from http://www.oecd.org/document/52/0,3746,en_2649_39263231_34991988_1_1_1_1,00.html.
- [27] Renzulli, L. A., Parrott, H. M., & Beattie, I. R. (2011). Racial Mismatch and School Type: Teacher Satisfaction and Retention in Charter and Traditional Public Schools. *Sociology of Education*, 84(1), 23-48. Retrieved from: <https://doi.org/10.1177/0038040710392720>
- [28] Sanders, W., Ashton, J., & Wright, P. (2005). Comparison of the effects of NBPTS certified teachers with other teachers on the rate of student academic progress. Arlington, VA: National Board for Professional Teaching Standards.
- [29] Schaefer, L., Long, J. S., & Clandinin, D. J. (2012). Questioning the research on early career teacher attrition and retention. *Alberta Journal of Educational Research*, 58, 106-121.
- [30] The Borgen Project. (2015, July). The Global Teacher Shortage Crisis. Author: Greg Baker. Retrieved from: <https://borgenproject.org/global-teacher-shortage-crisis/>
- [31] UN News. (2016, October). Nearly 69 million new teachers needed to achieve global education goals. Retrieved from: <https://news.un.org/en/story/2016/10/541902-nearly-69-million-new-teachers-needed-achieve-global-education-goals-unesco>.
- [32] UNESCO Institute for Statistics. (2009) Projecting the global demand for teachers: Meeting the goal of universal primary education by 2015. Technical Paper No. 3. Retrieved from: <https://unesdoc.unesco.org/ark:/48223/pf0000186397>.
- [33] Voke, H. (2002). Understanding and Responding to the Teacher Shortage. *Educational Leadership*. V.29, May 2002.

- [34] Watlington, E., Shockley, R., Guglielmino, P., & Felsher, R. (2010). The High Cost of Leaving: An Analysis of the Cost of Teacher Turnover. *Journal of Education Finance*. 36. From: 10.1353/jef.0.0028.

Appendix A

Survey Questions

Q1	Intro and permission to use question
Q2	At which type of school did you teach during the 2017-2018 school year?
Q3	Choose all that apply
Q4	What is your current age and gender?
Q5	Indicate the number of full time professional years of teaching experience you have, since graduating with a teaching degree to date (exclude student teaching).
Q6	Is teaching your first professional/degreed career?
Q7	In the past 3 years of my teaching, my teaching effectiveness for evaluation purposes has been mostly:
Q8_1	Using the scale provided below, rate each of the following with respect to your perception about school effectiveness, with 100 being the most satisfactory: Overall instructional leadership (school leader involvement in planning, classroom observations, data analysis meetings, etc.)
Q8_3	School safety
Q8_4	Your own classroom culture
Q8_5	Your own classroom safety
Q8_6	Instructional planning
Q8_7	Observation-feedback
Q8_8	Teacher evaluation clarity and fairness
Q8_9	Professional development usefulness
Q8_10	Timely interventions for struggling students
Q8_11	Career progression opportunities
Q8_12	Compensation and Benefits
Q8_13	Non-monetary recognition from your school leader
Q9	During this last school year, did teachers have opportunities to earn bonuses or incentives for exceptional work?
Q10	How often did the principal or the admin team organize work- related social gatherings?
Q11	How often did the principal or the admin team hold team building activities?
Q12_1	Using the scale provided below, rate each of the following with respect to your perception about staff culture, with 100 being the most satisfactory: How well you worked with the principal on a professional level?
Q12_2	How well you worked with the principal on a personal level?
Q12_3	The level of communication you had between yourself and the principal
Q12_4	The level of professional support you felt the principal provided
Q12_5	The level of trustworthiness you felt the principal had amongst teachers
Q12_6	Using the scale provided below, rate each of the following with respect to your perception about staff culture, with 100 being the most satisfactory: The level of respect the teachers had for the principal
Q12_7	The respect level the principal had for the teachers
Q12_8	How well you worked with non-teaching staff members
Q12_9	How well you worked with other teachers
Q12_10	How well the principal handled issues of teacher-to-teacher conflict
Q12_11	The overall sense of community within the school
Q12_12	The degree to which any concerns you brought to the principal were adequately addressed
Q12_13	How well the principal showed genuine teacher appreciation
Q12_14	The level of accessibility of the principal
Q12_15	The level of comfort you felt going to the principal with work-related problems
Q13_1	Using the scale provided below, rate each of the following with respect to your perception about teacher influence, with 100 being the most satisfactory: Curricular decisions

Q13_2	Instructional materials
Q13_3	Instructional strategies
Q13_4	Professional development choices
Q13_5	Your teaching schedule
Q13_6	Student discipline and behavior interventions
Q13_7	Student academic interventions
Q13_8	Budgetary decisions, as appropriate
Q14	Please list one or more areas in which you felt most satisfied with respect to the amount of influence you had:
Q15	Please list one or more areas in which you wish the principal had allowed you to have more influence
Q16	How large was your average class size?
Q17	Last time when you changed the school where you worked, which of the following best reflects the circumstances under which you left the school?
Q18	If you selected option "I left the school at will", please provide one or more factors that contributed most to your decision to leave the school
Q19	What specific aspects of your job did you most enjoy?
Q20	What specific aspects of your job did you least enjoy?
Q21	Under what conditions under the control of your principal would you have remained at the school?
Q22	What has been most rewarding about working at your current school?
Q23	What would you change in relation to working at your current school, if you could?
Q24_1	Using the scale provided below, rate each of the following, keeping in mind that 100 means "the most important" or "most likely": Importance of principal's experiences, attitudes, actions, and practices in your decision to stay at a school
Q24_2	Importance of other school administrators' experiences, attitudes, actions, and practices in your decision to stay at a school
Q24_3	Likelihood of you staying at a school mainly because you trust/like the principal
Q24_4	Likelihood of you moving to another school mainly because a principal you trust/like is moving to that school
Q24_5	Likelihood of you quitting the teaching profession within 1 to 3 years because of a principal's attitudes, actions, and practices
Q24_6	Likelihood of you quitting the teaching profession within 1 to 3 years because of other administrator's attitudes, actions, and practices

Teachers' Understanding and Practices Regarding Inclusive Education with Students with Autism Spectrum Disorder (ASD) in an Inclusive Primary School in the Kingdom of Saudi Arabia. "Literature Review"

Abdulmalik Alkhunini

PhD Candide at School of Education, University of Bristol

Abstract

The number of individuals identified as having Autism Spectrum Disorder (ASD) has increased in recent decades (Frieden et al., 2014). For example, In the United states about 1 out of 68 children were diagnosed with ASD in 2010 (CDC, 2014). ASD is defined as a lifelong neurodevelopmental disorder characterized by impairments in social interaction, verbal, and non-verbal communication, and a restricted repertoire of activities and interests (American Psychiatric Association, 2000). Furthermore, in the last two decades, as the number of people diagnosed with ASD has risen globally, the matter of how to educate students with ASD has been critical (Lindsay et al., 2014). Moreover, many researchers examined the effect of including students with ASD in mainstream classrooms. One study showed that students with ASD in mainstream classrooms received higher scores in standard achievement tests than students with ASD who were not in mainstream classrooms (Rea and Walther-Thomas, 2002). Another study reports that inclusive education demands the design and implementation of effective strategies for use with these students. The aim of this paper is to reviewing the literature regarding teachers' understanding regarding inclusive education and ASD and how their understanding relate to their teaching strategies in mainstream classrooms

Keywords: Inclusive education, Autism, teacher's perspective Introduction

Introduction

The number of individuals identified as having Autism Spectrum Disorder (ASD) has increased in recent decades (Frieden et al., 2014). For example, in the United States (US) about 1 in 68 children as having ASD (CDC, 2014), while the National Health Service (NHS) reported that in 2012, there were approximately 700,000 people with ASD in the United Kingdom (UK) alone, which meant that more than 1 in 100 people in the UK had been diagnosed with the condition. Meanwhile in the Kingdom of Saudi Arabia (KSA), which has a population of over 28 million, the prevalence of ASD is 1 per 167 people (Alnemary et al., 2017).

ASD is defined as a lifelong neurodevelopmental disorder characterized by impairments in social interaction, verbal, and non-verbal communication, and a restricted repertoire of activities and interests (American Psychiatric Association, 2000). In 2013, the American Psychiatric Association published the fifth version of the Diagnostic and Statistical Manual of Mental Disorders (DSM - 5). This edition consolidated the three distinct ASD conditions previously classified under DSM-IV-TR, which consisted of Autistic Disorder, Asperger's Disorder, and Pervasive Developmental Disorder, together with those not otherwise specified (PDD-NOS), into one condition called ASD, eliminating the subtypes. This therefore meant that individuals with a well-established DSM-IV diagnosis of the aforementioned conditions should henceforward be assigned a diagnosis of ASD. Meanwhile, individuals with marked deficits in social communication, but whose symptoms do not otherwise meet the criteria for ASD, should be evaluated for Social (Pragmatic) Communication Disorder (American Psychiatric Association, 2013).

Students with ASD can often encounter difficulties with social interaction, and verbal and nonverbal communication, and can experience sensory issues (Lindsay, 2014). For example, individuals with ASD may demonstrate self-stimulatory behaviours, such as noisemaking; covering, or rapidly blinking their eyes; flapping their hands; and obsessive behaviour, and also impairments in social interaction, communications, and relationships. Thus, they may struggle to understand, or to communicate their needs to their teachers and classmates (Lindsay, Proulx, Scott and Thomson, 2014).

The majority of education systems worldwide encounter difficulties in providing effective, high-quality education for students with ASD (Lindsay et al., 2014). At the time of writing, the KSA was in the process of formulating educational legislation and policies to promote the inclusion of students with ASD, but currently KSA does not have legislation that require schools to include students with disabilities. However, the Ministry of Education in KSA has devised a scheme within the King Abdullah bin Abdul-Aziz Project for Public Education Development, which is a programme of reforms for the KSA educational system. The ASD legislation falls under the Ministry of Education's provision called the Tatweer project. In 2015, Tatweer project established six schools incorporating the inclusive education system, three for boys, and three for girls; these schools were named 'Tatweer schools'. Tatweer schools include students with autism within the general education classroom, adhering to the following directive from the National Centre on Educational Restructuring and Inclusion (2011, p.1):

Providing to all students, including those with significant disabilities, equitable opportunities to receive effective educational services, with the necessary supplementary aids and support services, in age appropriate classrooms in their neighbourhood schools, in order to prepare students for productive lives as full members of society.

Inclusion is critical and has been demonstrated to possess a number of positive social and academic outcomes, including an increased level of engagement and social interaction on the part of ASD students, together with enabling them to achieve a higher level of social skills, such as larger social networks (Myers, Ladner and Koger, 2011).

Literature review

The aim of this literature is to develop more in-depth knowledge of teachers' understanding of inclusive education and ASD, and how their understanding is related to their teaching of students with ASD in inclusive classrooms.

Teachers' understanding regarding inclusive education and ASD

There has been an international drive towards inclusive education. Policies and practices relating to meeting the needs of all children, including those with identified ASD, have shifted their focus from the medical-model way of thinking towards a more social or interactive model that addresses the need to make environmental changes in order to remove barriers to learning (Frederickson and Cline, 2011). This change affects the Saudi government and there are six schools in Saudi Arabia that have adopted the inclusive approach to education. This study will investigate one of those schools. As a result of this change on an international level, a growing interest has been noted in the concept of teacher practices. As Forlin (2012, p. 4) points out:

Evolving from a medical model of disability, there has been a distinct transition internationally towards a social model that encourages and supports the education of all pupils regardless of need, within the same school and the same classroom. Such a change in philosophy has resulted in new models of education, which are more complex and often require difficult changes in the way schools function and in the expectations for teachers.

Research evidence demonstrates that teachers' beliefs are one of the most important factors affecting their practice (Watkins, 2012) Teachers' beliefs are related to their strategies for coping with everyday challenges in their professional life, and also to their general well-being. They shape the students' learning environment and they exert an influence on student motivation and achievement (OECD, 2009).

Jordan et al. (2009) argue that effective inclusive practices depend, in part, on the teachers' beliefs about inclusive education, about their roles and responsibilities in working with students with disabilities, and about the nature of disability (Jordan et al., 2009; Specht et al., 2015). They suggested that teachers need to believe that all students belong in mainstream classrooms, have confidence in teaching all students in those classrooms, and have the knowledge and skills to do so (Florian and Black-Hawkins 2011; Specht et al., 2015). Teachers' beliefs about teaching children with disabilities have been recognised as an important factor in the implementation of inclusive practices in classrooms.

In this regard, the professional identity of teachers should involve inclusive education. In other words, teachers should consider themselves capable of teaching a diverse range of students, including those with disabilities (Jordan et al., 2009; Specht et al., 2015). As discussed in the section on inclusive education, the philosophy of inclusion is based on several values, such as equality, participation, development, and respect for diversity (Watkins, 2012; Specht et al., 2015). However, as has been previously mentioned, inclusion in the Saudi context was the outcome of a political decision and pressure resulting from Western educational developments (e.g. the Salamanca statement of 1994), rather than a

pedagogical decision that would have led to the construction of a truly inclusive educational system (Alquraini, 2010). Within this context, the inclusion movement was an adaptation of foreign terminology and pedagogies that may not correspond to Saudi reality or the beliefs of Saudi teachers.

In addition, teachers' knowledge and understanding of the diagnosis affected their expectations regarding the behaviour of students with ASD. If teachers lack awareness of the characteristics of ASD, this can lead them to misunderstand the behaviour of students with ASD and can have an impact on their expectations of those students (Lindsay et al., 2013). Teachers' knowledge and understanding of ASD, and their awareness and use of strategies for dealing with students with ASD, were identified by education professionals as key factors impacting on their practices in inclusive classrooms (Humphrey and Symes, 2013; Lindsay et al., 2013).

There are indications that suggest that teachers tend to express concern about their teaching skills because of their qualifications; this affected their confidence in their ability to teach students with disabilities in their classrooms (Cefai, Fenech, and Galea, 2007). Knowledge and understanding of autism vary among school staff. Special education teachers and school psychologists rated themselves as being more aware of strategies than general education teachers (Humphrey and Symes, 2013). Furthermore, the majority of the general education teachers expressed concern about their limited knowledge of autism and lack of awareness of relevant teaching strategies (Lindsay et al., 2013). In particular, general education teachers felt that limited training for teachers had a negative impact on their knowledge in this area (Iadarola et al., 2015).

Morley et al. (2005) conducted a study of 43 teachers from a large city in England in order to examine their views on inclusive education. The analysis of the data, which was obtained using semi-structured interviews, showed that teachers in this study viewed inclusion as a process that could be improved inside the school system. The teachers mentioned that understanding the ability of students with disabilities is an important factor that affects their teaching. In addition, prior training was considered to have an important effect on inclusion, as the teachers suggested that their training was limited and insufficient. However, some authors argue that improving knowledge of and confidence in inclusive education can significantly improve teachers' classroom practices and reduce the anxiety experienced by teachers in this regard (Burke and Sutherland, 2004).

In conclusion, the concept of inclusion in Saudi Arabia has not yet been well explored. This is due to the fact that there has been no legislation on inclusion and also because of the limitations of studies investigating the practicality of inclusion. Most of the literature has focused on teachers' attitudes towards students with disabilities. Moreover, the concept of inclusion in the Saudi educational system has been adapted from Western countries after the signing of the Salamanca statement (1994). This concept may not correspond with either the reality of education in Saudi Arabia, or the beliefs of Saudi teachers. It has been suggested that the implementation of inclusive education is heavily dependent on teachers' beliefs about inclusive education and ASD, and the effect that these beliefs have on their practice has been highlighted. These studies have addressed some of the factors that appear to influence teachers' practices, including training, a lack of knowledge regarding disabilities, and the extent to which collaboration between educators in the school takes place. These factors will be discussed in the next section.

Teacher's practices for students with ASD in inclusive classrooms.

Teaching students with ASD in an inclusive classroom is one of the hardest and most complex areas in education (Humphrey and Lewis, 2008). Two studies have identified teaching strategies and approaches for students with ASD in inclusive schools as a key 'gap' in the knowledge base for special educational needs provision (Davis and Florian, 2004; Humphrey and Parkinson, 2006). These studies led the National Autistic Society to suggest that "the lack of understanding and appropriate provision means that children with autism are losing out" (NAS, 2003b, p. 5).

Many schools struggle to meet the needs of students with ASD, and it is obvious that teachers face many challenges when educating learners with ASD, such as finding an appropriate curriculum or finding ways of communicating with those with ASD, given the nature of the impairment (Lindsay et al., 2013). Furthermore, the educator's knowledge and their awareness of using strategies are a key factor in the success of inclusion (Lindsay et al. 2013).

There is no literature that studies the strategies used with students with ASD in schools in KSA, either in private or inclusive classrooms. However, there are some studies that have investigated inclusive strategies for students with ASD globally. For example, in Canada, Lindsay et al. (2014) conducted a study exploring elementary teachers' perspectives regarding

the strategies to use with learners with ASD in inclusive classroom. They conducted in-depth interviews with 13 educators who had experience of teaching children with ASD in two cities in Canada. The findings reported five strategies: (1) advocating for resources and essential training, (2) tailored teaching methods, (3) teamwork within the school, (4) building a rapport with parents and students, and (5) building a climate of acceptance within the classroom through disability awareness, education, and sensitivity training. Their conclusion demonstrates that there are some socio-structural barriers, such as lack of training and resources. Moreover, in their study, teachers recommended that more resources, training, and support are needed to facilitate the inclusion of children with ASD.

Frederickson et al. (2010) conducted a study with teachers and school staff in UK. They investigated the characteristics of the provision available to pupils with ASD in mainstream schools with and without a specialist ASD resource base. They conducted semi-structured interviews with teachers and school staff in 26 schools about levels of inclusion and support, and about the strategies used to support students with ASD. They found some strategies, such as functional behavioural assessment, social stories, and supplemented communication approaches, like the picture exchange communication system (PECS) (Bondy & Frost, 1994). However, they found that except for collaboration, most strategies require an autism specific resources room. The findings confirmed that it is important for parents of children with ASD to enrol their children in schools that have ASD resource bases. However, they found that such bases could be made available across more settings given appropriate staff training.

Teaching strategies related to teacher's understanding of inclusive education:

Teacher Training

Both of the studies mentioned above (Lindsay et al., 2014; Frederickson et al., 2010), and earlier research into teachers' understanding (Morley et al., 2005), reported that teacher training is one of the key requirements for ensuring that teachers are able to teach learners with ASD in inclusive settings. Teachers need to be comfortable teaching those with ASD; Harding (2009) argued that the more training teachers have, the more comfortable and positive they are about teaching those learners in inclusive settings, as they are able to gain first-hand experience and change their values and beliefs to be consistent with an inclusive education philosophy. Moreover, teachers who lack training or knowledge of how to teach those learners were found to be more stressed. Leblanc, Richardson, and Burns (2009) found that any stress experienced had a negative impact, not only on teachers and the learning process, but also on the attainment of most educational goals. Teachers should be trained well and should have the required level of awareness about students with ASD, as well being familiar with the strategies that they could use to teach those learners (Lindsay et al., 2013). Training courses for teachers provide an opportunity to influence their beliefs about the process of including students with disabilities, and to improve their teaching skills.

With regard to teachers' skills and their ability to teach in inclusive classrooms, teachers develop a greater degree of confidence when they have years of training and specific coursework directed towards teaching in inclusive settings (Taylor and Ringlaben, 2012). However, teachers' educational experiences do not necessarily have the same impact on their beliefs about the value of inclusion as they do on their teaching skills or their ability to apply effective inclusive strategies. For example, Forlin and Chambers (2011) found that a 39-hour course aimed at preparing pre-service teachers to work in inclusive classrooms resulted in improved levels of confidence. However, after taking the course, some of the participants' concerns about teaching students with disabilities had increased.

Collaboration

In order to expose students with ASD to inclusive classrooms, educators of all types have been advised to develop a wide range of collaboration skills that facilitate the cooperative planning and execution of instructional activities (Boshoff and Stewart, 2013). The President's Commission on Excellence in Special Education (2002) suggested that "teachers in general education learn about special education". This is consistent with the *Unified System of Education*, established by the National Association of State Directors of Special Education, which acknowledges that "the success of all children is dependent on the quality of both special education and general education...and that special education is not a place apart, but an integral part of education" (NASDSE, 2002). Inclusion needs support if it is to succeed, and it requires many people to participate in shared decision making as they work towards a common objective (Friend and Cook, 2013). This includes special education teachers, general education teachers, peers, professionals, families, and the students themselves.

The value of collaborative teaching in inclusive classrooms, with regard to teachers' understanding and their ability to work with other members of staff, has been acknowledged as contributing to the positive educational experience of students with disabilities (Kaldi, Filipattou and Anthopoulou, 2016). Indeed, this study reveals that teachers' beliefs are also affected by their collaboration with other members of staff. Research studies on collaborative work in inclusive settings demonstrate that, for teachers, collaboration is an important dimension of inclusive practice (Mulholland and O'Connor, 2016).

Hunt et al. (2003) evaluated a collaboration intervention team that strived to increase the academic and social skills of students with and without disabilities at an elementary school in the US. The team included a special education teacher, a general education teacher, the school's principal, a consultant, and two parents of students. The team supported three students in the second grade (8 years old). One of the students had ASD and received special education services in a resources room. The other students were not recipients of special education services, but they were one grade below the expected level for their age. Hunt et al. (2003) developed and collaboratively implemented Unified Plans of Support for the students. These plans consisted of academic adaptations, communication supports, and social supports. They evaluated the effectiveness of their support plans by conducting behavioural observations and team interviews. Hunt et al. (ibid.) found that the team members determined that all three students had increased their academic skills as a result of this collaborative intervention. The team claimed that this increase occurred because the process of developing the plan as a team helped them to focus on the students (ibid.).

To conclude, teachers' understanding of inclusive education and the process of teaching in an inclusive environment, as well as their understanding of the characteristics of disabilities (including ASD), all influence their practices and their confidence. Furthermore, the literature addressed some of the factors that seem to influence teachers, including aspects of provision for professional development and a lack of knowledge of ASD on the part of teachers. However, no specific learning model guide exists that has specific strategies for teaching students with ASD in inclusive settings, and the educational systems of each country all have a different model of teaching. For instance, the US provides a list of evidence-based practices as the main resources, but there has been some criticism of how these practices are applied in inclusive settings: (1) most studies have been conducted in clinics or private classrooms rather than inclusive settings, and (2) many of these practices require training programs. Finally (3) these strategies do not consider the importance of teachers' beliefs.

Conclusion:

To conclude, teachers' understanding of inclusive education and the process of teaching in an inclusive environment, as well as their understanding of the characteristics of disabilities (including ASD), all influence their practices and their confidence. Furthermore, the literature addressed some of the factors that seem to influence teachers, including aspects of provision for professional development and a lack of knowledge of ASD on the part of teachers. This paper reviewed the background literature regarding Autism students and the educational system in KSA especially for students with ASD. Then, it discussed strategies that influenced the teachers understating regarding inclusive education.

References

- [1] Alquraini, T. (2010). Special Education in Saudi Arabia: Challenges, Perspectives, Future Possibilities. *International Journal of Special Education*, 25(3), 139-147.
- [2] Armstrong, T. (2009). *Multiple intelligences in the classroom*. Ascd.
- [3] Boshoff, K., & Stewart, H. (2013). Key principles for confronting the challenges of collaboration in educational settings. *Australian occupational therapy journal*, 60(2), 144-147.
- [4] CDC (2014). Prevalence of Autism Spectrum Disorder Among Children Aged 8 Years — Autism and Developmental Disabilities Monitoring Network, 11 Sites, United States, 2010, from: http://www.cdc.gov/mmwr/preview/mmwrhtml/ss6302a1.htm?s_cid=ss6302a1_w.
- [5] Cefai, C., Fenech, L., & Galea, E. (2007). Initial teacher education for individual educational needs: Newly qualified Maltese teachers' views. *Responding to student diversity: Teacher education and classroom practice*, 63-76.
- [6] Davis, P., Florian, L., & Ainscow, M. (2004). *Teaching strategies and approaches for pupils with special educational needs: A scoping study*. Nottingham: DfES Publications.
- [7] Forlin, C., & Chambers, D. (2011). Teacher preparation for inclusive education: Increasing knowledge but raising concerns. *Asia-Pacific Journal of Teacher Education*, 39(1), 17-32.

- [8] Forlin, C., & Chambers, D. (2011). Teacher preparation for inclusive education: Increasing knowledge but raising concerns. *Asia-Pacific Journal of Teacher Education*, 39(1), 17-32.
- [9] Humphrey, N., & Symes, W. (2013). Inclusive education for pupils with autistic spectrum disorders in secondary mainstream schools: teacher attitudes, experience and knowledge. *International Journal of Inclusive Education*, 17(1), 32-46.
- [10] Jordan, A., Schwartz, E., & McGhie-Richmond, D. (2009). Preparing teachers for inclusive classrooms. *Teaching and teacher education*, 25(4), 535-542.
- [11] Lindsay, S., Proulx, M., Scott, H., & Thomson, N. (2014). Exploring teachers' strategies for including children with autism spectrum disorder in mainstream classrooms. *International Journal of Inclusive Education*, 18(2), 101-122.
- [12] Mulholland, M., & O'Connor, U. (2016). Collaborative classroom practice for inclusion: perspectives of classroom teachers and learning support/resource teachers. *International journal of inclusive education*, 20(10), 1070-1083.
- [13] Mulholland, M., & O'Connor, U. (2016). Collaborative classroom practice for inclusion: perspectives of classroom teachers and learning support/resource teachers. *International journal of inclusive education*, 20(10), 1070-1083.
- [14] Myers, J. A., Ladner, J., & Koger, S. M. (2011). More than a passing grade: Fostering positive psychological outcomes for mainstreamed students with autism. *Journal of Developmental and Physical Disabilities*, 23(6), 515-526.
- [15] O'Connor, M., Hodkinson, A., Burton, D., & Torstensson, G. (2011). Pupil voice: listening to and hearing the educational experiences of young people with behavioural, emotional and social difficulties (BESD). *Emotional and Behavioural Difficulties*, 16(3), 289-302.
- [16] Rea, P. J., McLaughlin, V. L., & Walther-Thomas, C. (2002). Outcomes for students with learning disabilities in inclusive and pullout programs. *Exceptional Children*, 68(2), 203-222.
- [17] Schwab, S., Holzinger, A., Krammer, M., Gebhardt, M., & Hessels, M. G. (2015). Teaching practices and beliefs about inclusion of general and special needs teachers in Austria. *Learning Disabilities--A Contemporary Journal*, 13(2).
- [18] Smith, T., & Iadarola, S. (2015). Evidence base update for autism spectrum disorder. *Journal of Clinical Child & Adolescent Psychology*, 44(6), 897-922.
- [19] Taylor, R. W., & Ringlaben, R. P. (2012). Impacting Pre-Service Teachers' Attitudes toward Inclusion. *Higher Education Studies*, 2(3), 16-23.
- [20] Watkins, A. (2012). Teacher education for inclusion: Profile of inclusive teachers. European Agency for Development in Special Needs Education.

Nationalism and the Postcolonial: from Edward Said's *Orientalism* to Graham Huggan's *Postcolonial Exotic*

Jarosław Kujath

Institute of English and American Studies, University of Opole, Poland

Abstract

As interest in the field of postcolonial studies has grown in recent decades, the theoretical issues with which it is concerned have been applied to an increasing number of areas. As a branch of literary theory, it has provided one of the most important critical platforms for modern theorists and writers who attempt to address issues of cultural identity. However, the analytical potential of postcolonial theory has not gone unnoticed in other academic disciplines. In particular, research into global economics and politics has recognised its relevance to an understanding of the balance of world order and its political dynamics. As was earlier suggested, historians have also demonstrated an increased interest in the area of postcolonialism, particularly in terms of the challenge that it offers to received models of history. Therefore, the aim of this paper is to examine the path along which postcolonial studies has travelled to recognise the differences between what used to be pre-colonial, colonial and post-colonial, as Ashcroft et al would name it. The paper will discuss the main issues as postulated by the proponents of postcolonialism starting from Edward Said and finishing off with Graham Huggan. Particular attention will be paid to the notion of nationalism and how it provided the fuel to the subaltern (Spivak's term) to make the colonial the post-colonial, that is, how to construct a new (national) identity in the former colonised.

Key terms: postcolonial, nationalism, Edward Said, Graham Huggan

In spite of such an increased interest in the general area of postcolonial studies, fears have been raised over the danger of placing such issues under the microscope of academic institutions. In particular, the fact that many such institutions are based in countries, which were once colonial powers, such as Britain, has raised suspicions that postcolonial study is little more than a form of cultural imperialism itself. To qualify this, it needs to be added that research often takes as its focus only the work of those writers who choose to work in English. In this sense, locating postcolonial studies within an academic context may have the effect of limiting its scope to those texts and issues, which are of most relevance to academics and critics rather than to writers or to the millions of people for whom life in a postcolonial society is a daily reality.

One possible contention arising from Huggan's attack on the "critical industry" of postcolonial studies in *The Postcolonial Exotic – Marketing the Margin* (2001) would be his use of the terms centre/periphery. His phrasing of this issue is particularly telling: certain "cultural products" are "regarded" as signifying the existence of the periphery, while the audiences who receive these products "see themselves" located at the centre of long established channels of imperial communication, trade and exchange. The verbs chosen by Huggan are, perhaps, deliberately intended to reflect the concept of appearance, thus indicating that the distinction between centre and periphery is dependent upon an act of perception rather than a fixed and stable relation. However, a binary model in which centre now equates with Western dominance and periphery with subaltern dependence is perhaps no longer entirely appropriate given the globalised range of contemporary economic and political networks.

One example of the transforming relationship between an impoverished former colony and its erstwhile colonial master, for example, would be that of Brazil and Portugal. Now a member of the so-called BRIC nations of emergent economies, Brazil is increasingly attracting young professional workers from the debt-ridden European nation. Now a member of the so-called BRIC nations of emergent economies, Brazil is increasingly attracting young professional workers from the debt-ridden European nation. Indeed, a BBC report into the Portuguese economy reveals that many of its young, well-qualified citizens look beyond Europe to Brazil. Consequently, the binary of centre/periphery has become more porous and less rigidly defined – at least in terms of economic disparity – than Huggan's formulation might allow, particularly given the banking crisis in Europe which has gone some way to redressing the balance between the financial power of the former "imperial centre" and its "peripheral" dependencies.

Indeed, the centre/ periphery binary model of colonial relations was challenged as far back as 1978 by French theoreticians Gilles Deleuze and Felix Guattari in their eponymous book, *Anti-Oedipus: Capitalism and Schizophrenia*. The abstraction of global capitalist economics, they argue, has led to a form of socio-economic 'deterritorialization,' in which 'traditional sectors' or 'archaic territorialities' are displaced by 'modern industries and plantations. It must be stressed that observations concerning the changing relationship between former colonies and colonisers do not let postcolonial theorists off the hook so far as their duty to reflect existing forms of political and cultural disenfranchisement is concerned. In this respect, the actual channels through which theory operates are called into question. If, it is argued, the concept of the postcolonial is subject to justification by Western media and academia, how can it expect to offer genuine insight into the lives of people who live on what are assumed to be the peripheries of that system, or beyond its boundaries altogether? In what ways do such forms of cultural representation assist those who experience postcolonial existence as a daily reality? In seeking an adequate response to these questions, attention has been drawn to the independence of theory as a counter-discourse to prevailing social and political assumptions as has been articulated in Edward Said's classical book *Orientalism* (1978):

Above all, critical thought does not submit to state power or to commands to join in the ranks marching against one or another approved enemy. Rather than the manufactured clash of civilisations, we need to concentrate on the slow working together of cultures that overlap, borrow from each other, and live together in far more interesting ways than any abridged or inauthentic mode of understanding can **allow**. **But** for that kind of **wider** perception we need time and patient and sceptical inquiry, **supported** by faith in communities of interpretation that are difficult to sustain in a **world** demanding instant action and reaction. (Said 1978: xxii)

This was Edward Said's location of critical thought as the basis for a genuine challenge to the ideology and prejudice, which could result in international conflicts. The above citation is an expression of faith in theory as an act of rebellion. Writers and academics, Said claimed, may work within the context of Western cultural institutions, but this does not have to result in the undermining of critical integrity. Indeed, he suggests, the role of the scholar is vital in reminding a government of its responsibilities, both to the state, and to other nations. Far from condoning the crimes of the West, criticism may serve as a lone, even courageous voice of dissent. Postcolonial literary theory is perhaps best defined in terms of its capacity for self-interrogation. In this respect, critics have demonstrated a preoccupation with the search for an appropriate theoretical framework upon which treatment of issues ranging from historical representation to nationalism can be based. At stake here is the relevance of discourse theory to analyses of cultural identity in a contemporary, globalised context. While many theorists are prepared to accept the notion of culture as a product of its own discursive strategies, the question has been raised: to what extent does this insight actually assist those people forced to live with the legacy of imperialism? Might not the deconstruction of ideology and cultural narrative in fact make life far more difficult for those struggling to come to terms with the changes wrought upon their history and language? Interestingly, Foucault himself anticipated such a risk when he posed the following question in his *Archeology of Knowledge* (1969):

Is there not a danger that everything that has so far protected the historian in his daily journey and accompanied him until nightfall (the destiny of rationality and the teleology of the sciences, the long, continuous labour of thought from period to period, the awakening and the progress of consciousness, its perpetual resumption of itself, the uncompleted, but uninterrupted movement of totalizations, the return to an ever-open source, and finally the historico-transcendental thematic) may disappear, leaving for analysis a blank, indifferent space, lacking in both interiority and promise? (42-43)

The challenge set before writers and theorists has been to seek a compromise between this perception of culture as construct and empathy with the needs of the postcolonial subject. It is this dynamic which has functioned as the impetus for much postcolonial literature, manifested in the tension between aesthetic/ theoretical awareness on the one hand, and the urgency of political commitment on the other. In this sense, postcolonial writing is distinguished by a dual responsibility: to provide appropriate forms of cultural representation and to respond to the changing face of postcolonial subjectivity within a contemporary, globalised context.

References

- [1] Deleuze, Gilles and Felix Guattari. *Anti-Oedipus: Capitalism and Schizophrenia*. Minneapolis: University of Minnesota Press, 1978. Print.
- [2] Foucault, Michel. *The Archeology of Knowledge*. Trans. A.M. Sheridan Smith. London and New York: Routledge, 1972. Print.
- [3] Huggan, Graham. *The Postcolonial Exotic – Marketing the Margin*. London and New York: Routledge, 2001. Print.
- [4] Said, Edward. *Orientalism*. London: Penguin Classics, 1978. Print.

Well-Being and Productivity

María Dolores Arderiu Gandía

Associate professor at the UB, and FUAB

Abstract

Since the 1930's there has been a great interest in the possible relationships between well-being and productivity due to the potential practical implications for companies. However, findings so far have been sometimes contradictory or, at least, uncertain. The difficulty of defining the constructs and the huge diversity of measures used, have led to inconclusive results. During the last decade, there has been a call for studies of affect and productivity; also researches that include *eudaimonic* well-being apart from *hedonic* well-being. Our study consists of an applied research on a Clinic of Barcelona where 100 participants were asked to report daily their productivity during three weeks. Well-being was investigated at a between-subjects level of analysis, and as a trait, comparing the mean from the three weeks self-rated productivity with both *eudaimonic* and *hedonic* measures of well-being. Our results demonstrated that people with a *Positive Meaning of Work* and *Positive Affects* were more productive at a trait level.

Keywords: well-being, productivity

Introduction

For this study we started reviewing the "happy and productive worker thesis", with a new reformulation of the concepts of well-being and work-related performance using the "broaden-and-build theory" of Fredrickson (2001) as a Framework.

Hersey (1932) was the first researcher to demonstrate a relationship between emotional state and productivity in the workplace. Nonetheless, it was not since 1939 with the Hawthorne studies (Roethlisberger, & Dickson) that we found the origins of the 'happy-productive worker thesis' that states that higher levels of job-related performance were associated with happy employees compared to their unhappy counterparts. This thesis was also developed in the Human Behaviour School of the 1950s (Coyle-Shapiro, Kessler, & Purcell, 2004). During the mid-1980s and 1990s the thesis was again revisited (Wright, & Staw, 1999). Other authors that tested the theory were: Brief, and Weiss (2002); and Judge, and Bono (2001)

Traced back to the Greeks, the philosopher Epicurus extended a hedonistic perspective of happiness which he argued to be 'a natural condition guided by our innate instincts for pleasure and penchant for avoiding pain'; while Aristotle and Plato used the word *eudemonia* meaning 'having a good guardian spirit'. In 1993, Waterman differentiated between *eudaimonic* and *hedonic* happiness.

The hedonic perspective (subjective well-being) focuses on well-being as pleasure or happiness and includes the experience of positive affect, the experience of low levels of negative affect, and high levels of life satisfaction (Diener, 2000)

Fredrickson (1998, 2001) suggested that positive emotions function to 'broaden and build' skills and social bonds. This insinuates that trait measures of happiness, including the experience of employee *PWB* (especially positive emotions), could predict long-term productivity. The manifestation of such positive employee emotions foments workers perceptions of enriched meaning of their work tending to perceive their job as a *calling*. Consequently, the ones who experience a *calling* will be more productive. As our research contemplates both aspects of *Well-being*, the B&B theory seems the right choice as the theoretical framework. Besides, that model has been used in similar studies (Tsai, Chen, & Liu, 2007; Fritz, & Sonnentag, 2009; Xanthopoulou, Bakke, & Demerouti, 2012); and recommended in the meta-analysis of sustainable well-being at work (Peiró, Ayala, Tordera, Lorente, & Rodríguez, 2012). Finally, the core of the theory appears to have received empirical support (Fredrickson, 2013)

Justification of the research question's importance

The happy productive worker thesis is considered the Holy Grail (Landy, 1985) in organizational applied research as also stated Weiss and Cropanzano in 1996; due to the huge implications for companies' productivity and impact on employees' welfare.

Definition of involved constructs

Well-being.

Subjective well-being (SWB) or hedonic well-being is the achievement of pleasure and the avoidance of pain (Ryan, & Deci, 2001). Subjective well-being embodies three major constructs: positive affect, absence of negative affect (affective well-being); and life satisfaction (Diener, Suh, Lucas, & Smith 1999)

Psychological Well-being (PWB) or *Eudemonic well-being* is the individual's full level of functioning (Hahn, Frese, Binnewies, & Schimth, 2012), following Ryan et al., 2001. Ryff's model (1989) includes six elements in this positive functioning: positive evaluations of oneself and one's past life (*Self-Acceptance*), a sense of continued growth and development as a person (*Personal Growth*), the belief that one's life is purposeful and meaningful (*Purpose in Life*), the possession of quality relations with others (*Positive Relations With Others*), the capacity to manage effectively one's life and surrounding world (*Environmental Mastery*), and a sense of self-determination (*Autonomy*)

Life satisfaction.

Life satisfaction is one construct of *Subjective well-being (SWB)* or *hedonic well-being*, and is comprehended as "the standards of the respondent to determine what is a good life" (Diener 1984, p. 543)

Quality of work life.

Quality of Working Life (QWL) depicts the broader job-related experience from an individual, and is included in *SWB*.

Meaning of work.

As suggested before, *Meaning of Work* is another element of the *psychological well-being (Eudaimonic well-being)* due to its positive valence (growth- and purpose-oriented), rather than a *hedonic* one (pleasure-oriented). According to Rosso, Dekas, and Wrzesniewski (2010), *PMW* not only consists of whatever work means to people (meaning), but the significance and positiveness (meaningfulness)

Affects.

Affect is an umbrella term that is used to describe a broad range of emotions, moods, and dispositions (Barsade, & Gibson, 2007). Watson et al.'s (1998) distinguished between positive and negative affectivity, being his model one of the most commonly used in research. Trait affect, also referred as dispositional affect, is a relatively stable personality variable that reflects an individual's tendency to react with certain transient emotional experiences across situations.

Job performance (task performance and contextual performance)

Task performance is defined as the "effectiveness with which job incumbents perform activities that contribute to its technical core either by directly implementing a part of its technological process, or by providing it with needed materials or services (Motowidlo, Borman, & Schmit 1997)

Affect and performance: a dynamic and reciprocal relationship

The foundations can be traced back to different theories such as the expectancy theory (e.g. Vroom, 1964) that states that positive affect may enhance both the expectancy that one's effort leads to performance. The goal-setting model of motivation (Locke, & Latham, 1990) postulates that optimistic tendencies will lead individuals to set more difficult goals and/or accept more challenging goals, contributing to higher performance. The attributional model of motivation (Weiner, 1985) also serves as a ground by stating that affect influences task persistence (George, & Brief, 1996). Because people high in positive affect tend to interpret failure as a temporary setback caused by external circumstances (Forgas, 1992), so they are more likely to persevere following adverse feed-back than those with negative affective (Burke, Brief, & George, 1993)

State-of-the-art

The ambiguous results of the happy and productive worker theory are a consequence of the lack of rigor in defining well-being and job performance.

There is a need to extend the researches to cross-cultural issues. In this regard, there are a lot of growing publications such as Knoop, and Fave, 2013; Wakefield, Sani, Madhok, Norbury, Dugard, Gabbanelli, Arnetoli, Beconcini, Botindari, Grifoni, Paoli, and Poggesi, 2016.

Since Well-being includes not only the *hedonic* perspective but the *eudaimonic* view, future studies should focus on the different *eudaimonics* aspects such as personal growth or purpose in life (Ryff, 1989), as most of the past studies were based on the hedonic components and only a few on the eudaimonic one. Further studies should focus on both hedonic and eudemonic aspects of well-being (Sonnentag, 2015). In parallel, Peiró, Ayala, Tordera, Lorente, and Rodríguez, 2012; mention in their meta-analysis about sustainable well-being at work, the need for current and future research of integrating both hedonic and eudemonic well-being. In the work of psychology, some theoretical studies (Robertson et al., 2010); and empirical studies (Cullerston, Fullagar, & Mills, 2010; Hahn et al., 2012; Gander, Proyer, & Ruch, 2016; Moen, & Lam, 2013; Diener, & Seligman, 2004; Robertson et al., 2010; Ledford, & Gerald, 1999), are being integrated with one another.

There is the call for including interpersonal differences such as personality (Hentschel, & Kutscher, 2016; Oshio, 2016), or motivation.

Albeit it has been a tremendous growth of empirical research over the last 15 years on well-being and its fluctuations due to the employees' experiences at work and at home, variability on job performance is still a very complex process that needs a more complex dynamic and reciprocal approach (Sonntag, 2015)

There is a crescent demand of diary studies that examine both between-persons and within-persons dynamics (Sonntag, 2015; Junça-Silva, Caetano, & Lopes, 2016); studied daily uplifts and the mediating roles of affects and work engagement on well-being and performance.

We have to expand on the subjects of both traits and states (Zelenski, Murphy, & Jenkins, 2008)

In 2015, Sonnentag recommended using a different type of performance measure other than just self-reported measures that included objective data.

In this study as above mentioned, we have combined both the *hedonic*, and *eudaimonic* approach to well-being, and an objective measure of productivity using a software.

Research objectives

In general terms, the main purpose of this study is to integrate the most contemporaneous concepts of well-being and job performance, revisiting the "happy productive worker thesis" in and applied research to proof the relationship between well-being as a trait (both *hedonic* and *eudaimonic well-being*), and *task performance*.

Positive affect has shown the strongest links with performance (Lucas, & Diener, 2003; Lyubomirsky et al., 2005), and captures happiness better than satisfaction measures (Fisher, 2000). We expect that positive affect will be the best predictor of productivity. And as positive affect can have both short-term and long-term benefits (Fredrikson, 1998), we posit that it will be the best predictor at a trait level. Life satisfaction will predict productivity at a trait level (Zelenski, Murphy, & Jenkins, 2008). We expect life satisfaction to covary with productivity and to be significant at a trait level.

From the abovementioned research objectives, we formulated the following research questions: (1) Are there bivariate correlations between well-being (PWB and SBW) and task performance? (2) Is SWB better predictor of task performance than PWB? (3) Which variables from SWB and PWB predict better task performance?

Method

Participants

Our data comes from a large Spanish world leading fertility group with over 50 clinics in 11 countries. The sample comprised of 100 out of 146 employees from the Barcelona Clinic, represented a response rate of a 68.5%. Participants were chosen by the company among the different departments, so all job positions and job levels were represented. Participation was voluntary, and there was no financial compensation to take part in the research.

Socio-demographic variables.

The 89.5 percent of the participants were women and the 10.5 percent men. The mean age was of 35.13 years ($SD=6.33$). Of them, 44.8 % were single, 46.9 % married/living with partner, 8.3% separated/divorced or widower. The mean number of children was of .84 ($SD=.90$), being the values between 0 and 3. Only 4.3% of them had dependent people excluding their children, versus 95.7 % who did not, being the range of dependants between 0 and 4. The Household size including themselves was 2.74 ($SD=1.20$) with values between 1 and 5. Education levels of the sample were high, corresponding at 13.7% to Master or Doctoral, 57.9% to Bachelor, 22.1% to Associate and 6.3% to High school graduate/ GED.

Labor variables.

All the 15 departments were represented. The 92.1 % of the participants did not want mobility within the company, and the 7.9 % responded affirmatively. Within the company, the percentage of changes was 55.2 for no changes, 28.4 for one change, 7.5 for two changes and 9 for more than two changes. The job seniority mean was of 5.32 ($SD=4.13$). The mean years of service in the company was of 5.75 ($SD=3.87$). The mean occupation seniority was of 10.78 ($SD= 6.79$). Concerning the type of contract, 74.7 % had an indefinite contract, 15.8 % a temporary contract and 7.4 % a fix-term contract. The mean daily working hours was of 7.54 ($SD=.77$). The 28.4 % of the sample had flexi-time, and the 71.6 % did not. Of them, 90 % worked fulltime and 10 %, part time. The 86.1 % had a continuous workday versus 13.9 % that had a split-shift. The 45.2% of the sample worked in shifts and the 54.8 did not. The 2.2% of the sample was directors, 11.1 %, managers, 47.8 % were specialists/technical jobs, the 31.1 % qualified jobs, 3 % non-qualified employees and 4.4 % others. The mean number employees reporting to them was of 1.92 ($SD=2.94$). Regarding continuous education on their own, the 56.7 did not have it, whereas the 43.3 % did have it. When we talk about the continuous education done by the company, the 57.6 % responded they received it and the 42.4 % do not. Salary satisfaction was high at a 7.7 %, 57.1 %, medium, 30.8 % low, and 4.4 % very low. The mean number of jobs during working life was 4.39 ($SD=2.54$). The 41.1 % of the sample referred they had been taking sick leave during the last 12 months, and the 58.9 % did not. The mean sick leave length was 60.82 ($SD=98.5$). Describing the sick leave reasons, the 24.3 % were on maternity leaving, 13.5 % had an accident, 8.1 % surgery, 2.7 % cancer, and 1.4% was for other pathologies.

Procedures

In order to introduce the issue to the employees, the company sent an email to all the participants explaining the benefits for partaking in the study.

During the next two days, employees received an informed consent letter assuring the confidentiality with the contact information of the researchers. Two days later, the researchers gave the subject code to each participant individually together with the survey package. Participants were instructed to fill in the booklet diary for 15 consecutive working days reporting their daily productivity. Half of the sample had the productivity software (VM) installed in their computers. After three months, participants filled in the well-being surveys.

Measures

Socio-demographic and labor data.

We controlled the following variables: gender, age, marital status, number of children, number of dependent children, number of dependants excluding children, household size (excluding yourself), education, department/unit/service, desired mobility within the company, number of changes within the company, job seniority, years of service in the company, occupation seniority, type of contract, daily working hours, flexi-time, type of workday, continuous workday or split-shift, shifts, hierarchy level, number of employees reporting to you, continuous education on your own, company continuous education, salary satisfaction, number of jobs during working life, sick leaves during last 12 months, sick leave length and sick leave reasons.

Well-being measures.

To measure SWB we considered the following variables: *Dispositional Positive Affect* and *Dispositional Negative Affect*, measured with PANAS (Watson, Clark, & Tellegen, 1988) as it was the most commonly instrument used in similar studies (Lyubomirsky, King, & Diener, 2005; Zelenski, Murphy, & Jenkins, 2008; Hosie, Willems, & Sevastos, 2012; Edgar, Geare, Halhjem, Reese, & Thoresen 2015; Hosie, Sevastos, & Cooper, 2007; Bindl, Parker, & Totterdell, 2012). We used the Spanish validation (Lopez-Gómez, Hervás, & Vázquez, 2015). This version showed a Cronbach's of .92 for positive affect subscale and .88 for negative affect subscale. Significant correlations were found in different samples between the

subscales and other measures. Also, showed good psychometric properties in the Spanish population (N=1071). Participants rated their extent experiencing 20 different emotions *generally* using a 5-points scale ranging from *not at all* to *extremely*.

Life satisfaction (LS) was assessed via SWLS (Diener et al., 1985) for having been used in several similar studies (Zelenski, Murphy, & Jenkins, 2008; Steger, Dik, & Duffy, 2012; Edgar, Geare, Halhjem, Reese, & Thoresen, 2015; Gander, Proyer, & Ruch, 2016; Wakefield, Sani, Madhok, Norbury, Dugard, Gabbanelli, Arnetoli, Beconcini, Botindari, Grifoni, Paoli, & Poggesi, 2016.). The scale includes five statements where participants have to express their agreement, each using a seven-point scale (from strongly disagree=1 to *strongly agree*=7). For example: "The conditions of my life are excellent". We used the Spanish validation measures of Vázquez, Duque, and Hervás, 2013; that showed the internal consistency being .88 which exhibited the reliability and valid measures of *Life Satisfaction* in a Spanish adult population sample (N=2.964)

For *Quality and Work Life (QWL)* we utilized 1 item directly translated into Spanish (Zelenski, John, Murphy, Steven; Jenkins, & David, 2008): "Overall how would you rate the quality of your work life?" using a five-point scale from 1=*poor* to 5=*excellent*.

To assess the *PWB (Eudaimonic Well-being)* we employed two scales. For *Positive Meaning of Work (PMW)*, employees responded to three items of the Meaning subscale of the empowerment measure (Spreitzer et al., 95) as it had been used in similar studies (Niessen, Sonnentag, & Sach, 2012). Responses were ranged with a scale from 1= *strongly disagree* to 7=*strongly agree*. We selected the Spanish items from the Spanish adaptation of the scale of psychological empowerment in the workplace (Albar, García Ramírez, López Jiménez, & Garrido, 2012) that was shown to possess adequate construct validity and internal consistency in the Spanish population sample (N=272), the Cronbach's alpha being .85 for the total scale, and a reliability of .91 for meaning. The second scale we applied was the Psychological Well-being scale of Ryff (1989) that differentiates five factors that constitute the Positive Functioning: *Autonomy (AUT)*, *Environmental mastery (EM)*, *Personal Growth(PG)*, *Positive Relationships with others (PR)* and *Purpose in Life (PL)*, used in similar studies :Culbertson, Satoris, Fullagar, Mills, and Maura (2010), Joshanloo, (2016). We used the Spanish validation- 29 items version (Díaz Rodríguez –Carvajal, Blanco, Moreno-Jiménez, Gallardo, Valle, & Dierendonck, 2006) which showed an internal consistency (Cronbach alpha's 0.84 to 0.70) in a Spanish population (N=467) and it was an excellent fit to the theoretical model of D. van Dierendonck.

Productivity measures.

At the end of the day (ESM).

For the *subjective performance (STP)*, we used a self-rated measure -one single item- (Zelenski, Murphy, & Jenkins, 2008): "How productive were you in your work role", a five-point scale ranging from *not very productive* to *exceptionally productive* with a mid-point of *average productivity* was provided.

Objective task performance (OTP) was assessed via the WM software "that measures productivity by registering time spent on activities carried out in devices like PCs. A productivity map configured the company itself determines the percentage of this activity that is considered productive time. WM never collects e-mail or chat content and upholds employee privacy. The solution simply registers time spent on applications and websites considered by the company and department to be productive or unproductive to determine individual activity levels, but it never records at the level of content. WM also allows the definition of time ranges when employees can take free time, during which no activity is registered". Retrieved from <https://web.workmeter.com/en/faq-measure-productivity.html>

Therefore, WM measures the activity online and offline. This is a quantitative instrument that tells us the amount of time spent in a certain activity but not the quality of the work done. The activity online is measured by tracking each time the employee is using the keyboard as well as working on certain sites that are defined as productive or not so constructive by the supervisor. Whereas for the offline performance, the employee has to classify his/her activity according to a list of questions (meeting, personal, others...) which results in the offline performance as subjective. Nevertheless, we are going to call this measure OTP to differentiate it from the self-rated one, explained above.

Design

The pre-experimental study combines daily repeated measures of productivity using ESM -experience sampling methodology - (Kubey, Larson, & Csikszentmihalyi, 1996; Alliger, & Williams, 1993; Hornmuth, 1986.); with a time-frame of well-being (measured three months after the end of the ESM phase)

Analysis

For the analysis of the data, the Kolmogorov-Smirnoff and the Shapiro-Wilk tests were applied as a function of the sample size, to establish the goodness of fit to normality for the variables studied. Only age, occupation seniority, and the Mean of Subjective Task Performance from Day 1 to Day 15, fit to normality. Consequently, non-parametric statistical tests were used for all variables.

We used the Spearman correlation coefficient to test the relationship between the different constructs cause most of the variables did not followed the normal distributions or they were ordinal variables. A statistical test for bivariate correlation was conducted between *SWB* and *task performance* (Between subjects and at a trait level) to find if it was a relationship between these constructs. Identical analysis was carried out between *PWB* and *task performance*. For this analysis, we created the following variable for the measures taken during the ESM: *Subjective task performance Mean from Day 1 to Day 15*. This variable consisted of the *Subjective task performance Mean* assessed during the fifteen working days period in which daily measures were collected.

We carried on lineal regressions between subjects at a trait level to know which factor predict better task performance. Initially, we included all the WB variables in a unique model. However, given the lacking adjustment of the models, we formulated daily independent models for the *SWB* and *PWB* variables.

All the statistical analysis was performed with SPSS 2.1 version.

Results

In Table 1, it is shown Between-subjects correlations among *SWB* or hedonic WB variables and *subjective task performance*. We found a weak statistical significant relationship among *Positive Affect* and *Subjective Task Performance* ($r = .228, p < .05$); a moderate relationship between *Negative Affect* and *Subjective Task Performance* ($r = -.257, p < .05$), and a strong significant correlation between *Life Satisfaction* and *Subjective Task Performance* ($r = .294, p < .01$).

The correspondent regression analysis did not prove the validity of the model. As the complete model (*hedonic+ eudaimonic well-being*) was no significant, we decided to conduct a separate model analysis (one for *SWB* and another for *PWB*). But this new model was no significant either at a trait level for *SWB* or *hedonic well-being*.

The correlations between *PWB* (*eudaimonic well-being*) and *Task Performance* are showed in Table 2. *PMW* exhibited weak, significant and positive correlations with *STP* ($r = .402, p < .01$), and *Environmental Mastery* ($r = .233, p < .05$); *Self-acceptance* ($r = .261, p < .05$) showed a moderated significant correlation. As expected, *PWB* (with just one variable: *PMW*) predicted significantly the *STP Mean from Day 1 to Day 15* for the regressions (Table 3); *STP* ($\beta = .505; t = 3.751$ and p 's = .000) explaining the 14.3%. There was no predictor from *SWB*.

Discussion

1.-When answering the first question of research: Is there any relationship between *WB* and *Task performance*?

We split *WB* up into *PWB* and *SWB*. Comparing the measures of *SWB* (or *hedonic WB*) with the average *task performance* from 15 days, we found significant correlations between *Positive Disposition* and *Negative Disposition* with *STP*, indicating that productivity was higher when the *Positive disposition* was high and the *Negative disposition* was low. So, we confirmed our expectation stating that *Positive Disposition* was the factor that had more significant correlation with daily productivity (in line with Hosie, Willemyns, & Sevastos, 2012), but just when the last one was measured as *STP*. Contrary to Zelenski et al., 2008 findings, *Negative Disposition* was significantly and negatively correlated with *STP*. Results concerning the effect of negative affect are less consistent, however, it seems that not only can reduce performance (Seo, & Ilies 2009), but can even trigger more effort (Fooet al., 2009). For instance, when you are experiencing negative affects you may invest more energy at work as a way of coping. Additionally, *Life satisfaction* showed significant correlation with *STP* (according to Zelenski et al., 2008), that was our initial assumption. To this extend our initial hypothesis would be supported, meaning that people with high *Positive Disposition* and with low *Negative Disposition* tend to be more productive when productivity is conceptualized as *task performance* and measured subjectively. Finally, our expectation that *life satisfaction* would be related to an increase of productivity was also confirmed.

Analyzing the relationship between *PWB* (or *eudaimonic WB*) and *task performance*, *PMW* was the only factor that showed significant correlation with *subjective task performance*. *Self-acceptance* was significantly related to *STP*, and

Environmental Mastery. Wright and Cropanzano (2004) also found a relationship between PWB and short and long-term productivity.

2.- The answer to the question of which of the two types of WB is better predictor of productivity, we can state that we found that at a trait level SWB was not a predictor of productivity, contrary to Zelenski et al., 2008 findings. On the other hand, PWB with just one factor (PMW) was the only predictor of productivity (STP) at a trait level. However, when we analyzed if WB predicted productivity at a trait level, the answer was negative considering SWB and PWB together.

3.- As we have discussed in our 2nd question of research, PMW(PWB) has been the best and only predictor of Productivity. There was no SWB predictor for productivity.

Our expectation was to find any *eudaimonic* variable that could have a higher impact on productivity than any other hedonic measure. For this reason, we included different PWB factors, being PMW the only relevant one.

Conclusions

Our research confirmed partially most of our hypothesis concerning *hedonic well-being* that posited that *subjective task performance* will be higher in people with a high *Positive Disposition* and a low *Negative Disposition*, in people more satisfied with their lives; although the intensity of the relationships was not very strong. When comparing *subjective task performance* with *eudaimonic well-being*, we found that the factor that was more significant was PMW, followed by *self-acceptance*, and *Environmental mastery*. Thus, people that experience a meaning in their jobs will be more productive as happened with the ones who had a good self-acceptance, and ability to manage their environment.

We can posit that PMW was the best predictor of STP at a trait level. *Positive Mood* was not a predictor at a trait level.

In all the analysis discussed so far, we have to qualify the fact that STP measures qualitative and quantitative task performance, since OTP does it just quantitatively. So, it was remarkable to observe the pattern consisting of the reverse of the direction of the relationship in all correlations. This would suggest that people with higher WB could be more distracted and less focus, at least in quantitative tasks, or the number of hours performing productive tasks was lower; but they may be better in the quality of the task that may involve relationships with others, for instance. We have to bear in mind that the study was done in a Hospital were most people deal directly or indirectly with patients, and where the productivity cannot be measured only by time invested, but by the quality of solutions provided to them and the efficacy of the medical treatments. In consistence with this, Solberg, & Emily (2007) found that affect predicted performance differentially depending on the area of performance that is being measured and that the types of tasks performed on the job moderated the relation between affect and job performance.

The main contributions of this study have been to include multiple *eudaimonic* measures of well-being as well as *hedonic well-being*. We have shown that *Positive Affects* and *Positive meaning of work* had an impact on productivity when assessed as subjective task performance.

A self-report productivity arises some problems of biased, Burton et al., 1999. Concerning the use of ESM, Robinson and Clore, 2002; have demonstrated that short-term reporting windows request episodic knowledge rather than general beliefs less tied to recent objective (or even 'subjective') reality. Consequently, the ESM method may further contribute to the validity of our productivity measures because participants can assess their productivity over short periods of time (daily repeated measures). In parallel, the ESM methodology helps to reduce the possible bias effect.

Some of the limitations of the study are that the research was done only in one company; with a small sample. Another constrain comes from the software itself. Firstly, as the software is not completely an objective measure because includes, apart from tracking productivity, some questions to participants to guess what they were doing during off-line activity. Besides, due to the nature of the participant's job, some of them spend quite a long time off the computer. We cannot be sure that participants were reporting correctly when they were asked to report off-line activity. Additionally, although they were told to use their login every time they use another computer, we cannot be sure they always did it. The software measures the use of time, linking this use of time with some pre-established productive activities. So, measures more the quantity than the quality, and short-term productivity. WM software was advertised as a system that enable companies "...to actually change organizational culture and develop a work model based on co-responsibility, management by objectives and greater work place flexibility. It delivers a range of benefits and allows companies to dynamically improve productivity. ..." "...provides metrics that allow companies to analyze behavior patterns and detect opportunities for improvement and measure the impact of implemented improvements". According to our research, it seems improbable that this software may achieve all those objectives. However, when WM says that "... is a tool designed to allow employees

to improve time management..." We think that, effectively, more than a tool for improving productivity, it is an instrument that may help users to manage their time as they are more aware of the use of it. Additionally, one can be more productive, as a result of having felt observed or scrutinized by supervisors (Hawthorne effect). So, productivity may increase as a result of a better time management and the social desirability of feeling observed. WM sentences retrieved from <https://web.workmeter.com/en/faq-measure-productivity.html>.

Measuring productivity is, in general terms, a complicated issue. Firstly, because of what we understand by productivity, and secondly, because in the majority of jobs is very difficult to be measured. In this study, as in the bulk of similar studies, we used self-reported productivity. Although we used WM software in half of the sample.

The study included some ESM for daily productivity during 15 working days, however, no measure for long-term productivity was considered.

Further researches should include different companies from all type of industries to consider the diverse sorts of professional profiles and tasks. The need of developing humanistic companies leads to explore more *eudaimonic* variables related to well-being, such as calling, life purpose, life meaning, personal mission, etc. Long-term measures of productivity should be incorporated when we explore well-being as a trait, as traits affect more long term productivity than the short term one. Fredrickson (1998, 2001) said that trait measures of happiness could predict long-term productivity, even if happy states were unrelated (or even negatively related) to short-term productivity. Productivity should be studied not only as task performance but as contextual task performance. Apart from self-assessed productivity, supervisor's ratings could be considered. Cultural differences could be examined. SEM (Structural equation modeling) could be used for the statistical analysis to study the different type of relationships between variables, and it is a technique very useful when variables are difficult to be measured.

Finally, the connection between well-being and productivity has enormous implications for individuals, corporations and society. Exploring the variables and mechanisms that influence the link between well-being and productivity can allow organizations to have healthier, happier, and more engaged individuals, while the companies could increase their results. The objective should be to promote humanistic organizations that may consider both types of well-being (hedonic and eudaimonic) to fulfill their employees' potential. When employees feel an important part of the organization, they respond with high levels of commitment creating a truly competitive advantage. At a macro-level, those changes of mentality would affect society in general, contributing to a better world to work in.

References:

- [1] Albar, M.J., M García-Ramírez. (2012). Spanish adaptation of the scale of psychological empowerment in the workplace. *The Spanish journal of psychology*, 15(2), 793-800.
- [2] Alliger, G.M, Williams, K.J. (1993). Using signal-contingent experience sampling methodology to study work in the field: A discussion and illustration examining task perceptions and mood. *Personnel Psychology*, 46 (3), 525-549.
- [3] Barsade, S. G., & Gibson, D. E. (2007). Why does affect matter in organizations? *The Academy of Management Perspectives*, 21(1), 36-59.
- [4] Bindl, UK, SK Parker, P Totterdell. (2012). Fuel of the self-starter: how mood relates to proactive goal regulation. *Journal of Applied Psychology*, 98(4), 593-605.
- [5] Brief, A. P., & Weiss, H. M. (2002). Organizational behavior: Affect in the workplace. *Annual review of psychology*, 53(1), 279-307.
- [6] Burke, M. J., Brief, A. P., & George, J. M. (1993). The role of negative affectivity in understanding relations between self-reports of stressors and strains: a comment on the applied psychology literature. *Journal of Applied Psychology*, 78(3), 402.
- [7] Burton, W. N., Conti, D. J., Chen, C. Y., Schultz, A. B., & Edington, D. W. (1999). The role of health risk factors and disease on worker productivity. *Journal of Occupational and Environmental Medicine*, 41(10), 863-877.
- [8] Coyle-Shapiro, J. A. M., Kessler, I., & Purcell, J. (2004). Exploring organizationally directed citizenship behaviour: reciprocity or 'it's my job'? *Journal of management studies*, 41(1), 85-106.
- [9] Culbertson, Satoris S.; Fullagar, Clive J.; Mills, Maura J. (2010). Feeling good and doing great: The relationship between psychological capital and well-being. *Journal of Occupational Health Psychology*, Vol 15(4), 421-433.
- [10] Díaz, D., Rodríguez-Carvajal, R., Blanco, A., Moreno-Jiménez, B., Gallardo, I., Valle, C., & Van Dierendonck, D. (2006). Adaptación española de las escalas de bienestar psicológico de Ryff. *Psicothema*, 18(3), 572-577.
- [11] Diener, E. (1984). Subjective well-being. *Psychological bulletin*, 95(3), 542.

- [12] Diener, E. (2000). Subjective well-being: The science of happiness and a proposal for a national index. *American psychologist*, 55(1), 34.
- [13] Diener, E. D., Emmons, R. A., Larsen, R. J., & Griffin, S. (1985). The satisfaction with life scale. *Journal of personality assessment*, 49(1), 71-75.
- [14] Diener, E., MEP Seligman. (2004). Beyond money toward an economy of well-being. *Psychological science in the public.*, 5(1), 1-31.
- [15] Diener, E., Suh, E. M., Lucas, R. E., & Smith, H. L. (1999). Subjective well-being: Three decades of progress. *Psychological bulletin*, 125(2), 276.
- [16] Edgar, Fiona; Geare, Alan ; Halhjem, Maria ; Reese, Kate ; Thoresen, Christian. (2015). Well-being and performance: measurement issues for HRM research. *The International Journal of Human Resource Management*, 15, 1-12.
- [17] Fisher, C. D. (2000). Mood and emotions while working: missing pieces of job satisfaction? *Journal of organizational behavior*, 185-202.
- [18] Foo, M. D., Uy, M. A., & Baron, R. A. (2009). How do feelings influence effort? An empirical study of entrepreneurs' affect and venture effort. *Journal of Applied Psychology*, 94(4), 1086.
- [19] Forgas, J. P. (1992). Mood and the perception of unusual people: Affective asymmetry in memory and social judgments. *European Journal of Social Psychology*, 22(6), 531-547.
- [20] Fredrickson, B. L. (1998). What good are positive emotions? *Review of general psychology*, 2(3), 300.
- [21] Fredrickson, B. L. (2013). Positive emotions broaden and build. In *Advances in experimental social psychology* (Vol. 47, pp. 1-53). Academic Press.
- [22] Fredrickson, B. L. (2001). The role of positive emotions in positive psychology: The broaden-and-build theory of positive emotions. *American psychologist*. 56(3), 218-226.
- [23] Fritz, C., S. Sonnentag. (2009). Antecedents of day-level proactive behavior: A look at job stressors and positive affect during the workday. *Journal of Management*, 35(1), 94-111.
- [24] Gander, F., Proyer, R. T., & Ruch, W. (2016). The subjective assessment of accomplishment and positive relationships: initial validation and correlative and experimental evidence for their association with well-being. *Journal of Happiness Studies*, 18(3), 1-22.
- [25] Hahn, V. C., Frese, M., Binnewies, C., & Schmitt, A. (2012). Happy and proactive? The role of hedonic and eudaimonic well-being in business owners' personal initiative. *Entrepreneurship theory and practice*, 36(1), 97-114.
- [26] Hentschel, S., Eid, M., & Kutscher, T. (2016). The Influence of Major Life Events and Personality Traits on the Stability of Affective Well-Being. *Journal of Happiness Studies*, 18(3), 1-23.
- [27] Hersey, R. B. (1932). Workers' emotions in shop and home; a study of individual workers from the psychological and physiological standpoint.
- [28] Hervás, G., & Vázquez, C. (2015). Adaptación de la Escala de Afecto Positivo y Negativo (PANAS) en una muestra general española. *Psicología Conductual*, 23(3), 529.
- [29] Hornuth, S. E. (1986). The sampling of experiences in situ. *Journal of personality*, 54(1), 262-293.
- [30] Hosie, P., Willemyns, M., Sevastos, P. (2012). The impact of happiness on managers' contextual and task performance. *Asia Pacific Journal of Human Resources*, 50, 268-287.
- [31] Hosie, Peter; Sevastos, Peter ; Cooper, Cary L. (2007). The 'happy productive worker thesis' and Australian managers. *Journal of Human Values*, 13(2), 151-176.
- [32] Joshanloo, M. (2016). Revisiting the empirical distinction between hedonic and eudaimonic aspects of well-being using exploratory structural equation modeling. *Journal of Happiness Studies*, 17(5), 2023-2036.
- [33] Judge, T. A., & Bono, J. E. (2001). Relationship of core self-evaluations traits—self-esteem, generalized self-efficacy, locus of control, and emotional stability—with job satisfaction and job performance: A meta-analysis. *Journal of applied Psychology*, 86(1), 80.
- [34] Junça-Silva, A., Caetano, A., & Lopes, R. R. Daily Uplifts (2016). Well-Being and Performance in Organizational Settings: The Differential Mediating Roles of Affect and Work Engagement. *Journal of Happiness Studies*, 18 (1) 1-16.
- [35] Knoop, H. H., & Delle Fave, A. (2013). Positive psychology and cross-cultural research. In *Well-being and cultures* (pp. 1-10). Springer, Dordrecht.
- [36] Kubey, R., Larson, R., & Csikszentmihalyi, M. (1996). Experience sampling method applications to communication research questions. *Journal of communication*, 46(2), 99-120.
- [37] Ledford, Gerald. (1999). Comment: Happiness and productivity revisited. *Journal of Organizational Behavior*, 20(1), 25-30.
- [38] Locke, E. A., & Latham, G. P. (1990). *A theory of goal setting & task performance*. Prentice-Hall, Inc.
- [39] López-Gómez, I., Hervás, G., & Vázquez, C. (2015). Adaptación de las "Escala de afecto positivo y negativo"(PANAS) en una muestra general española. *Psicología Conductual*, 23(3), 529.

- [40] Lucas, R. E., Diener, E., & Larsen, R. J. (2003). Measuring positive emotions.
- [41] Lyubomirsky, S., King, L., & Diener, E. (2005). The benefits of frequent positive affect: Does happiness lead to success? *Psychological bulletin*, 131(6), 803.
- [42] Moen, P., Lam, J., Ammons, S., & Kelly, E. L. (2013). Time work by overworked professionals: Strategies in response to the stress of higher status. *Work and Occupations*, 40(2), 79-114.
- [44] Motowildo, S. J., Borman, W. C., & Schmit, M. J. (1997). A theory of individual differences in task and contextual performance. *Human performance*, 10(2), 71-83.
- [45] Niessen, C., Sonnentag, S., & Sach, F. (2012). Thriving at work—A diary study. *Journal of Organizational Behavior*, 33(4), 468-487.
- [46] Oshio, T. (2016). Which is More Relevant for Perceived Happiness, Individual-Level or Area-Level Social Capital? A Multilevel Mediation Analysis. *Journal of Happiness Studies*, 18(3), 1-19.
- [47] Peiró, J. M., Ayala, Y., Tordera, N., Lorente, L., & Rodríguez, I. (2012). Sustainable well-being at work: A review and reformulation. *PROMETEO*, 48, 048.
- [48] Robertson, I. T., & Cooper, C. L. (2010). Full engagement: The integration of employee engagement and psychological well-being. *Leadership & Organization Development Journal*, 31(4), 324-336.
- [49] Robinson, M. D., & Clore, G. L. (2002). Belief and feeling: evidence for an accessibility model of emotional self-report. *Psychological bulletin*, 128(6), 934.
- [50] Roethlisberger, F.J. and Dickson, W.J. Management and the Worker: An Account of a Research Program Conducted by the Western Electric Company, Hawthorne Works, Chicago". *Harvard University Press*, 1939.
- [51] Rosso, B. D., Dekas, K. H., & Wrzesniewski, A. (2010). On the meaning of work: A theoretical integration and review. *Research in organizational behavior*, 30, 91-127.
- [52] Ryan, R. M., & Deci, E. L. (2001). On happiness and human potentials: A review of research on hedonic and eudaimonic well-being. *Annual review of psychology*, 52(1), 141-166.
- [53] Ryff, C. D. (1989). Happiness is everything, or is it? Explorations on the meaning of psychological well-being. *Journal of personality and social psychology*, 57(6), 1069.
- [54] Sonnentag, Sabine. (2015). Dynamics of Well-Being. *Journal of Occupational. Organizational Psychology*. 21(1), 261-293.
- [55] Seo, M. G., & Ilies, R. (2009). The role of self-efficacy, goal, and affect in dynamic motivational self-regulation. *Organizational behavior and Human Decision processes*, 109(2), 120-133.
- [56] Spreitzer, G. M. (1995). Psychological empowerment in the workplace: Dimensions, measurement, and validation. *Academy of management Journal*, 38(5), 1442-1465.
- [57] Steger, MF., BJ Dik, RD Duffy. (2012). Measuring meaningful work: The work and meaning inventory (WAMI). *Journal of Career Assessment*, 20(3), 322-337.
- [58] Solberg, E. G. (2007). *Examining of the Role of Affect on Worker Productivity: A Task-Based Analysis* (Doctoral dissertation, University of Illinois at Urbana-Champaign).
- [59] Tsai, W. C., Chen, C. C., & Liu, H. L. (2007). Test of a model linking employee positive moods and task performance. *Journal of Applied Psychology*, 92(6), 1570.
- [60] Vázquez, C., Duque, A., & Hervás, G. (2013). Satisfaction with life scale in a representative sample of Spanish adults: validation and normative data. *The Spanish journal of psychology*, 16.
- [61] Vroom, V. H. (1964). Work and motivation.
- [62] Wakefield, J. R. H., Sani, F., Madhok, V., Norbury, M., Dugard, P., Gabbaneli, C, & Paoli, P. (2016). The relationship between group identification and satisfaction with life in a cross-cultural community sample. *Journal of Happiness Studies*, 1-23.
- [63] Waterman, A. S. (1993). Two conceptions of happiness: Contrasts of personal expressiveness (eudaimonia) and hedonic enjoyment. *Journal of personality and social psychology*, 64(4), 678.
- [64] Watson, D., Clark, L. A., & Tellegen, A. (1988). Development and validation of brief measures of positive and negative affect: the PANAS scales. *Journal of personality and social psychology*, 54(6), 1063.
- [65] Weiner, B. (1985). An attributional theory of achievement motivation and emotion. *Psychological review*, 92(4), 548.
- [66] Weiss, H. M., & Cropanzano, R. (1996). Affective events theory: A theoretical discussion of the structure, causes and consequences of affective experiences at work. *Research in organizational behavior: An annual series of analytical essays and critical reviews*, Vol. 18.
- [67] Wright, Thomas A.; Cropanzano. (2004). Healthy, Happy, Productive Work: A Leadership Challenge. *Organizational Dynamics*, 33(4), 329-337.
- [68] Wright, Thomas A., Staw, Barry M. (1999). Affect and favorable work outcomes: two longitudinal tests of the happy-productive worker thesis. *Journal of Organizational Behavior*, 20, 1-23.

- [69] Xanthopoulou, D., Bakker, A. B., Demerouti, E., & Schaufeli, W. B. (2012). A diary study on the happy worker: How job resources relate to positive emotions and personal resources. *European Journal of Work and Organizational Psychology*, 21(4), 489-517.
- [70] Zelenski, John M.; Murphy, Steven A.; Jenkins, David A. (2008). The happy-productive worker thesis revisited. *Journal of Happiness Studies*, 9(4), 521-537.

Table 1

Correlation matrix of SWB (hedonic WB) and task performance.

Factors	1	2	3	4	5	6
1 PA Disposition	1					
2 NA Disposition	-.318** (.10)	1				
3 Life satisfaction	.518** (.27)	-.442** (.20)	1			
4 QWL	.452** (.20)	-.343** (.12)	.565** (.32)	1		
5 STP _Mean D1 to D15	.228* (.05)	-.257* (.07)	.294** (.09)	.138	1	
6 OTP _Mean D1 to D15	-.123(.02)	.124	-.140	.119	.32	1

Note: Spearman coefficient (r). Significant at *: $p < .05$; **: $p < .01$.

Tables

Table 2

Correlation matrix of PWB (Eudaimonic WB) and task performance.

Factors	1	2	3	4	5	6	7	8	9
1 PMW	1								
2 SA	.572** (.33)	1							
3 PR	.318** (.10)	.409** (.17)	1						
4 AUT	.139	.321** (.10)	.429** (.18)	1					
5 EM	.578** (.33)	.795** (.63)	.441** (.19)	.416** (.17)	1				
6 LP	.447** (.20)	.571** (.33)	.401** (.16)	.386* (.15)	.590** (.35)	1			
7 PG	.562** (.32)	.826** (.68)	.377** (.14)	.233* (.05)	.704** (.50)	.485** (.24)	1		
8 STP _Mean D1 to D15	.402** (.16)	.261* (.07)	.133	.204	.233* (.05)	.193	.196	1	
9 OTP _Mean D1 to D15	-.066	-.053	-.231	-.304	-.138	-.297	-.096	.32	1

Note: Positive meaning of work (PMW), Self-acceptance (SA), Positive relationships with others (PR), Autonomy (AUT), Environmental Mastery (EM), Life Purpose (LP), Personal Growth (PG)
Spearman coefficient (R). Significant at *: $p < .05$; **: $p < .01$.

Table 3

Regression model of Mean STP as criterion variable and PWB 3 months as predictor variable

Criterion variables	Predictor variables	β	t	p	CI β (95%)	Adjusted
						R ²
STP Mean Day 1 to Day 15	PMW 3 months	.505	3.751	.000	.032 ÷ .105	
	Self-acceptance	-.052	-.244	.808	-.083 ÷ .065	
	Positive relations with others	-.061	-.466	.643	-.038 ÷ .024	
	Autonomy	.192	1.469	.147	-.007 ÷ .049	
	Environmental mastery	-.054	-.296	.768	-.052 ÷ .039	
	Life purpose	-.058	-.394	.695	-.055 ÷ .037	
	Personal growth	.032	.160	.873	-.053 ÷ .062	

.143

The Hypothesis of a Non Threatening Finance for a Sustainable Smes Development in EU

Said Edaich

Opole Polytechnic University
Faculty of Economy and Management

Abstract

This paper aims to address the hypothesis of the expansion of Islamic Finance rhetoric to support the development of SMEs. The analysis focused on the definition of PMES and the problems that limit its function in European societies, especially conventional financial instruments that present a permanent challenge. Taking into account the cultural specificities and legal provisions that characterize the countries of the European Union, the paper tries to present the model of participative finance highlighting the key elements that will allow the exploitation of the potential of halal capital.

Keywords: finance, investment, instruments, debt, entrepreneurship, participative, Halal, ethics.

Introduction

SMEs play a vital and strategic role in economic growth and social inclusion in creating jobs and providing a fiscal revenues (taxes for the State) and other payments made on each transaction, production or consumption. It is the most lively sector that always helps to lift countries out of their crises especially when it is well organized and rightly operated. European investment fund, shown that In2017, investment in European SMEs increased by 29% compared to 2016 with 71.7 billion Euros, Venture capital investments for innovative companies jumped 34% (billion euros). [European small business finance Outlook, june 2018]. Even though, most officials and professionals interested in this category of businesses recognize that still SMEs face persistent difficulties to access to private and public financing. Among the reasons that make financing an eternal dilemma for SMEs excluding the majority of them to benefit from bank financing is firstly the weak self-financial capacity, high risk, inadequate collateral, and strong asymmetry of information.

Generalny European SMEs evolve differently according to their activities and to the regulation in the countries where they are established however, a consensus building groups the major problems of SMEs according to the following catalog:

Tough competition (loyal and disloyal): a problem known by more than 50% of SMEs in the 15 countries which comprise 71% of SMEs in the EU.

Weak purchasing power of citizens: globale new management system where deregulation (Job market and wages), imposed a systematic decline of purchasing power for all european classes (the middle class has almost disappeared).

Complexity of legislation and regulation: the legal Framework related to SMEs in the EU is a traditional challenge that never ceases, still in France, Italy, Latvia, Poland, Slovakia and Romania, SMEs claim more transparency and unified legislation

Lack of qualified personel: the asymmetry between education and the labor market remains a threat to the liver and the initiative of both entrepreneur and investor.

Taxes on production, consumption and on work costs: this dead end is shared by 55% of European SMEs with countries that feel more concerned by this problem, such as Austria, Belgium, France, Italy, Malta, Slovakia or Spain.

Access to financing: it is the more concrete problem faced by SMEs business, and is shared by 70% of SMEs in EU, (Greece (61%), Cyprus (62%), Italy (50%) or Spain (50%) [EU- SMEs 2013/2014].

Summarizing the previous findings, banks requirements are not met by most SMEs businesses, consequently the necessary investment could be satisfied somerimes by informal financing means. Entrepreneurs often fund their start-ups using their own savings or family savings. However, the contribution of this traditional and limited financing often is not enough to create an effective company that can withstand tough competition conditions in a broad market. SMEs are thus caught in the trap of informal practices and remain small craft workshopes [El-Chaarani H., 2014].

The impact of global regulatory and finance on the SMEs concept and dimenssion

Certainly globalization has established a neo-order (political, legal and economic) reshaping the boundaries between the perception of what is special, local and what is common. The new dimension of these conceptions has a direct impact on the concept of sovereignty of States and the tasks entrusted to their sovereign institutions. The role of the State and institutions concerned with the public interest has been limited to create a favorable climate and regulation to serve special groups that controlling politics and economy by virtue of their control on the financial industries [Jayasuriya, Kanishka ,1999].

Legal dimension of SMEs in Europe

With regard to the dimenssion of the SMEs, the definition offered by the first article in the Annex of EU Commission Recommendation defining micro, small and medium-sized enterprises (notified under document number C(2003) 1422) establishes that:

- 1. The category of micro, small and medium-sized enterprises (SMEs) is made up of enterprises which employ fewer than 250 persons and which have an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet total not exceeding EUR 43 million.*
- 2. Within the SME category, a small enterprise is defined as an enterprise which employs fewer than 50 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 10 million.*
- 3. Within the SME category, a microenterprise is defined as an enterprise which employs fewer than 10 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 2 million.*

Compared to the previous law, the trend of the new definition of 2003 entered into force in 2005 tends to enlarge the concept of SMEs introducing three categories of SMEs using three creteria of distinction (Turnover, balance sheet, Staff head account).

In the third article of the same law we dispose on an additional categorization of enterprises considering staff numbers and financial amounts.

Autonomous enterprises

it neither participates in other enterprises nor other enterprises participate in it.

it can holde less than 25% of the capital or voting rights in other enterprises and, other enterprises can hold less 25% of the capital or voting rights in it.

it is not a partner or linked to another enterprise.

it can holde less than 25% of the capital or voting rights in other enterprises and, other enterprises can hold less 25% of the capital or voting rights in it.

it is not a partner or linked to another enterprise.

In exceptions of what is forwarded the enterprises can be considered autonomous and cancels the effect of the threshold of 25% owning not more than 50% also when the partnership is realized with (if not linked):

- *Public investment corporations, venture capital companies and business angels,*
- *Universities and non-profit research centres.*
- *Institutional investors, including regional development funds.*

- *Autonomous local authorities with an annual budget of less than 10 million euro and fewer than 5,000 inhabitants* [SME definition -2004].

- Partner enterprises

Up to the second paragraph of the third article, Annex to European Commission recommendation (2003/361/EC), this is the case of all enterprises which are not linked, when the upstream enterprise holds, solely or jointly with one or more linked enterprises, not less than 25 % of the capital or voting rights of the downstream enterprise. So when establishing the SME status, it is imperative to consider also the share of the partner or partners related to the staff headcount and financial contribution. Nevertheless, this rule is not applied to public bodies controlling, jointly or individually, the capital of the partnership. This precaution is to avoid the abuses which can result from privileges recognized to the public bodies either for their financing or their administration and also to remove cases of illegal competition that can result from public financial aid. Nonetheless the provision of this rule does not include public bodies above mentioned (universities or autonomous local authorities) when investing in a SME between 25%, but no more than 50% this enterprise without it losing its SME status [*ibid*].

Linked enterprises

Linked enterprise means that the company firstly must fulfill all the legal required elements for SMEs cataloged in the second article in the European Commission recommendation (2003/361/EC) EU. Secondly it must take one from the aspects enumerated in the third paragraph of the third article from the above mentioned recommendation:

To control the majority of the sharer voting rights in another enterprise;

To be entitled to dispose on appointing, removing majority of the administrators, managers and, supervisors of a given company;

A contract or provision of the constituting act that allows one enterprise to dominate another;

Also when an enterprises, shareholder or member of another, controls alone, according to an agreement with other partners or members of that enterprise, the majority of voting rights in that enterprise.

From a legal point of view, this definition fixed SMEs according to criteria useful for large business and less functional for SMEs. In fact, the challenges raised by the global SMEs management model exceed their possibilities when providing SMEs with favorable terms for global companies and market. These constraints lead to the loss of the specificities of SMEs and negatively affect its social and economic functions [Torres O., 2001]. Simultaneously such measures consequently expanded the tax base exploitable for the Politicians, created a broad market for the financial industry and, caused a contraction in citizen's purchasing power.

SMEs financing means

Traditionally, to finance their activities, the companies use their own resources, or they resort to the credit banks getting into the labyrinth of the indebtedness, in other cases they resort to an actionary participation (non-financial source funding) against a remuneration which lightens the revenues with unsustainable dividends for the shareholders. In these cases, financial intermediaries submit the obtaining of credit to risks and guarantees, which make the interest rates of credits and intermediation very high and, sometimes the credit itself becomes inaccessible [Boutillier M., 2002].

In other case the SMEs benefit from public support, in fact the European Commission proposed around 200 programs to finance SMEs and start-ups via the Structural and Investment Funds.

Only that the public funds are not sustainable and answer decisions of selection not always reasonable, on the other hand, public aid is still subject to controls that limit the margin of maneuvering of SMEs.

New management challenges for SMEs financing

a- Conflict between managers and shareholders (*agency problems*)

Conflicts between managers and shareholders, classically known as "*agency costs*", emerged from several specificities of the modernized enterprises signed by the separation of the functions of the two groups. In the situation when the unique

valid means of evaluation is only the final return (effectiveness), each of the two belligerents fights for his interests, even if it is at the expense of the other. This conflict comes from different source such as the control on equity and the debt, returns for Shareholders and, risks assessment. Generally this ambiguous circumstance is about the control exercised by the proprietor on his property (company), and about the large technical competences recognized to the managers in the global management model. The accumulation of these factors consequently weaken the functioning of the enterprise and menace its life [Dehry A., 1998].

Managers, where appropriate, act according to their interest instead of this of the shareholders maximizing their privileges and benefits. They frequently tend to increase the investments to optimize their status in the establishment and strengthen their well-being and notoriety.

In some cases, prudence is more likely to be observed on the part of shareholders and the manager is more enthusiastic to risk more. In other situation, managers prefer profitable investments in the short term opposing the appreciation of shareholders [Michael C., 1976].

b -The inability of conventional finance to respond to market needs (conditions of credit / liquidity, ...)

After the decline resulting from the 2008 crisis and, according to official instances, in 2017, large companies continued to benefit from a better financial situation and lower bank loan refusal rates than SMEs, 1% vs. 6%, [E C - 2017]. A clear disadvantageous situation compared to large companies in terms of debt financing. According to OECD in its 2018 report, the asymmetric information, agency problems, including high transaction costs, and the opacity of SMEs limit their access to credit. Access to debt financing is more problematic for companies with a higher risk return profile, such as innovative and growth-oriented companies, which business models can rely on intangible assets. and which earnings prospects are often difficult to predict [OECD - 2018"].

Traditionally debt finance generates moderate returns for lenders and is therefore appropriate for low and moderate risk profiles. It typically sustains the ordinary activity and short term needs of SMEs, generally characterized by stable cash flow, modest growth, tested business models, and access to collateral or guarantees.

c - Indebtedness crisis

It is unwise to tie the problem of indebtedness in Europe, only to 2008 crisis, officially it is recognized that it is the consequence generated by the introduction of a single currency. The adoption of a single currency means that disproportionate changes in the labor costs of one country over another can no longer be corrected by the exchange rate. On the other hand the pathologies linked to banks regulation, derivative public finances, erroneous statistics, corruption, speculative development deviated the EU's efforts from its objectives limiting its effectiveness [Jeanneret A., 2015].

d - Market liquidity

The global financial industry is constantly imposing its paradigms that even so-called "*developped countries*" are facing high risks when introducing these new radical changes.

The European Council and Parliament struggling to attract new issuers, presented in May 2018 a proposal, where companies rated in the SMEs Stock Market could benefit from easier access to finance. Statistics show an average of 478 per year in 2006-2007, and only 218 between 2009 and 2017, on the EU's multilateral trading systems for SMEs [EU - 2017]. Either the decision of SMEs to be listed on the stock market or the investors reaction to their financial instruments are determined by two factors: the first is the high cost of compliance to be listed on the stock markets the second is the lack of liquidity in these markets [SW- 2018].

Alternative

finance

Alternative financing instruments offer opportunities to meet the financing needs for SMEs.

According to the report of Cambridge Centre for Alternative Finance, European online alternative finance market in 2016 a Turnover of 7.7 billion with a growth average of 41 %

[Cambridge Centre for Alternative Finance- 2017]. However, the potential of such instruments is still underdeveloped in most countries due to supply and demand constraints. Capital market instruments for SMEs are often linked to tight financial markets characterized by a lack of liquidity, a small number of participants and, limited exit options for investors. The main

constataion is that a such alternative has no decisive impact, the micro-credits, business angels, venture capitalists and crowdfunding Cannot change the fate of SMEs with a lower credit ability [les PME - Mexico City 2018].

Examining the Alternative of a Win win financial paradigm

In business, particularly in management and economics, we use the adjectival phrase: "win-win" to describe some situation, transaction or a business relationship that is favorable to each of the parties. It is a system which strategy and rules are agreed and designed in such a way that guarantees and increases rationally everyone's benefits. It consists in uniting the respective efforts to achieve the desired objectives according to the rule of sharing proportionally risks and benefits. In finance specialists also use the formula "win-win", in different areas and configuration especially when matching supply and demand for funds, promoting a new loan or other financial service. [Kouvelis P., 2012]; [Keeny R. L., 2005].

Despite the ideal presented by this theory, it is severly critized because, the outcome of the concept of "win-win" is illusory, it conveys a mistaken idea about the behavior of the investor and the intermediary that tend to maximize their gains at the expense of customers. Practice shows that, the losers is always the consumer as for the case of interbank agreements that make customers the first victim to pay the consequences of the concessions made by the partners.

Alternative to the Alternative, *responsible finance: neither usurious nor speculative*

First question that arises when hearing a such rhetoric is related to the existence of a such finance: *can this finance model really exist?*

It is a reaction that reflects the hopelessness of entrepreneurs in Europe that who groan under the bankers abuses and intermediaries pressure. Once they are informed about this alternative, their hope disolves and again one more time return to be closed in hopelessness without bothering to find out more. Standards dominating prevent them from thinking when talking about Islamic finance as alternative. Yet at the level of large companies and sovereign funds the problem seems to be over, in fact the last decades testify that Islamic Finance Industry, initiated its golden age in Europe. Its contemporary aspect presents it as attracting opportunity for those who make the effort to get acquainted about the large horizon it offers. It is a system that has a regulatory and organizational framework encompassing all aspects of human life in its complex relationships with the environment, resources, production, distribution and the enjoyment of wealth [Cafouri A.H., 2000].

Deciding this title for this paper required firstly careful and deep reflection due to the characteristics of Islamic finance theory secondly required an accurate analysis to the behavior deriving from the practices in the global market:

Specificity of the regulatory and concepts of Islamic finance goes beyond the principles of the functioning and goals settled by the conventional financial system,

the negation of the "scarcity resources theory" and the different impostation of the common interest in Islamic economics which counteract the things established in conventional finance,

investment and financing must be representations of a real economy,

transactions involving usury, excessive uncertainty, gambling, harmful activities to society are strictly prohibited,

financial returns are generated on the base of risk sharing,

suspected alliance between the conventional financial industry and the capital originally from the Islamic petrodollars countries that annihilate the effects the principles of Islamic Finance.

The thought that deals with the Islamic finance starts, in most cases from constants cultural standards established without ever equitably considering the goals of such a system,

Global financial industry shows Islamic finance as a new gate toward successful investment and also as a liquidity reserve that could ensure the stability of speculative banks. The asset of Islamic finance may outweigh \$3.5 trillion by 2021 considering the global scale, more than 35 countries are approaching Islamic finance regulation in 2015 [Thompson Reuters - 2016].

Evedently it is noted an expansion of the Islamic banking, more and more countries are trying to approach this system or more exactly try to take advantage of the liquidity resources guaranteed by the countries of the petrodollars. Except that

this rapprochement is at the expense of the key features of Islamic finance predefined. The orientation of international financial instances is to subject Islamic finance to the standards of conventional finance to control its evolution, consequently, it is emptied of its soul which welds the human to the economic. [Edaich S., 2017].

Islamic banks are required to improve their practices with regard to the insurability of investment accounts, deposit guarantees regulation, management of liquidity risks and the adequacy of instruments. We are witnessing a process of acculturation that tends to impose international governance and prudential standards to Islamic banks under the pretext of integration process [IMF - 2017].

In principle, products and services offered by Islamic banks, everywhere, should not abrogate the rules and principles that are the basis of its regulation to avoid the risk of damaging its identity. However practices shown considerable variation which makes this system a duplication of the conventional one, which means that profitability and return are the unique key drivers guiding this evolutive finance [Abu Umar F. , 2014].

The advance of Islamic finance is becoming more and more concrete offering services in more than 60 countries, even more interesting is that the clients are not exclusively Muslims, therefore it conquered the recognition of the International Monetary Fund as important instrument to strengthen financial inclusion. On May, 2018 the Boards of IMF Directors approved a proposal for the use of the Fundamental Principles for the Regulation of Islamic Finance issued by the Islamic Financial Stability Board and developed with the participation of the Secretariat of the Basel Committee on Banking Control [Alexakis C., 2018].

It is the first time when officially we heard about integrating the texts of Islamic financial law to the international laws. Obviously this transformation raises doubts however it's a step on the path of integration sustaining stability on a global market.

In Europe the situation is complicated and not clear, excepting the sovereign funds and the speculative securities in the stock exchange, it is very difficult to obtain accurate informations on the relationship between individuals, households and business on the one hand and the Islamic finance on the other. To forge a clear vision on the situation we have to consider separately different legislation and practices in each country [Al-Nouri M., 2009]. Generally the status of Islamic finance in the old continent is addicted to historico-political legacy despite the breakthrough of petrodollar rent coming from the Middle East (first beneficiary remains UK because of its colonial past).

The hypotheses of profit-loss sharing model

The evidence is that SMEs face enormous problems to satisfy its financial needs, to meet the conditions laid down by banks, SMEs are subject to a complex evaluation removing risks from banks side to SMEs side. This process includes techniques such as: *relationship lending*, *scoring*, *information asymmetry*, that are more precautionary measures rather than methods of evaluation. This attitude from banks expresses a lack of trust towards the entrepreneurship caused by insufficient guarantees. It is a behavior denying responsibility towards the community which is exploited by the same banks to make profits.

In the case of *Venture Capital* the SMEs face another row of technical barriers such as: *adverse selection* and *moral hazard* which require the introduction of additional control and collateral instruments such as *convertible securities* [Bascha A., 2001]. Or such as the *syndication of investment* and the staging of capital infusion [Gompers P. A. , 1995].

In the case of Equity financing, SMEs are forced to share the profits with equity holders and could lose control, or worse yet, they could lose the ownership of the businesses. Taking into account the impact of all these barriers, blocking the access of SMEs to finance, the supporters of Islamic finance sustain that the Islamic participative model could represent a real alternative to conventional finance to save SMEs from these drastic measures.

Theoric postulation of participative model

The postulation of Islamic financial system imposes that investment and financing must work according to human being principles commonly recognized such as fairness, risk sharing, fair redistribution of wealth. Simultaneously this system recognizes the real economy as unique instrument to create growth excluding speculation and hazard factors that expose societies to prejudices and destabilization. The essence of this model is that both parties share the risks and benefits

associated to entrepreneurial activities and that remains fundamental instruments for instruments like *Mudaraba*, *Murabaha*, *Musharaka*, *Salam* and *Ijara* [Kayed R., 2012].

Unlike the more traditional forms of debt-based financing, SMEs loans based on participative financing seems to be adapted to the current needs of SMEs. It is an approach offering decisive competitive advantages increasing growth reducing monitoring costs, providing opportunities based on the holding of collateral, settling effective management, and limiting the impact of information asymmetries [Shaban, M., 2016].

According to Islamic financing rhetoric, the producer offering his product to the consumer or to the dealer then after receives payment is financing the consumer and the dealer; the worker who offers his or her services and hours of work to recover wage at the end of each month is continuously financing his employer; the bank according a loan to a SME for the purchase of new machinery or for another goal is undertaking a financial act [Edach s., 2016].

Instruments of the participative alternative

Unanimously Islamic Finance is defined as a system providing goods (in cash or in kind) to individuals and business that can be reinvest in compliance with shari'a technical standards and regulation to achieve economic and social development [Zayd al. M., 2011].

The main instruments of this system are grouped into two categories:

Participatory Instruments: are intended as a partnership between the provider of funds (Bank, organization, individuals) and the client (SME, individual, ...), to finance a licit real economic activity, based on the principle of sharing loss and profit. It is a process where growth is strictly related to social inclusion and development considerations. Consequently Islamic banks in financial intermediation must observe this determinations to distinguish themselves from the standards applied by conventional banks in similar financing. Applying such purposefulness financing activity results in one hypothese reflected in the situation of a person or business devoid of capital to invest tries to find external financing (venture capital) in the form of partnership based on sharing profits and losses. The main instruments of a such category are "*mudaraba*" and "*musharaka*" institutions:

Al-Mudaraba (capital risk): an agreement between the capital provider and entrepreneur on the base of profits and losses sharing in accordance up to the terms of the *mudaraba* agreement, except when the losses result from the entrepreneur's misconduct as in case of negligence or breach of contracted terms. It is an investment partnership in which Islamic bank acts first as agent "*mudarib*", which role is to realize profits for the investor. Or the bank acts as capital provider "*rabb al-mal*", and when the project generates losses, the bank assumes these losses.

Al-Mudaraba takes one of the two forms: *al-mudaraba al-muqayyada*, that is restricted by any condition imposed by the provider of capital [Abdel-Majid al. A., 2010].

al-mudaraba al-mutlaqa: that is unrestricted and the entrepreneur can undertake whatever business he intends.

Al-Musharaka (participation in a joint venture or co-property): is an agreement settling a participation in a joint venture or co-property between the financier (bank) and the client which terms of profit and loss-sharing are agreed and predefined by mutual consent according to the proportion of the respective contribution of each coshareholder in the supply of capital. *Al.musharaka* cases are grouped in three categories.

Al-musharaka al-mufawada: the case when all stakeholders have the same initial contribution, the same privileges, and assume the same share of profits and losses.

Musharakat al-'inan: the case when the initial contribution of partners is different consequently their rights and share in the benefit and loss are proportional to their participation.

Al-musharaka al-mutanaqisa: it is the case when one partners' stake is gradually acquired by the other partners. Conditions of such acquisition correspond economically to the repayment of principal capital and interest to the lender.

Non participatory instruments based on indebtedness

The instruments based on indebtedness matches complex categories including interest-free loan, beneficial loan or benevolent loan which reward is provided in the hereafter. These instruments are based on faith rather than on profit consideration, for this reason they are excluded from the interest of the banks. Then we have a second set of instruments encompassing the debt (loan), and the sales debt in which payment precedes the delivery of the object as in the cases of *Salam* (commodity) and *Istisna'* contracts.

Al-Salam (bay' al-salam): is a sale with deferred delivery in which the price is paid immediately for a thing, which is not available. It is was a practice (not recommended) to meet the needs of farmers waiting the harvest to pay the credit [Muhammad M.Z., 2007].

Ijara or ijara wa iqtina' (financial lease): is a transaction by lease with the option to purchase the asset later. Generally it takes one of the two forms: *usufruct* of property, or capital assets, (*manfa'at al-'ayn*) [Schacht J., 1982]; *usufruct* of labor and service, (*manfa'at al-'amal*) [Idris H., 2012].

Al-Istisna': an agreement providing liquidity for factories and artisans, more matching with industrial activity. *Al-istisna'* in specific situation requires three parties: the buyer, the bank and the manufacturer, this contract in this situation requires two contracts (*istisna' al-muwazi*), the first one joins the requiring the manufactured product, the bank financing the project; the second contract binding the bank and the manufacturer [Bel-Khair A., 2008].

Al-Murabaha (cost-plus financing): is a sale setting the cost and profit for the item, known and agreed upon between the buyer and the seller. It is the situation when the financier and seller expressly add to the cost incurred on purchase of the asset some determined profit on the buyer assuming deterioration in the item until its delivery [Tail M., 1999].

Innovative strategies to target the SME market Creating friendly environment

Studies do not approach Islamic finance without mentioning the risks generally known to conventional finance and those that only affect Islamic finance. Only the risks of the Islamic finance, once the legal framework and the economic provisions are respected, remain minimal in the confrontation of the risks known to the conventional system. The root of the problem lies in the egocentricity of culture and tradition of conventional finance, which feels threatened by a model of finance closer to the human being and do not recognize the geographical barriers.

To create a friendly environment, Islamic finance industry must review its marketing policy and not only communicate through channels shared with conventional finance. The vast majority of SMEs in Europe are completely unaware of this financial system, the unique connotation they dispose on is the confusion of this model with a rigorous religion and practices against freedom and human rights.

To target the SME market in Europe, the participative alternative must first find the political solution (legal status, taxes,...) to establish itself independently in the market and then protect itself from the contamination that could result from the neighborhood with usurious and speculative practices. In fact, the conventional banks that open windows for Islamic finance or the so-called "*Halla*" products banks operating in Europe apply the same demands of guarantees and the same requirements of profitability of the services they offer as for conventional banks.

Conclusion:

Present analysis is an attempt to highlight the real barriers that limit the exploitation of a huge capital that could be offered by "*Halal*" finance to SMEs in Europe. It is not necessary to distort this system subjecting it to the regulation dictated by the financial concerns. It is enough to give it a space where this system can express itself and come into contact with the clients and customers. Considering the exact meaning of alternative and innovation, participatory finance can add value to the real economy and save SMEs from the agony to which it is condemned in the labyrinth of conventional finance towards sustainable development.

Doubts about the origin of "*halal*" capital (Terrorism capital), made that these resources are always analyzed from a security point of view. However, a remark so important in this context, which deserves the same interest, it is also a matter of security and ethics that these funds do not come from the abuses of the people in power who rob their people to make themselves even richer abroad.

It is officially recognized that debt financing limits the horizon of entrepreneurial perspective because it is more a mean of wealth transfer than an instrument creating richness.

Deduction made, it must be known and propagated is that one is not obliged to embrace Islam to exploit and use halal capital.

Bibliographie

- [1] Annual Report on European SMEs 2013/2014].
- [2] El-Chaarani H., "The Success keys for Family firms: comparison between Lebanese and French systems", *Lebanese Science Journal*, Vol. 15, No. 2, 2014].
- [3] Jayasuriya, Kanishka, "Globalization, Law, and the Transformation of Sovereignty: The Emergence of Global Regulatory Governance," *Indiana Journal of Global Legal Studies*: Vol. 6: Iss. 2, Article 3- 1999].
- [4] The new SME definition User guide and model declaration, pp 16- 24, NB-60-773-EN-C 92-894-7909-4].
- [5] The new SME definition User guide and model declaration, pp 16- 24, NB-60-773-EN-C 92-894-7909-4].
- [6] Torres O., "Les PME", *ESKA- Entreprises et histoire*, (n° 28)- 2001/2]

- [7] Boutillier M, Labye A, Lagoutte C, Nathalie Lévy N, Oheix V; "Financement et gouvernement des entreprises: Exceptions et convergences européennes" Dalloz, Vol. 112 pages 499 à 544 - 2002/4].
- [8] Dehry A., "Gouvernement de l'entreprise", Problèmes économiques, n° 2565), page 60 et ss - 1998].
- [9] Michael C. Jensen and William H. Meckling, "Theory of the Firm: Managerial behavior, Agency costs and ownership structure ", Journal of Financial Economics 3, pp - 305-360- 1976].
- [10] OECD "Le Financement des PME et des entrepreneurs - 2018"] .
- [11] Jeanneret A., " La crise de la dette en Europe "L'Actualité économique, vol. 91, no 4, décembre - 2015].
- [12] European Parliament and Council for a regulation amending Regulation (EU) No 596/2014 and Regulation (EU) 2017/1129 as regards the promotion of the use of SME growth markets].
- [13] Analyse d'impact: Staff Working Document 2018-243 et Staff Working Document 244-2018].
- [14] Cambridge Centre for Alternative Finance, "Expanding Horizons, the 3rd European Alternative Finance Industry Report" - 2017].
- [15] "Améliorer l'accès des PME à des instruments de financement diversifiés", Conférence Ministérielle sur les PME 22-23 Mexico City - 2018].
- [16] Kouvelis, P., Zhao, W. Supply Chain Finance. In: Kouvelis, P., Dong, L., Boyabatli, O. and Li, R. eds. Handbook of Integrated Risk Management in Global Supply Chains (Ch. 10), John Wiley and Sons Inc., New Jersey -2012].
- [17] Keeny Ralph L., Robert Oliver M., "Designing win-win financial loan products for consumers and businesses", Journal of the Operational Research Society - 2005].
- [18] Cafouri A.H., "Islam et économie: Réflexion sur les principes fondamentaux de l'économie islamique", Al-Bouraq, Paris, pp. 23-29 - 2000].
- [19] Thompson Reuters' report in 2016].
- [20] Edaich S., "Islamic finance in Europe: a statute between political ambiguity and legal uncertainty", Law and Forensic Science, vol.-13 - 2017].
- [21] International Monetary Fund, " Ensuring Financial stability in Countries with Islamic banking", 2017].
- [22] Abu Umar F. Ahmad. , "Islamic banking: between myths and reality", Australian Journal of Basic and Applied Sciences - 2014].
- [23] Alexakis C., Ghlamallah E., " Le FMI adopte les principes de régulation du Conseil islamique de stabilité financière ". www.econostrum.info ; 06-06-2018].
- [24] Al-Nouri M., "Islamic banking experience in Europe: Tracks, challenges and prospects". European council of Ifta; research realized for the 19th session of the council in Istanbul, pp-9-14- Istanbul- 2009].
- [25] Bascha A., Walz U. , "Convertible securities and optimal exit decisions in venture capital finance", Journal of Corporate Finance, Volume 7, Issue 3, Pages 285-306 - 2001].
- [26] Gompers Paul A. , "Optimal Investment, Monitoring, and the Staging of Venture Capital", *The Journal of Finance* Vol. 50, No. 5, pp. 1461-1489 - 1995].
- [27] Kayed R., "The entrepreneurial role of profit-and-loss sharing modes of finance: theory and practice" International Journal of Islamic and Middle Eastern Finance and Management 5(3):203-228 - 2012].
- [28] Shaban, M., Duygun, M. and Fry, J. SME's lending and Islamic finance. Is it a "win-win" situation? Economic Modelling, 55. pp. 1-5-2016].
- [29] Edach s., Shari'a financial law in the global perspective", Edizioni scientifiche Italiani, Quaderni 50, Napoli, p 67 - 2016].
- [30] Zayd al-Khayr M., "Foundations and rules of Islamic financial theory", Encyclopedia of Islamic economics and finance, Algeria, 2011].
- [31] Abdel-Majid al-Sharif A., "Project of Islamic Banking: Mudaraba Unit", Tripoli, pp. 3-8 - 2010].
- [32] M.Z. Muhammad, The Contract of Bay' al-Salam and Istisna' in Islamic Commercial Law, in Journal of Muamalat and Society, vol. 1, pp. 21-28 - 2007].
- [33] Schacht J., "An Introduction to Islamic law", Oxford, pp. 144-160 - 1982].
- [34] H. Idris (lecture), Al-Ijarah thumma al-Bay', in Islamic Banking & Finance, chapt. 7- 2012].
- [35] Bel-Khair A., "Istisna' contract and its contemporary applications", Bathna, pp. 60-74 - 2008].
- [36] Tail M., Investment decision in Islamic banks, Tanta, p. 202 - 1999].

Electude in Education – Students and Teachers Challenges Implementing A New Digital Tool for Learning: The Transition Process Handling A New Tool in A Swedish Certified Motorbrach college

Ph.D. in Special Education, Gun-Marie Wetso

Lecturer in Special Education, Mälardalens University,
Department, Education, Culture and Communication, UKK
gun-marie.wetso@mdh.se telnr +46-73-5511636

Special Educators, Motorbranch college

Greta Haffling, greta.haffling@vasteras.se telnr +46-21-397569

Lena Wallberg, lena.wallberg@vasteras.se telnr + 46-21-397511

Per Jakobsson, per.jakobsson@vasteras.se telnr +46-21-397547

Abstract

The aim of this R & D project is to utilize the experiences generated when students and teachers handle a new digital learning tool Electude (Simulation-based learning solutions for visual and kinesthetic learners) introduced in a Swedish gymnasium. The objective is to document classroom work; aiming to find in which activities the digital tool is used and what the challenges are for students and teachers in the transition process. Data were collected in observations, questionnaires (N 76) and dialogues with students and teachers (N50). Activity theory (Leontiev, 1986) and social constructivist knowledge building (Vygotsky, 1981) is viewpoints. The results showed that the transition to use digital program had some obstacles to overcome. Several imbalances between the top down expectations and the bottom up outcomes became clear. The students had different school backgrounds, home languages, and experience of computers as learning tools. The digital program was based on "self-instruction" questions in Swedish. It was hard to manage for the students. The teachers had a monitor- based overview in the classroom supporting each learner step by step. The students wanted more of teacher training and hands on work in the garage. Students and teachers find it tricky to handle the affordance, instructions were overloaded with information and underloaded with no clear instruction how to make animations in the program to function. A lot of trial and error time reduced students spirit to learning. Time for student interchange was missing they worked in their own past solving questions. Learning in collaboration was lost.

Keywords: activity theory, college program, digital learning, imbalance, teachers - students learning

Introduction

This article describes the teachers' and student's reflections on the work implementing a new digital program in a Swedish Upper Secondary School (2018-2019). Digital competence is one of eight key competences in the International Program for Long Life Learning the program content guidelines for all educations I EU (European Parliament (2006/962/EG). Implementing computers and digital programs in primary, secondary and upper secondary school is not a new challenge. There are still more to explore after more than forty years of implementing work in schools. Some schools invest considerable resources in buying and distributing digital tools, and sometimes this is done at the expense of other analogue learning materials. We who produce this article have noticed that sometimes there is an

overconfidence of how the digital learning tools can contribute when it comes to students learning. One example of this is that the teacher's role has sometimes become more retained instead of more flexible in the classroom. The digital tools can contribute to variation in teaching or lead to uncertainty, thus limiting the teacher's leadership. Our experience is that the teachers have limited influence over the process of selecting and purchasing digital programs.

Background to the study is as follow. A Motorbranch College decided to launch a specific digital program for learning, Electude (a tool for each student and teacher). The Upper Secondary School took the first initiative to contact Mälardalens University. They wanted a researcher to follow the implementation at the Upper Secondary School. With this as the starting point it is rightly called a Bottom Up Project. One Researcher from Mälardalens University and three Special Educators from the Upper Secondary School decided to create a Research and Development project. The plan was to follow two tracks, to study the implementing work in practice and to study the teachers' and the students' reflections on practice using the new digital program Electude.

The Upper Secondary School is a school for practice connected to Mälardalens University. Theory and practice is supposed to be intertwined in the Teacher Education Program and the Special Educators Program. The cooperation between the two parts, the Upper Secondary School and the Mälardalens University is supposed to give knowledge about the conditions that prevails in the field and how the teaching and learning process can be strengthened. This Research and Development project is a part of a major joint venture between the partners contributing to School Development. The R & D project got funds for 1 year during autumn 2018 and spring 2019. The project will be managed in two steps and this paper present the first step.

Earlier research – about ICT in School environment

Expert teacher can bring together knowledge of subject matter, what is good for learning, and technology (ICT). The combination is described as Technological Pedagogical Content Knowledge (TPACK). It is more than simply adding ICT to traditional pedagogical approaches. It depends upon deep knowledge of how ICT can be used to access and process subject matter (TCK) and understanding how ICT can support and enhance learning (TPK) in combination with PCK - Pedagogical Content Knowledge (Tallvid, 2015; Willermark, 2018).

The student's conditions for learning are always affected by how well the teaching is established and the teacher's ability to read and respond to pupil's different needs for learning and communication (Olsson, 2016). The single most important component that affects student performance in school is the teacher's approach and view of pupils' conditions for learning (Ainscow & Sandrill, 2010).

The outcome of learning with support of digital learning tools will depend on various factors. This may include the pupil's previous computer experience (Tallvid, 2015), the pupils' reading ability in combination with the experience of security in the learning situation (Wetso, 2014:4). The pupil's confidence in self-ability can be strengthened by increasing the implementation of digital teaching tools in the classrooms provided that a varied teaching approach is also offered. How the pedagogical digital learning tools or programmes are designed and how the instructions or introduction of these are presented are also factors that influence whether the teaching should lead to a good learning for the pupils (Wetso, 2012b). It is also about and how personal support and follow-up takes place in the classroom, if the pupil gets encouragement, they can feel more motivated to work with the digital tool and take part of classroom activities (Wetso, 2012b). Exchange between classmates in dialogue or working as pairs, as well as variety of forms of teaching and freedom to work creatively can enhance learning for students who are otherwise at the risk of exclusion. Not being able to interpret instructions and limiting resources or lack of variation in teaching can lead to students becoming inactive with different tasks to solve (Wetso, 2014:4).

The research about digitization of Education is running behind and more studies are required (Grönlund, 2014; Fleiser, 2011; Flischer & Kvarnssell, 2015; Källander, 2010; Wetso, 2012b, 2014.4; Willermark, 2018). International studies confirm the importance of collegial learning as an opportunity for educational development (Ainscow, Dyson, Goldrick & West, 2012; Timperley, 2011; Wetso, 2012a). The schools that lacked this opportunity had less progress in the work implementing new concepts and digital tools for learning (Tallvid, 2015; Wetso, 2014:4).

The learning process, the qualifications of teachers and students and in what way education and teaching can be supported with a computer and digital tools needs further research (Grönlund, 2014; Perez, 2018; Willermark, 2018).

The **aim of the study** was to take advantage of the teachers' and students experiences from work in four classrooms;

1. How do the teachers and students respond to the work with the new digital program?
2. What do they face during this transition period?
3. What are the challenges and possibilities during the transition work?
4. What do they think about handling their new learning?
5. What type of activities did they create?
6. What kind of imbalances could they see, if any?
7. What kind of imbalances could be identified in the analyze of data?

Activity Theory (Leontiev sv. 1986) highlights the motives and goals of the work. Engeströms (2001) theory about expanding learning was used in order to identify links between **individuals, topics, activities, tools** (*artifacts*) and **environment**. With help of this theory, **imbalances** in the environments can be identified, what activities and motives working in progress or not in direction for reaching goals in the learning.

Data collection in a mixed method design

A letter of invitation was given to all teachers (N50) and the students in four classes (N96) in the Upper Secondary School. An expressed preference was that teachers who met the students at first grade would participate. The letter contained the ethic preferences for good reseach, the contribution was voluntary, the participants could leave the project at any time without further notice. All data and names would be decoded. In the letter the aim of the study was presented.

The first data were conducted in *Classroom observations* in four classes grade 1. (September – December 2018). The focus was on activities and interactions in the classroom. Next activity in the data collection was *Interviews* with teachers as following up conversation on the observed lessons in the four classes about there reflections on actions, activities and interchanges in the classroom (September – December 2018). After that a *Digital questionnaire* (N33) wased distributed to all students in the four classes (N78) grade 1. (December 2018). The questionnaire focused on the earlier experience of digital learning for the students, best practice strategies for learning in general, development of the Education Program Electude, on teachers support on the program, questions about the school environment and interchanges with classmates. Then the results from the questionnaire were presented for the students in the four classes (grade 1) and for all the staff at the school (Januari - March 2019). The last data collection took place in a Focus-group dialogue, aiming to reflect on results from the digital questionnaire with students (30 minutes x four classes) and teachers (60 minutes x four working teams) (Januari - March 2019). All the interviews and focus-group dialogues were recorded and transcribed.

Results

In the First study N97 students in four classes grade 1, (2018 - 2019) participated and N50 staff including all teachers at the school (picture 1.).

Picture 1.

Results from the observations in four classrooms

- First impression: very small sized classrooms – not spacious
- The whole concept in the digital program is built on self reading instruction (in Swedish) and answering questions and following up tests.
- Most of the students´ are working on their own - sometimes dialogue in pairs, no teacher- led lectures– instead the teachers supervised the students with the help of the computer.
- The students work in their own paste solving the questions

- The students had different backgrounds, home languages, and some of them has no experiences of working with computers as learning tools before upper Secondary School.
- Different learning patterns appeared, as some students frequently used the trial and error method. Some students read text information and then asked another student or teacher for support
- Reflections in dialogue with another fellow student was common, in order to read and try to understand the content and how to solve the questions. Some of the tasks turned out to be rather difficult to manage

The results from observations were analyzed and some patterns and perspectives emerged compared to

the teachers reflections on activities: The perspective shows the teachers' thoughts on lessons, a) meeting the student's different needs, b) to use the digital program related to learning in theory (lessons) and practice in the workshop and c) work towards the student's outcomes being a competent serviceman or women and d) reach goals of the education program.

- 1) The design of the program is "hard to manage" for teachers as well as students – the program is not always comprehensible, it is built on self instructions and it is not easy to find out how to understand the animations.
- 2) Some parts of the program are very tricky to handle; the vocabulary is technical, and the Math's is on a high mathematical level.
- 3) It is difficult to discover possible ways to go in the programme, if the students do not understand how to solve a specific task, they can not go further in the program.
- 4) There are several obstacles to overcome using the program. The students need more basic knowledge for mechanics before using this digital tool.

The Students' thoughts on the lessons and learning shows:

- a) The need of adequate teacher knowledge in order to support the students accurately in the learning tool Electude.
- b) The need of adequate teacher knowledge of how to support the different learning needs of students.
- c) How to use the digital program as a clarifying activity and a complement to theory and practice in the workshop.
- d) How to work towards the students' study goals being a competent serviceman or -women
- e) How to reach the School leaving Certificate.

Results from the *questionnaire* to the students

Table 1.

The Students answers (N78) in the questionnaire showed:

- A need and want for more practice in the workshop – hands on
- More teacher lectures and support of teacher dialogue
- More vocabulary explanations from the digital program
- More collaboration and dialouge for solving tasks in pairs or small groups
- The students wanted less self-instructional reading tasks
- Difficult to handle in the program is mathematical problem solving and reading tasks
- Easier to handle is English, Technic and knowledge related to practical moments
- 15% of the students began using digital tools for learning with the program Electude
- 40% of the students had less experience of motor technic at school start

- 78% of the students was pleased with the general support from the teachers
- 79% of the students was pleased with the social interchange with the other students at the school
- 90% of the students would prefer using a digital programme for learning

Comparing the results from the observations and the teacher reflections (2018) with the student answers in the questionnaire (2019).

Results from the dialogue in the focus groups with colleagues:

Teachers suggestions for handling the imbalances between the expressed needs from the students and the challenges of how to handle the digital learning tool in the classroom:

Teachers find that students need more basic knowledge before using the programme and they wanted the programme to be more flexible in order to fit every student and the learning situation. Some similarities and differences occurred between the teacher's ideas of handling the work in practice (in the classroom) according to the Electude program and the student's thoughts about needs and motives for handling the program and learning process:

Students think it is easier to use the computer than reading a textbook, however, many of the questions are too difficult in Electude and they get stuck in the programme which results in losing motivation. Teachers opinions about Electude are that it suits many students, they get instant and visual feedback, students can work in their own pace, it is easier to handle than a textbook, however, students lose self-esteem and there are no possibilities to edit questions in the programme.

Teachers' describe **leadership** and how the requirements of teachers and the student needs must be in focus. Seven patterns were identified from the teachers' statements that could be successful **activities - motives** to do the work more effective:

Oral presentations are needed before individual work.

Scaffolding lessons, a need for additional introductions and dictionaries before each new part of the programme.

Using the digital programme in combination with practice in the workshop – work in interchange - small groups.

To make it possible to have up to dated workstations with cooperative support of the motor industry.

A two – teacher system supporting each class would be an ideal way to handle the teaching situation.

Conclusions

All expressed needs for learning was not obvious in the beginning of the project but emerged during dialogues among teachers and students. The activity theory (Leontiev, 1986) and Engeströms theory about expanding for learning, (2001) highlight the needs, motives and the imbalances between the individual needs and the possibilities and challenges in the environment. The dialogue and interchange (Vygotskij, 1981) in the Focus-groups between the students and the special Educators showed the importance of being listened to (Olsson, 2016). The students got the opportunity to answer the questionnaire and they could express their own needs and motives for learning. The teacher reflections on the student needs for learning and the meetings at the school created new ideas for solutions to make lessons more effective (Wetso, 2014:4). How to learn and teach with the digital tool Electude became a subject to talk about in pedagogical meetings at the school. To talk about how to handle learning design of lessons, in collaboration with colleagues was in focus for pedagogical discussions at the school at all levels (Ainscow et. al. 2012; Källander; 2012; Timperly, 2011, Willermark; 2018).

The most important thing that emerged was:

the significance of the teacher for the students' learning capability

the wish for more practical work in the workshop for the students

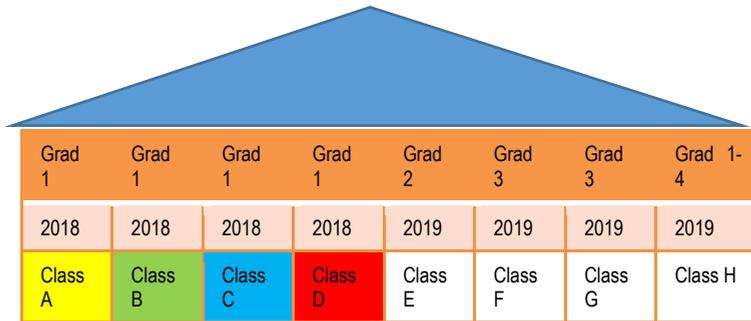
the understanding of the optimal way of learning using the digital learning tool Electude and the value of learning in interchange and talking the way of solving the issues with colleagues (Ainscow, at al., 2012) and all the staff at the school (Ainscow & Sandrill, 2010)

The perspective shows the teachers' thoughts on lessons, a) meeting the student's different needs, b) to use the digital program related to learning in theory (lessons) and practice in the workshop and c) work towards the student's outcomes being a competent serviceman or women and d) reach goals of the education program. The study onward the aim and the seven questions in object for this Research. The Development work at school generated new motifs for futher ways to handle lessons. The need of interchange between the students and the teachers is obvious for finding ways of solving learning issues related to handle the digital tool for learning. The study aims to be followed up in a further study on students learning year two and three at the education program.

References

- [1] Ainscow, M. & Sandrill, A. (2010). Developing inclusive education systems: the role of organisational cultures and leadership. *International Journal of Inclusive Education* Vol.14, no. 4 June 2010, 401-416
- [2] Ainscow, M., Dyson, A. Goldrick, S. & West M. (2012). Making schools effective for all: rethinking the task. *School leadership & Management*. 2012, 1-17, ifirst article. <http://dx.doi.org/10.1080/13632434.2012.669648>. Taylor & Francis
- [3] Engeström, Y. (2001). Expansive Learning at Work. Towards an activity theoretical reconceptualization. *Journal of education and Work*, vol.14.1, 2001.
- [4] European Parliament (2006/962/EG). *The Eights Key Comptences for Life Long Learning* (20061208)
- [5] Fleischer, H. (2011). What is our current understanding of one-to-one computer projects: A systematic narrative research review. *Educational Research Review* 7 (2012) 107 - 122.
- [6] Fleischer H. (2013). *En elev en dator. Kvalitetsbildningens kvalitet och villkor i den datoriserade skolan*. Avhandling Jönköpings högskolan
- [7] Leontiev, A. (sv 1986). *Verksamhet Medvetenhet Personlighet*. Göteborg: Fram bokförlag.
- [8] Grönlund, Å. (2014). *Att förändra skolan med en dator: Bortom "en dator per elev"*. Rapport Unos Uno projekt, Örebro Universitet
- [9] Kjällander, S. (2012). *Design for learning in an Extended Digital Environment: Case Studies of Social interactions in the Science classroom*. Avhandling. Stockholms universitet.
- [10] Olsson, M. (2016). *Lärares ledarskap som möjliggörande och begränsande i mötet med "alla" barn: En deltagarorienterad studie*. Avhandling. Stockholms univrisitet
- [11] Perez, M. (2018). *Komplext med digitala verktyg i matematikundervisningen*. Avhandling Linnéuniversitet
- [12] Tallvid, M. (2015). 1:1 I klassrummet- analyser av en pedagogisk praktik i förändring
- [13] Timperly, H. (2011). *Realizing the power of professional learning*. London Open University Press
- [14] Wetso, G. (2012a). *The computer as learning tool – a pedagogical challenge for all teachers combining theory and practice for development and learning in an R&D project*. NGL-Conference Falun, Sweden, 2012. Nr 57
- [15] Wetso, G. (2012b). *The computer as learning toll. Comparing four classes (pre-school-secondary school) Combining theory and practice for Development and learning in research and Development Project*. NGL-Conferens, Falun, Sweden, 2012. Nr 59
- [16] Wetso, G. (2014:4). *Lärares ledarskap med datorer I undervisningen! En aktionsstudie i tre klassrum i grundskolan (1 - 9) och ett i gymnasieskolan*. Rapport Nr. 2014:4. Högskolan Dalarna
- [17] Willermark, (2018). *Digital Didaktisk Design: Att utveckla undervisning i och för en digitaliserad skola*. Avhandling. Högskolan i väst.

Picture 1.



Tabel 1.

Class A Grade 1	Class B Grade 1	Class C Grade 1	Class D Grade 1	Student in the study	100% =N97
19 (23)	20 (25)	18 (25)	21 (24)	78	
86%	80%	72%	84%	N78	80,4%

Table 1.

Using Experiential Learning Theory to Improve Teaching and Learning in Higher Education

Leong Y. Jonathan

Singapore University of Social Sciences (SUSS)

Ma Nang Laik

Singapore University of Social Sciences (SUSS)

Abstract

The importance of skills has been expounded repeatedly as a crucial factor to thrive in the workplace, as opposed to mere knowledge of content. It is important to be able to adapt to new situations; this is especially true in today's world, where volatility, uncertainty, complexity, and ambiguity (VUCA) are prevalent. To better prepare undergraduates for entry to the workforce in such a tumultuous time, Experiential Learning Theory (ELT) can be employed in their programmes – for example, by using a computer simulation game called MonsoonSIM in a course on fundamentals of business modeling, or through an overseas experiential learning trip with thematic objectives. These two cases are chosen specifically as they deal with contrasting experiences of learning – one highly theory-based and typical of academic institutions, and the other geared toward practical skills. This paper explores the processes of the ELT, distinguishing it from common classroom experiences, and how they are applied in the two cases mentioned above in order to improve the quality of teaching and learning, and to inculcate self-directed learners who are able to better deal with environments of VUCA. The abovementioned cases serve as examples by which ELT can be deployed to improve both the breadth and depth of students' learning. The content of this paper stems from the authors' experiences in crafting, facilitating, and executing the ELT processes within the context of a university programme.

Keywords: experiential learning theory, higher education, VUCA, pedagogy, teaching and learning

Introduction

In a recent World Economic Forum report titled "The Future of Jobs" (WEF, 2018), a list of ten skills were presented, thought to be those crucial to thrive in the workplace in the year 2020. Among these skills included traits such as creativity, critical thinking, complex problem solving, negotiation, coordination, judgement and decision making, and cognitive flexibility. These skills are tied together with a single theme: to better enable the workforce to deal with an increasingly Volatile, Uncertain, Complex, and Ambiguous environment. This set of conditions is known as VUCA, and was first used in 1987, with reference to the leadership theories of Warren Bennis and Burt Nanus (2014), first introduced in 1985. Since the role of the university and/or higher education is to prepare graduates to be gainful contributors to society and in the workforce, it then follows that they must also inculcate resilience against a VUCA environment. This theme is also repeated in the report *The Future of Education and Skills* by OECD (2018), with a similar list of constructs to be included in the framework to achieve such a goal.

It has come to attention that common current models of teaching do little to cultivate such traits; most education systems strive to reduce the amount of VUCA presented to the students, instructing them under static, idealized, and theoretical conditions, instead of introducing them and leading them through the process of making sense out of the perceived chaos. At the early stages of education, this reductionist perspective may be necessary in order to properly show theoretical frameworks and provide clear understanding of correlations and theories; in higher education, however, simulating a VUCA environment would be far more beneficial, especially since students are expected to have a higher level of maturity, and will shortly need to deal with the realities of the working world.

This paper describes the application and framework of experiential learning, in order to simulate a VUCA environment, in two contexts within a higher education institute; firstly, as part of an academic course, and secondly as a crafted, credit-bearing overseas learning experience.

The Experiential Learning Theory and Applied Framework

There are various models of the Experiential Learning Theory (ELT), echoing similar attributes. In our development of the ELT framework for use, we have used Kolb's ELT model (Kolb, 2015) and also modified it into a thematic version for practical purposes and clarity, both of which are briefly explained below.

Kolb's ELT model can be summarized in the below cycle:

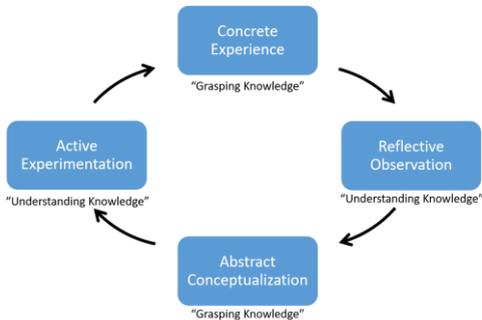


Figure 1: Kolb's Experiential Learning Cycle. The stages can also be reframed as a repetition of "grasping" and "understanding" knowledge.

Care must be taken not to confuse Kolb's cycle with repetitive drilling, especially that under direct instruction. The differentiation between these lie in two aspects:

Firstly, in repetitive drilling, the process reflects more of a trial-and-error situation, even if systematic. This is often reflective of a reductionist perspective in physical sciences, where there are direct correlations between two isolated variables or features. It often does not take into account the complexity of a situation, or the environmental and internal conditions.

Repetitive drilling also removes the "experimenting", "contemplating", and "exploratory" aspects of the experiential learning process, and has to do more with direct instruction and rectification of any present errors, as opposed to allowing the learner consider varying alternative factors reflectively. This often has the consequence (often unintended) of removing the learner from the actual context, and isolates them from all but the instructors' own perception. The active learning process of self-discovery, by contrast, has a stronger focus on the stages characterized by Reflective Observation and Abstract Conceptualization, both of which requiring deliberate, practiced mindfulness, forming the second distinction. It is this feature that holds the utmost importance, and is also the feature that requires the most care and guidance from instructors to students, as it is largely neglected in common educational systems.

One of the advantages of the ELT model is that it naturally accounts for what is commonly known as "learning styles" – rather than having to recreate a lesson for students who have different perceived learning styles, the ELT cycle is universally applicable; students with different "learning styles" would start their mental processes at different stages of the cycle, and linger at the processes between different stages, sometimes even repeating the connection between two stages repeatedly before moving to the next. The ELT cycle itself does not differ, only on occasion the starting point and the duration/repetition of the stages.

The modified thematic model replicates Kolb's elaboration of processes, but takes a different perspective, which stems from the idea that a "theme" can be common across different contexts, and one expression of the "theme" would focus on the learning of a specific "craft". In such a model, the "craft" is deemed to be an entire process or art, related to the theme, and often in attempts to navigate through the latter. Each unique context of application of the "craft" can be tied to an "object", from which an "objective" (or "desired outcome") is the aim. "Skills" are then employed to manipulate the "object" to reach the "objective". A schematic illustration of such a model is illustrated in Figure 2.

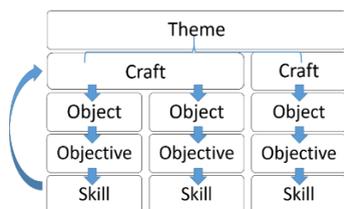


Figure 2: Thematic model of the ELT, showing the hierarchy of the various components - in some cases, a single craft has more than one object. Similarly, a craft can also have more than one object (not shown here). Note also that the cycle repeats itself, and relates continuously with the theme

In cases where the “skill” within the “theme” carrying a similar “objective” is translatable to another “object”, it is often a matter of adjusting the necessary tools and perspectives (components of the “skill”), once the abstract concept is grasped (akin to Kolb’s model); the desired outcome to each of the parameters may remain constant, but the parameters to be observed may be appropriately adjusted. To use a traditional example, if the craft were to take the form of “woodworking”, the various objects may be the various kinds of wood – timber, teak, oak, and so on. Each of these require similar skills in principle – to grind, shape, saw, etc., but the expression of each changes between the different “objects”.

How the thematic model is used in ELT is based on the reflection of the intricacies of expression of the same skills – if one were to take the abstract theme of “material shaping”, we could compare “woodworking” with “stonemasonry” as two different crafts under the same theme. To “shape” an oak tree trunk could yield the same outcome/objective as “shaping” a rock in stonemasonry, but the tools and the requisite observations of the process differ in nuance. Reflection aims to distil the principle of the “skill”, and its relationship between the “object” and “objective”. Once the principle is made clear, the “skills” are transferrable across various “crafts”, and applicable throughout the “theme”. A modern-day example, which is also the topic of one of the overseas trips conducted, is the theme of “Entrepreneurship”, where the object of study is the concept of the “Entrepreneurial Spirit”. Under this theme, students visit countries such as Israel with a high rate of innovation and start-up success, with the selected objective and idea of creating a start-up. They are then tasked and led through investigation of the skills – soft and technical skills – as well as individual attributes required to achieve a successful start-up, while taking into account the nuances and contexts in which the peoples have managed to inculcate those skills into common everyday practice, and perhaps even parts of their culture. The overseas trip allows for the student to observe and analyze the various factors in the visiting country; if the principles are accurately identified, the relationship between them and the theme clearly distinguished, distilled, and deconstructed from their observations in the visit, they would also be able to replicate similar attributes in their own home country. If the selection of such countries also bears considerable similarities to the students’ host countries, the attributes are more easily deconstructed, distilled, and replicated; but even if otherwise, the principle and process still holds. In essence, although the theme is applied in different contexts, it remains the same. The fundamental skills and factors are also transferrable.

Part of the conditions for this thematic model is the presence of intangible expertise and experience, and often nuances that are obtained through said experience, which are not easily elaborated, recorded, and transferred from instructor to student. However, it should also be noted that such is precisely the principle of the shift to the ELT framework – to avoid direct transfer of knowledge in a theoretical context, and instead lead the learner through the deciphering and nuanced process in order to bring an intrinsic and experiential understanding of the contextual application.

One advantage of the thematic model is that when the overarching theme is clearly identified and constructed, one is able to see how a set of skills functions and are translatable for use on another “object”, as well as the complex connections in the model. In contrast to Kolb’s model, however, the focus in the thematic model is not on the distinct components of the model, but the relationship between them. Despite that, a similar cycle reflecting on the relationships between the different components should be employed, as each “objective” becomes the “object” of reflection for the next stage. This can be illustrated as follows:

The objective (a.k.a. outcome or desired outcome) of the craft, starting from the object, as initial relationship for reflection.

The objective of the reflection becomes the object of conceptualization.

The objective of conceptualization becomes the object of experimentation.

The objective of the experimentation repeats itself as the object of the craft.

To reiterate, in each of these stages, the focus of reflection is the relationship between the two mentioned features; how the objective of each stage is to be achieved from the "object" and the environmental/structural influences that come into play in shaping these processes. The thematic model is found to be more appropriate when deconstructing a particular trait from a selected environment, in attempts to replicate them in another host environment.

In both the Kolb's ELT cycle and the thematic model, a few distinct differences are found between the ELT models and the more commonly used, direct instructional mode of teaching:

Students are poised as active experimenters in discovery of knowledge instead of listeners of instruction.

Students are made aware of prior conceptions as part of reflective observation, instead of confirming inherent biases.

Students are led to revisit prior conceptions and debunk their own assumptions, as opposed to a linear, one-directional correlation and path of learning.

Students are exposed to similar (preferably exact) and simulated environments of operation and employ observation, rather than absorb second-hand information.

The application of both these models are in attempts to provide a renewed, holistic learning experience, with an increased awareness of the discrete cognitive processes and the environmental/structural influences for each context and application, in contrast to absorption and repetition of information and repeated drilling of processes.

Case Study 1 - ELT in Business Modeling Course

There has been extensive research done in the area of experiential learning in university programmes across various disciplines ranging from computer science, engineering, and business. Experiential learning is an important pedagogical approach used in teaching-learning processes to facilitate "doing and learning". Bhajantri *et al.* (2016) adopted an experiential learning approach in a web technology course with explanation of concepts, followed by a series of hand-on demonstrations, allowing students to simultaneously practice the relevant skills. Most students find this kind of training valuable as it brings them through an entire system, starting from design, then through the stages of implementation, operations, and finally documentation. Experiential learning was found to motivate students not only in the acquisition of knowledge but also in experience and application of skills on the two projects; in some cases, this was also found to motivate them to pursue careers in similar or related areas.

Yonghui *et al.* (2009) explored the use of experiential learning theory as a model for teaching and learning and applied it to both formal and non-formal education settings. They then concluded that experiential learning is more suited for a non-formal education and the role of facilitators is to encourage the learners to learn through an inquiry-based process, generalizing the concepts, and finally applying it to relevant situations.

Granlund (2008) analyzed the learning processes of a group of students engaged in the computer-based simulation training environment, C3Fire, for training and research within the domain of dynamic decision-making. The author explained how the four stages of the experiential learning cycle enhances the students learning experience as a group in the learning environment and emphasized that the experiential learning has had a positive impact on their learning in this experiment.

Bailey *et al.* (n.d.) described how the experiential learning model is incorporated within Rochester Institute of Technology's (RIT) undergraduate engineering programs. ELT is used for designing a course in thermodynamics, which is traditionally taught in lecture style, ensuring that the activities are planned to complement the same four ELT stages. Based on their end of course assessment and student feedback, they noted a high level of perceived learning by using the ELT model to frame the lessons.

Desai *et al.* (2018) developed a hypothesis to evaluate the effectiveness of the experiential learning approach to determine the academic performance and students' success from two different colleges. One group (from college A) has adopted an experiential learning approach through Project Based Learning (PBL), working on a project to apply the knowledge gained in the course in solving a real-world problem. Another group (from college B) adopted the traditional learning approach in

class. Two sample T-tests were conducted on the data collected from two groups, and the result indicated a significant difference in the scores of students based on Semester End Exams (SEE) scores and placements, and therefore concluded that the use of Experiential Learning was found to improve students' performance – particularly in innovation, creativity for generation of new knowledge, and the motivation to learn and solve problems.

One of the compulsory courses for all undergraduates in business programmes in SUSS deals with Business Skills and Management. The course aims to provide students with key business skills and problem identification and solving skills, using various spreadsheet-driven, industry-derived case studies. It also helps students learn spreadsheet features and how to use a systematic approach to solve real-world problems. In addition, leadership and management concepts (such as planning, controlling, decision-making) as well as the Business Excellence Framework are discussed. The course objectives are to prepare students for task management within their undergraduate years, and equip them with necessary life skills to deal with the challenge of the VUCA workplace and world. Students are assessed through their application of spreadsheet modeling to arrive at justifiable conclusions for a given scenario.

In 2017, we incorporated experiential learning (EL) within this course, using a competitive business simulation game called MonsoonSIM. MonsoonSIM is a unique, experiential learning, pedagogical platform for business studies, to allow students to discover business concepts through experiential learning using a business simulation game. The students run a virtual business entity, comprising of twelve interdependent business departments:

- B2B or Wholesales
- Customer Service
- Finance & Accounting
- Human Resource
- Logistics and Warehouse
- Maintenance
- Marketing
- MRP
- Forecasting and Planning
- Procurement
- Production
- Retail



Figure 3: An artistic representation of the interconnectivity of the departments within the simulation. Nodes indicated are only for illustrative purposes and do not represent the actual algorithm within the game. (Image courtesy of Monsoon Academy)

The experiential learning setup in the course is developed for a period of six lessons, with the following plan:

In the first lesson, teams are formed, and the first run of the simulation game is conducted. Little or no instruction is given about the intricacies of the game or the relationship between the various departments, and how they affect the outcome – any instruction focuses primarily on the technical aspects of the game. This allows the students to form their own context of the eventual lessons, without being told about the theoretical constructs involved, and serves as a warm-up for the rest of the classes.

After a set duration, the game is paused. With that initial experience, they are asked to document and discuss about the perceived connections between the departments and iron out the various roles within each team. Different strategies may be formed across teams, and they are allowed to explore the options as they see fit. After the discussion, the game resumes, and continues till an additional set duration has passed. Due to the complexity of the game and the numerous inter-relationships, at this first attempt most teams will fail to make a profit and run into bankruptcy. This also provides additional context for forming abstract concepts and the relationships invoked in the event.

During this first game, students are led through at least one iteration of the four stages in the ELT - forming a **concrete experience**, a practice in **reflection** (guided by the instructor), **conceptualization** of the relationships and **planning and experimentation** with the desired objective in mind. Ideally, every member of the team should participate in the discussion, and the instructor can assign teams to explain some of their fatal errors during this first trial. If the instructor notices that the team members are inactive during the discussion, he is to intervene and try to give directions for a useful discussion.

The process is repeated throughout the course, with the students immersed in the game, a different condition each time to mimic various scenarios, each lesson with a different objective or relationship/correlation to explore, to be covered in presentation, defense, and discussion at the end of every class. These topics include the appropriate strategies for each scenario, what are the performance indicators (at the early, middle and late stages of the simulation), areas for improvement and/or focus, and other causal/correlational factors to achieve the outcome. They will have to defend their hypotheses, and cross-defend themselves as other groups/teams present both supporting and conflicting theories.

This arrangement allows for students to crystallize their thoughts through the presentation, and put into practice discernment of choice of observed parameter, and craft the appropriate experimental conditions to test the hypothesis. The dynamism of the simulation, involving various teams, who are all changing factors within the same “market”, is also a point of consideration; while this appears to be an ineffective method of testing a hypotheses, as variables are not held constant through the “experimental” phase, part of the objective is also to openly consider the other factors in holistic analysis and avoid reductionistic theorizing – for accurate testing, students are also given opportunities outside the class to run multiple games under controlled, static conditions.

Students are graded according to their competency in:

In-depth analysis (i.e. reflective observation and abstract conceptualisation)

Strategy formulation (i.e. application of conceptualisation objectives and forming paths of active experimentation)

Presentation skills (i.e. crystallisation of concepts formed)

Learning points (i.e. metacognition and reflection on the processes)

An end-of-term assessment incorporating spreadsheet modelling with the simulation is also assigned. This includes questions relating to the various operational issues of the simulated companies, which can be answered by applying business modelling concepts, integrating it with spreadsheet skills, and taking into account the context of the simulation. We see a significant improvement in the average score of the assessment by > 15% compared to the previous term where an ELT framework was not applied. This is related to the fact that students are more interested and engaged in their learning process, rather than solving any generic business problem - the experiential learning has urged them to explore ways to make their own “virtual company” a success by applying the relevant skills, which are all positive outcomes of the ELT.

According to student feedback, most prefer the experiential learning mode over traditional lectures as it allows them to understand the complexity in business operations using an interactive approach. The intensity of the game, and the digital nature of the game allows for them to consider and test the application of their hypotheses or other theories, instead of just absorbing them – this allows for better memory retention.

Through this interactive learning process, the students were also imparted a number of soft skills which are also considered important in the job market today, such as communication and teamwork, human/team management, and leadership roles with the respective decisions.

Case Study 2 – Thematic ELT in Overseas Learning Programmes

The second application of the ELT is in the exploration of a theme by immersion into the context of application, usually one that is best explored in another country – this could be because the country in question is exceptional in that theme, or is deemed to have positive traits along the theme that is worth learning from. Examples of such trips and their themes include the investigation of what entails an “Entrepreneurial Spirit” in the context of Israel, and the complexities behind the welfare policies in Hong Kong. For such credit-bearing overseas trips, students conduct independent research and form their own notions about the people, their culture and habits, and relate them to the object of the theme prior to the trip. Subsequently, the students are brought to the host country for an extended trip, with arranged meetings with industry partners, and site visits that expose them to cultural and historical aspects of the peoples of the country. This is done in order for the students to get a feel of local sentiment, and to use their observation to draw conclusions, analyses, and refute preconceptions in addition to reforming their notions of the relationships between the various contextual conditions and the object of the theme. Instructors accompany students and lead them through activities of reflection upon the social, cultural, economic, and political state of affairs, and how they have influenced the trait(s) of the people. This echoes the structuralism argument, in that structures determine agency, and therefore also the thoughts, perspectives, and behavior of the peoples.

On this perspective, Emilé Durkheim (1956) states that firstly, “education is the socialization of the younger generation”. His successor, Paul Fauconnet, explains Emilé’s perspective:

“...in each of us, one may say, there are two beings, which although inseparable except by abstraction, are none the less distinct. One is made up of all the mental states which relate to ourselves and the events of our own personal life: this is what may be called the individual being. The other is a system of ideas, feelings, and habits which express in us not our own personality, but the group or different groups of which we form a part; such are religious beliefs, moral beliefs and practices, **national and vocational traditions**, and collective opinions of all kinds. Their entirety forms the social being. **To form this being in each one of us is the end of education.**” (Fauconnet, P., 1923, emphasis added)

Fauconnet also highlights the core of the structuralism argument in education, that each educational system, culture, or any other structure put into place, forms the subjects under that structure into whatever conditions they exist within at that time, and very often reinforcing the structure itself once more, citing examples of the Spartans in the Lacedemonian city, Athenian education, and French education at the time (1923). Durkheim (1956) had mentioned this as well in *Education and Society*, and was later echoed by Lear (1961).

If the attributes of the people are a product of their environmental structures, including the social, economic, and political spheres, then it stands to follow that the most holistic way of learning these attributes are to expose said students to as many of the conditions as possible; granted, historical conditions, along with many others that depends on time, race, and other individual attributes, cannot be replicated, but they can minimally be understood, to provide the intellectual basis and relational factors under which the attributes can be deconstructed and hopefully replicated.

In the overseas experiential learning programme, the thematic model is more obvious and useful, though Kolb’s model is still used as the pedagogical framework. The attribute to be observed is first treated as the “object”, related to the more abstract “craft”, while the desired outcome is deemed the “objective”. As students are brought through the environments foreign to them, they are required to reflect upon how the various conditions (i.e. cultural, social, economic, and political) have allowed the people of the community to make their mark in such a domain. Once a tentative relationship is formed, students are then required to reflect on the relationship, and crystallize it into a conceptual form; in essence, the “objective” of the first step now becomes the “object” of reflection, with a new objective of describing the complex relationship. This “object-objective” shift iterates twice more, as mentioned previously as part of the thematic model, shifting from the conceptualization of the relationship to experimentation of the potential relationship, and obtaining an outcome which should then be observed, then led to reinforcement or refutation. While it is not always the case that active experimentation can occur from student initiative, examples (or contradictions) of their conceptualizations are usually readily observable, and the reflective cycle is repeated, with the newly observed concrete experience instead of the prior conception or initial observation.

In such a programme, a great deal relies on the instructor, and the proficiency at which he or she guide the students through their own thoughts. While substantial technical knowledge and content is necessary, the more significant, dynamic aspect of their role is to “uncover the hidden obvious” and “point out that which is common” to the students, e.g. where some thoughts, events, or observations appear so common that they are glossed over, without realizing their significance. In order to achieve this, the instructor must have a sense of the students’ mental processes, and be able to dig deeper into the underlying “structures” which have led to the students’ observations and analysis as consequence; the instructor must then allow students to question the integrity of these perceived “structures” in the students’ minds, in relation to the context under which their analysis is applied. For example, in considering a particular situation in Hong Kong, a Singaporean student is likely to assume that certain habits, opinions, or perceptions from the home country are also legitimate in the visiting country, thereby making erroneous conclusions and analysis about Hong Kong’s policies or other features of the country. The same can be said when thinking about the relationship between a people’s attitudes toward particular situations and their national history or the process of forming their identities. This concept applies Durkheim’s principles of structuralism and consequence, as mentioned earlier – both in the inherent assumptions made when conducting analysis, and the actual considerations the student must ponder upon to obtain an accurate and holistic view of the foreign context.

In this way, the student is led through multiple iterations of formation and re-formation of their ideas on the various contextual factors and their relationships with the “theme” and “object” of the trip, reflecting critically on the iterative conceptualization and testing of hypotheses, with an entirely dynamic learning experience throughout the duration of the trip. An awareness of the overarching theme also allows for comparison of the host country aside their own base country, with an understanding and transferability of the desired skills and attributes - it is also possible that the students can also manufacture similar environments to cultivate such traits, and a number of graduates have been observed to do so. Students who had completed such programmes were subsequently observed to demonstrate the following during their continued course of study:

An increased awareness of inherent assumptions or biases and preconceived notions (e.g. biases)

An increased awareness of the possible origins of these initial notions

Heightened ability to observe holistically and qualitatively (e.g. students noted the absence of features rather than the presence of unusual features in the environment)

Ability to draw connections between environmental/social conditions and individual development

Students have also commented through feedback that they feel better equipped to appreciate the complex social issues present in our world today, such as international politics and trade, innovation, local policies, and the relationships between current day conditions and the history of the people involved. Some of these traits have manifested in their other extra-curricular activities, such as international symposiums. While such analysis is by no means perfect, it does reflect the practice of dealing with VUCA, crafting order out of the chaos, and re-formation of ideas through iterative, repeated, various modes of observation. It is perhaps the very reflection upon their own inherent limitations that allow them to address them adequately. The recognition of the complexity has also highlighted their awareness of the inherent influence of “structuralism” evident in all environments, and has thus enhanced observation.

Since students have been found to be more aware of their inherent assumptions and preconceived notions, including the influence of their individual experience and past environments, they are also observed to redirect any conflicts with observation and hypothesis not only with statistical doubt, but also whether their own prior beliefs and experiences have influenced their observation. In essence, they have also gained the habit of questioning any inherent biases and/or assumptions behind their observations and conclusions and those of peers, instructors, or other sources of information, instead of only the reductionist relationships between them. With the shift in the objective, they are then more motivated to uncover more aspects of the foreign peoples (e.g. history, cultural and social practices, traditions) and subsequently to consider the relationship between these and the perceived/observed traits of the collective people, again under the principle of structuralism. This has the effect of making them aware that any conclusion they have made is based on the limited observation and analysis humanly possible, and is also subject to further scrutiny, refutation, and reformation.

Discussion on effectiveness of ELT

In the common instructional mode of teaching, students take the role of listeners, and not active experimenters. By involving the students in the process of discovery, (i.e. the ELT stages in Kolb's model), the variations between students' prior knowledge are taken into account, allowing for any requisite guidance to assist their shortcomings clearly identified. They are also implicitly given far more responsibility in their learning, and cultivate patterns of educated questioning – the formation of clear and precise questions is crucial to proper inquisitive methods.

Careful crafting of the experience is crucial in curating an environment in which students are best able to reflect and question themselves. This depends not only on the proficiency and familiarity of the instructor in the relevant content matter, but also his or her ability to draw inter-/multi-disciplinary relationships between the observations and the subject, then lead the student to form their own conclusions through similar paths; admittedly a much harder task than simply dispensing "expert knowledge" to a listener. Such instructors must then be sensitive enough to the student's cognitive processes, in order to tackle their assumptions and help them reconstruct perceptions from ground up. Instructors deploying the ELT as a learning tool should be careful to protect the students from their own influence, and allow them to craft their own concrete experiences, only guiding in proper reflection. Again, there is little worry if the initially crafted relationship or connection is inaccurate or erroneous, as active experimentation would reveal that clearly to the student, and the ELT process repeats itself *ad infinitum* to achieve increasingly refined conclusions. A great deal of restraint is required from the instructor to avoid employing the common "expert opinion" stance in imparting the skills to the students; the students should be allowed to fail, albeit constructively.

On the point of failures, we should also note that in both cases, the experience is either contained (in the case of the simulation) or curated in a protected form (in the case of the overseas trip). The scripted nature of the experience inevitably reduces actual risk levels, limits the extent of the experience, and is largely a consequence of the timeframe of undergraduate programmes; as such, the full, "real-life" experience is rarely, if ever, fully achieved. The framework recognizes this, and attempts to cushion the negative effects by incorporating deliberate reflection both between the stages of Kolb's model, as well as on the relationships in the thematic model, to accelerate the process of deconstruction and maximize the amount learned. The effectiveness of the programmes are also largely limited by the proficiency of the instructors and their ability to react dynamically with the students' responses and behaviours without being overbearing and imposing their views on the students.

Conclusion

The ELT method has proven useful in cultivating both appropriate learning perspectives and inculcating habits that will benefit the students in the emerging VUCA environment. It has also been shown to be equally applicable in academic and non-academic activities, for the development of undergraduate students. While there are limitations to the method, we believe that the observations made in this study show that the ELT framework, when applied in appropriate fashion, is far more versatile than that of conventional teaching methods today.

Acknowledgements

The authors would like to thank Ms Huijun Yao for her invaluable input and advice on the elaboration of the framework given her experience in Cultural Studies, as well as Dr. Chee-Han Lim, Singapore University of Social Sciences, for his imparting of both the ELT and thematic models presented in this paper.

References

- [1] Bailey, M., & Chambers, J. Using the experiential learning model to transform an engineering thermodynamics course. 34th Annual Frontiers In Education, 2004. FIE 2004. doi: 10.1109/fie.2004.1408502
- [2] Bennis, W., & Nanus, B. (2014). *Leaders*. HarperBusiness.
- [3] Bhajantri, V., Sujatha, C., Yaligar, S., & Pawar, M. (2016). *An Experiential Learning in Web Technology Course*. Journal Of Engineering Education Transformations, (Special Issue). doi: 10.16920/jeet/2016/v0i0/85675
- [4] C. Y. C. Yonghui and L. H. L. Hui, (2009) *Study of Experiential Learning as a Model for Teaching and Learning*," 2009 Second International Symposium on Knowledge Acquisition and Modeling, 2009, vol. 2, pp. 391–394.
- [5] Desai, P., Bhandiwad, A., & Shettar, A. (2018). Impact of Experiential Learning on Students' Success in Undergraduate Engineering. 2018 IEEE 18Th International Conference On Advanced Learning Technologies (ICALT). doi: 10.1109/icalt.2018.00018
- [6] Durkheim, E. (1956). *Education and Sociology*. The Free Press.
- [7] Fauconnet, P. (1923). The Pedagogical Work of Emile Durkheim. *American Journal Of Sociology*, 28(5), 529-553. doi: 10.1086/213528
- [8] Granlund, H. M. (2008) *Experiential Learning in Computer Based Simulation Training - Experiences from Research on Team Decision Making*, 2008 International Conference on Computer Science and Software Engineering, Hubei, 2008, pp. 52-55.
- [9] doi: 10.1109/CSSE.2008.407
- [10] Kolb, D. (2015). *Experiential learning*. Upper Saddle River, New Jersey: Pearson Education.
- [11] Lear, E. (1961). Emile Durkheim as Educator. *Journal Of Educational Sociology*, 34(5), 193. doi: 10.2307/2264662
- [12] The Organisation for Economic Co-operation and Development (OECD). (2018). *The Future of Education and Skills 2030*. Retrieved from [http://www.oecd.org/education/2030/E2030%20Position%20Paper%20\(05.04.2018\).pdf](http://www.oecd.org/education/2030/E2030%20Position%20Paper%20(05.04.2018).pdf)
- [13] World Economic Forum. (2018). *The Future of Jobs*. Retrieved from <https://www.weforum.org/reports/the-future-of-jobs-report-2018>

Industry Leader Premium

Ja Ryong Kim

Dr. University of Nottingham, UK

B07, Si Yuan Building, University of Nottingham, Jubilee Campus, Wollaton Road, Nottingham, NG8 1BB, UK

Abstract

The advantage of becoming an industry leader is widely studied. However, how can we measure it? This paper measures how much premium an industry leader has in its valuation through a P/E ratio. The findings suggest industry leaders have significantly higher P/E ratios by 0.65 than their peers. The analysis of earnings forecasts suggests this is not due to their high earnings growth potentials but from other sources. However, in stock recommendations, the premium is not recognised by analysts but interpreted as the sign of over-valuation. The paper contributes the new structure of a P/E ratio by identifying the industry leader premium.

Keywords: industry, leader, premium, price-earnings, valuation

Introduction

Most companies strive to become the number one company in the industry and customers remember who they are. The advantages of becoming an industry leader are widely studied including the economies of scale, high bargaining power to suppliers and customers, customers' brand awareness and loyalty, and transition cost to other brands. Obviously, such advantages add value to an industry leader. How can we quantify this value? Do we even recognize it when valuing an industry leader? This paper addresses these questions from the perspective of shareholders (owners) using a price/earnings (P/E) ratio and measures a premium an industry leader has in its stock price.

In regard to a P/E ratio, there are three plausible but conflicting hypotheses. Firstly, as P/E ratios represent the earnings growth potentials of companies (Penman, 1996), small companies tend to have high earnings growth potentials and P/E ratios. Secondly, companies in the same industry tend to have the same P/E ratios as they also represent the degree of over/under-valuation of stock prices. Finally, industry leaders, companies with the largest market shares, tend to have high P/E ratios because they take advantage of premiums they have. The first two hypotheses imply there is no industry leader premium, while the third one indicates so. This paper investigates which hypothesis dominates and measures the industry leader premium if it exists.

The research starts with analysing the general trend of P/E ratios along company ranks and how the trend changes as companies are divided into large-three, large-medium and small companies. Afterwards, the analyses of analyst earnings forecasts, target prices and recommendations are conducted to investigate how analysts consider industry leaders.

The main finding is all three hypotheses coexist in an industry. In general, smaller companies tend to have higher P/E ratios consistent with the first hypothesis. However, when companies are divided into large and small companies, the positive increase in P/E ratios appears to be due to a structural difference in P/E ratios between large and small companies and, within each group, the increase is minimal supporting the second hypothesis. When large companies are subdivided into the three largest and other large companies, the three largest companies have higher P/E ratios than other large companies both economically and statistically, supporting the industry leader premium hypothesis. Overall, the low P/E ratios of large companies mainly relate to other large companies and, in fact, the three largest companies have P/E ratios as high as small companies. The results indicate industry leaders have a premium of 0.65 of their P/E ratios compared to their peers. However, when analyst forecasts are examined, the industry leader premium is not recognised by analysts but instead regarded as the sign of over-valuation.

The paper contributes to the current knowledge of a P/E ratio by identifying the distinctive characteristics of industry leaders. Although the current understanding of a P/E ratio generally prevails, industry leaders experience higher P/E ratios than their peers due to the industry leader premium. The practical implication for analysts is to recognise the industry leader premium when valuing industry leaders before concluding that their high P/E ratios mean they are over-valued.

The paper proceeds in the following order: hypotheses and models are built up in a methodology part in section 2; data are explained in section 3; and section 4 explains findings, followed by conclusion in section 5.

Methodology

The research first studies the general trend of P/E ratios along company ranks, followed by changes in trend when companies are divided into large-three, large-medium and small companies. Based on the market definition of an industry leader - a company with the largest market share - companies are ranked based on their sales. A company with the largest sales is considered an industry leader and ranks first, followed by a company with the second largest sales ranks second, and so on. Because the ranks of companies are changing year-on-year depending on their performances, the research conducts the cross-sectional analysis based on ranks, instead of the panel-data analysis based on companies.

The general trend of P/E ratios along ranks is measured by model (1) as,

$$P/E = \alpha + \beta_1 Rank + \gamma Leverage + \delta DivPayout + \varepsilon \quad (1)$$

where *Leverage* and *DivPayout* are added as control variables due to their impact on P/E ratios (R.S. Bower and D.H. Bower, 1969; Leibowitz, 2002; Malkiel, 1970).

Companies are afterwards divided equally into large and small companies and their P/E ratios are measured by model (2) as,

$$P/E = \alpha + \beta_1 Rank + \beta_2 Large + \gamma Leverage + \delta DivPayout + \varepsilon \quad (2)$$

where *Large* is a binomial variable of 1 if a company is in the large group, and 0 in the small group.

To measure the industry leader premium, large companies are subdivided into large-three (i.e., three largest) and large-medium companies (i.e., other large companies). Therefore, Model (3) is measured as,

$$P/E = \alpha + \beta_1 Rank + \beta_3 Large3 + \beta_4 LargeMed + \gamma Leverage + \delta DivPayout + \varepsilon \quad (3)$$

where *Large3* is a binomial variable of 1 if a company is one of the three largest companies, and 0 otherwise. *LargeMed* is also a binomial variable of 1 if a company is one of the other large companies, and 0 otherwise.

Model (4) is identical to model (3) only different in a baseline intercept. Whilst model (1) – (3) use small companies as a baseline intercept, model (4) uses large-medium companies as a base. The reason for the change is to examine the statistical significance of the industry leader premium directly between large-three and large-medium companies.

$$P/E = \alpha + \beta_1 Rank + \beta_3 Large3 + \beta_5 Small + \gamma Leverage + \delta DivPayout + \varepsilon \quad (4)$$

where *Small* is a binomial variable of 1 if a company is in the small group, and 0 otherwise.

For analyst forecasts, the same model (1) – (4) are used but replacing P/E with one-year ahead earnings forecasts, two-year ahead earnings forecasts, target prices and recommendations, respectively. Moreover, the two control variables are omitted because the analysis is a forecast analysis of a dependent variable when ranks change, instead of a causality analysis.

Three hypotheses are tested in this paper. Firstly, if a P/E ratio is an indicator of earnings growth potential as the current knowledge suggests, smaller companies would have higher earnings growth potentials and therefore higher P/E ratios.

H1: P/E ratios increase as ranks increase.

On the other hand, the second hypothesis views a P/E ratio from a valuation perspective: identical companies should have the identical P/E ratios, and similar companies should have similar P/E ratios. As peer companies are often found from the

same industry, the second hypothesis suggests companies in the same industry would have similar or same P/E ratios, especially between similar companies, otherwise arbitrageurs will take advantage of the deviations equalising the levels.

H2: P/E ratios stay the same notwithstanding the increase in ranks especially between similar ranks.

Finally, the third hypothesis indicates industry leaders enjoy premiums that other companies do not, such as the economies of scale functioning as the entry barrier, high bargaining power and customers' brand awareness. Although such benefits may not directly link to their future earnings, they clearly add value as either a protection mechanism against competition or a building block for future growth. The third hypothesis suggests such additional benefits would be reflected in company valuation as premiums and, therefore, industry leaders would have higher P/E ratios than their peers.

H3: P/E ratios of industry leaders are higher than those of their peers.

Data

The research studies European companies covered by Thomson One Banker between 2002 and 2011. All accounting data, except the GICS sub-industry classification, are obtained from Datastream (Worldscope). The GICS sub-industry classification is obtained from Thomson One Banker due to the unavailability in Datastream. Analyst forecasts (i.e., current earnings-per-share, one/two-year ahead earnings forecasts, target prices and recommendations) are acquired from I/B/E/S. For the selection of industry classification, I have considered ICB, ISIC, SIC, GICS and I/B/E/S SIG code. Visual inspection confirms the GICS sub-industry classification is the most appropriate to identify homogeneous companies and, therefore, industry classification in this paper is based on the GICS sub-industry classification.

Variables are calculated as follows. Rank is measured based on company's market share, calculated as company's sales divided by the total sales of the industry in which a company belongs in the year. A company with the largest market share ranks first and the second largest ranks second, and so on. Leverage is measured as total debt to equity. For earnings forecasts and target prices, relative forecasts are used instead of absolute forecasts to eliminate the scale effect. Therefore, relative one-year ahead earnings forecasts are measured as one-year ahead earnings forecasts (EPS1) divided by current earnings (EPS). The same applies for two-year ahead earnings forecasts. Relative target prices are calculated as target prices divided by current prices. Recommendations scale from 1 (strong buy) through 3 (hold) to 5 (strong sell).

One important factor in dealing with P/E ratios and forecast variables is how to handle outliers. Two stage measures are implemented to mitigate the impact of outliers. In the variable level, P/E ratios of top and bottom 5% are truncated to remove outliers. For one-year ahead earnings forecasts, EPS1 and EPS are each truncated at top and bottom 1%, followed by a further top and bottom 1% truncation in relative earnings forecasts (EPS1/EPS). The same applies for two-year ahead earnings forecasts and target prices. In the general level, median is used to average variables instead of mean.

10 years' figures are averaged using median and these averaged variables are used in the analysis. Although the averaging appears to be a loss of data, this research is based on the cross-sectional analysis that does not require the panel-data set. This is because the research is based on the ranks of companies, not companies themselves, and the ranks of companies change year-on-year depending on companies' performances. Instead of conducting 10 separate cross-sectional analyses for each year, an industry cross-sectional analysis using the averaged variables is performed to mitigate the impact of outliers in each year. I require there are at least 20 companies in an industry to make a meaningful interpretation from the analysis. As a result, the research covers 67 industries with 69 companies on average in an industry.

Results

Descriptive Statistics

The different numbers of observations are used for the analyses of P/E ratios, earnings forecasts, target prices and recommendations to preserve the maximum numbers of data. This is because the purpose of the research is to draw a general conclusion of the industry leader premium given available data rather than to design a forecasting model using all variables. Descriptive statistics are explained in table 1.

<Table 1 here>

Sample is categorised in the GICS group-level, instead of the sub-industry level, due to the limitation in space. For the analysis of P/E ratios, 26,315 observations are used, followed by 21,376 observations for recommendations, 13,987 for

target prices and 13,057 for earnings forecasts. The biggest group is capital goods accounting for 19% of observations. The capital goods group includes industries of aerospace and defence, building products, construction and engineering, electrical components and equipment, industrial machinery, and trading companies and distributors. The numbers of companies in industries (not reported) range from 20 for paper products to 167 for industrial machinery. The average number of companies in an industry is 69. As widely reported in the literature of analyst forecasts, analyst recommendations have bias toward a buy signal with 2.36 on average, considering the scale of 1 (strong buy), 3 (hold) and 5 (strong sell). Target prices and earnings forecasts also have upward bias as their means are above 1 in the relative measures (Chan et al., 2003; Dugar and Nathan, 1995; Hunton and McEwen, 1997; Lin and McNichols, 1998; McNichols and O'Brien, 1997).

Industry Leader Premium

Panel A of table 2 describes how P/E ratios change along ranks. Model 1 supports the current knowledge of P/E ratios and the hypothesis 1 that smaller companies tend to have higher P/E ratios in general (Cheng, 2005; Frankel and Lee, 1998). However, when companies are divided into large and small companies in model 2, large companies have structurally lower P/E ratios than small companies. Interestingly, the positive slope observed in model 1 disappears in model 2 indicating the positive trend is mainly due to a structural difference in P/E ratios between the two groups and, within each group, the increase is minimal. Model 3 further divides large companies into large-three and large-medium companies. Although large-medium companies have significantly lower P/E ratios than small companies, the P/E ratios of large-three companies are not significantly different from those of small companies. This is in contrast to the general knowledge that larger companies tend to have lower P/E ratios. Although the coefficient on rank in model 3 is statistically significant, I believe its economic significance is limited. For example, given the fact that there are 69 companies on average in an industry, the difference of P/E ratios between the largest and smallest company would become only 0.21. This suggests P/E ratios are determined more by in which group companies belong than their ranks. Model 4 is identical to model 3 only changing a baseline intercept from small companies to large-medium companies. The result supports the industry leader premium hypothesis that industry leaders have significantly higher P/E ratios by 0.65 than their peers.

Panel B is a supplementary analysis to examine the robustness of the results in panel A by controlling the earnings growth potentials of companies. The result of model 1 indicates the generally positive slope observed in panel A is indeed due to the high earnings growth potentials of small companies. When growth potentials are controlled, the positive slope disappears and in fact turns into the negative. The negative effect of large companies observed in model 2 of panel A also disappears, suggesting there is no significant difference in P/E ratios between large and small companies when their earnings potentials are controlled. However, the largest three companies still have significantly high P/E ratios and, when earnings potentials are controlled, their P/E ratios are even higher than those of small companies. Model 4 suggests industry leaders have significantly higher P/E ratios by 0.75 compared to their peers when earnings potentials are controlled, indicating the high P/E ratios of industry leaders are not due to their high earnings growth potentials but from other sources. Figure 1, 2 and 3 depict the result of model 1, 2 and 3 of panel A, respectively. Figure 1 and 2 describe what we currently know about P/E ratios and figure 3 modifies that perspective by identifying the industry leader premium.

<Table 2 here>

<Figure 1, 2 & 3 here>

To examine how analysts consider industry leaders, table 3 reports the results of relative earnings forecasts along ranks. In panel A, for one-year ahead earnings forecasts, model 1 indicates smaller companies generally have higher earnings growth potentials. When the sample is divided into two groups, large companies have significantly lower earnings growth potentials than small companies. Interestingly, large-three companies have even lower earnings growth potentials than large-medium companies. Similar results are observed for two-year ahead earnings forecasts in panel B, except difference in earnings forecasts between large-three and large-medium companies is insignificant. The results support the findings in table 2 that the significantly higher P/E ratios of industry leaders are not from their high earnings growth potentials.

<Table 3 here>

Table 4 illustrates the results of relative target prices. Consistent with earnings forecasts, smaller companies tend to have higher target prices. When the sample is divided into two groups in model 2, large companies have significantly lower target prices than small companies. The difference between large-three and large-medium companies is insignificant, indicating analysts do not treat them separately in forecasting their target prices.

<Table 4 here>

The results of recommendations in table 5 are expected to be similar to those of target prices because they are the two different formats of the same opinion. Model 1 and 2 indicate large companies are more likely to receive sell recommendations than small companies. When large companies are further divided, large-three companies have significantly higher tendency to receive sell recommendations than their peers. Overall, the results suggest analysts do not differentiate industry leaders in their forecasting but follow the general perception that large companies are more mature that they have lower earnings growth potentials, followed by more negative outlook in their stock performances.

<Table 5 here>

Why does a discrepancy occur between the results of P/E ratios and analyst forecasts? An exact answer is difficult to know. However, I suspect this is due to either analysts recommend shares only based on their earnings growth potentials (Abarbanell and Bushee, 1997; Elliot et al., 1995; Loh and Mian, 2006) or analysts interpret the high P/E ratios of industry leaders as they are over-valued. In either case, the findings suggest the industry leader premium, observed in the market, is not recognised by analysts.

Conclusion

What are the benefits of being an industry leader? This research aims to answer this question by taking the perspective of shareholders and measure how much premium an industry leader has in its valuation. In regard to a P/E ratio, there are three plausible but conflicting hypotheses. The first hypothesis suggests a P/E ratio is an indicator of earnings growth potential and, therefore, smaller companies tend to have higher P/E ratios. The second hypothesis suggests a P/E ratio is an indicator of over/under-valuation and, therefore, companies in the same industry would have similar or same P/E ratios. These two hypotheses represent the current knowledge of a P/E ratio. The third hypothesis suggests industry leaders would have higher P/E ratios than their peers due to premiums they enjoy.

The findings indicate all three hypotheses coexist in an industry. In general, hypothesis 1 prevails. However, when companies are divided into different groups, hypothesis 2 exists within each group. Between the three largest and other large companies, the three largest companies have significantly higher P/E ratios than their peers, indicating the industry leader premium. The study of earnings forecasts suggests this is not due to their high earnings growth potentials but from other sources. However, the results of target prices and recommendations demonstrate that analysts do not know or recognise the industry leader premium yet and interpret their high P/E ratios as the sign of over-valuation.

The paper contributes new knowledge to the behaviour of a P/E ratio. By identifying the industry leader premium, the research discovers the new structure of a P/E ratio, figure 3, from the current understanding of figure 1 and 2. The practical implication for analysts is to recognise the industry leader premium before concluding that their high P/E ratios mean they are over-valued.

References

- [1] Abarbanell, J.S. and Bushee, B.J. (1997), "Fundamental Analysis, Future Earnings, and Stock Prices," *Journal of Accounting Research*, Vol. 35 No. 1, pp. 1–24.
- [2] Bower, R.S. and Bower, D.H. (1969), "Risk and Valuation of Common Stock," *Journal of Political Economy*, Vol. 77 No. 3, pp. 349–362.
- [3] Chan, L.K.C., Karceski, J. and Lakonishok, J. (2003), "The Level and Persistence of Growth Rates," *Journal of Finance*, Vol. 58 No. 2, pp. 643–684.
- [4] Cheng, Q. (2005), "What Determines Residual Income?," *The Accounting Review*, Vol. 80 No. 1, pp. 85–112.
- [5] Dugar, A. and Nathan, S. (1995), "The Effect of Investment Banking Relationships on Financial Analysts' Earnings Forecasts and Investment Recommendations," *Contemporary Accounting Research*, Vol. 12 No. 1, pp. 131–160.
- [6] Elliot, J.A., Philbrick, D.R. and Wiedman, C.I. (1995), "Evidence from Archival Data on the Relation Between Security Analysts' Forecast Errors and Prior Forecast Revisions," *Contemporary Accounting Research*, Vol. 11 No. 2, pp. 919–938.
- [7] Frankel, R. and Lee, C. (1998), "Accounting valuation, market expectation, and cross-sectional stock returns," *Journal of Accounting and Economics*, Vol. 25 No. 3, pp. 283–319.

- [8] Hunton, J.E. and McEwen, R.A. (1997), "An Assessment of the Relation Between Analysts' Earnings Forecast Accuracy, Motivational Incentives and Cognitive Information Search Strategy," *Accounting Review*, Vol. 72 No. 4, pp. 497–515.
- [9] Leibowitz, M.L. (2002), "The Levered P/E Ratio," *Financial Analysts Journal*, Vol. 58 No. 6, pp. 68–77.
- [10] Lin, W. and McNichols, M.F. (1998), "Underwriting relationships, analysts' earnings forecasts and investment recommendations," *Journal of Accounting & Economics*, Vol. 25 No. 1, pp. 101–127.
- [11] Loh, R.K. and Mian, G.M. (2006), "Do accurate earnings forecasts facilitate superior investment recommendations?," *Journal of Financial Economics*, Vol. 80 No. 2, pp. 455–483.
- [12] Malkiel, B.G. (1970), "The Valuation of Public Utility Equities," *The Bell Journal of Economics and Management Science*, Vol. 1 No. 1, pp. 143–160.
- [13] McNichols, M. and O'Brien, P.C. (1997), "Self-Selection and Analyst Coverage," *Journal of Accounting Research*, Vol. 35 No. 3, pp. 167–199.
- [14] Penman, S.H. (1996), "The Articulation of Price-Earnings Ratios and Market-to-Book Ratios and the Evaluation of Growth," *Journal of Accounting Research*, Vol. 34 No. 2, pp. 235–259.

TABLE 1

DESCRIPTIVE STATISTICS

Sample is displayed in the GICS group level instead of the sub-industry level. 22 groups and 67 sub-industries are covered in the research. The different numbers of observations are used for the analyses of P/E ratios, recommendations, target prices and earnings forecasts to draw a general conclusion from maximum available data. For the analyses of target prices and earnings forecasts, relative forecasts are used instead of absolute forecasts to eliminate the scale effect. EPS represents current earnings-per-share, EPS1 is one-year ahead earnings-per-share forecasts and EPS2 is two-year ahead earnings-per-share forecasts.

Group	Observations	Frequency	No. Companies	Market Value (mil)	Sales (mil)	P/E	Recommendation (5: strong sell; 1: strong buy)	Target Price/Current Price	EPS1/ EPS	EPS2/ EPS
Energy	645	2%	29	2,602	1,679	18.39	2.22	0.96	1.26	1.65
Materials	1,702	6%	33	3,346	4,442	17.26	2.40	1.27	1.31	1.54
Capital Goods	5,060	19%	104	2,195	3,594	17.22	2.37	1.28	1.24	1.50
Commercial & Professional Services	1,365	5%	34	649	873	19.61	2.13	1.32	1.27	1.58
Transportation	277	1%	38	5,052	9,111	14.91	2.46	0.98	1.28	1.67
Automobiles & Components	292	1%	34	673	1,561	16.60	2.37	1.28		
Consumer Durables & Apparel	2,235	8%	36	1,369	1,251	19.81	2.35	1.29	1.28	1.56
Media	1,144	4%	49	1,085	785	22.13	2.34	1.30	1.28	1.57
Retailing	203	1%	25	353	1,002	20.92				

ISBN 9781646067589	18 th International Conference on Social Sciences Lisbon, 17-18 May 2019								Proceedings Book		
Food & Staples Retailing	241	1%	24	4,033	10,176	18.45	2.55	1.16	1.13	1.32	
Food, Beverage & Tobacco	1,851	7%	82	3,203	2,825	19.07	2.43	1.24	1.24	1.46	
Household & Personal Products	591	2%	35	3,772	1,646	22.93	2.32	1.19	1.30	1.75	
Pharmaceuticals, Biotechnology & Life Sciences	439	2%	51	38,128	14,402	21.67	2.28	1.47	1.19	1.42	
Banks	1,906	7%	101	17,668	12,741	15.51	2.77	1.20	1.13	1.33	
Diversified Financials	1,907	7%	91	1,246	766	19.54	2.27	1.38	1.21	1.44	
Insurance	287	1%	30	9,406	18,731	16.09	2.49	1.20	1.26	1.46	
Real Estate	1,692	6%	76	870	223	19.52	2.39	1.28	1.11	1.22	
Software & Services	2,214	8%	94	577	438	22.30	2.26	1.35	1.38	1.87	
Technology Hardware & Equipment	1,094	4%	53	4,467	2,521	20.52	2.40	1.26	1.35	1.76	
Semiconductors & Semiconductor Equipment	189	1%	27	1,546	617	25.53	2.44	1.21	1.54	2.38	
Telecommunication Services	312	1%	37	60,641	39,933	17.78	2.45	1.23	1.20	1.47	
Utilities	741	3%	30	14,082	13,664	19.44	2.42	1.34	1.12	1.28	
Mean	2,210	5%	69	4,835	4,088	19.02	2.36	1.28	1.26	1.55	
N	26,315	100%		26,315	26,315	26,315	21,376	13,987	13,057	13,057	

TABLE 2

P/E RATIOS OF INDUSTRY LEADERS

The industry leader premium is measured as difference between the P/E ratios of the three largest companies and their peers. Model 1 represents the general trend of P/E ratios along ranks. Model 2 separates the sample equally into large and small companies. Model 3 further divides large companies into the three largest and other large companies. Model 4 is identical to model 3 except a baseline intercept. Model 4 uses large-medium companies as a base intercept, instead of small companies, to measure the significance of the industry leader premium directly. A company with the largest sales ranks first, followed by the second largest ranks second, and so on. Panel B is a supplementary analysis controlling the earnings growth potentials of companies to examine the robustness of the results in panel A. *, ** and *** represent significance at 10%, 5% and 1% level, respectively.

Panel A

	Model 1		Model 2		Model 3		Model 4	
Intercept	16.090 (0.081)	***	16.629 (0.102)	***	16.561 (0.103)	***	15.845 (0.084)	***
Rank	0.007 (0.001)	***	0.001 (0.001)		0.003 (0.001)	**	0.003 (0.001)	**
Large			-0.680 (0.079)	***				
Large3					-0.068 (0.135)		0.649 (0.117)	***
LargeMed					-0.717 (0.079)	***		
Small							0.717 (0.079)	***
Leverage	-0.005 (0.000)	***	-0.005 (0.000)	***	-0.005 (0.000)	***	-0.005 (0.000)	***
DivPayout	-0.008 (0.002)	***	-0.007 (0.002)	***	-0.007 (0.002)	***	-0.007 (0.002)	***
R ²	0.026		0.028		0.029		0.029	
N	26,315		26,315		26,315		26,315	

Panel B

	Model 1		Model 2		Model 3		Model 4	
Intercept	14.242 (0.260)	***	14.360 (0.282)	***	14.165 (0.283)	***	14.025 (0.261)	***
Rank	-0.010 (0.002)	***	-0.011 (0.002)	***	-0.007 (0.002)	***	-0.007 (0.002)	***
Large			-0.117 (0.108)					
Large3					0.611 (0.154)	***	0.752 (0.114)	***
LargeMed					-0.141 (0.108)			
Small							0.141 (0.108)	
Leverage	-0.005 (0.000)	***	-0.005 (0.000)	***	-0.005 (0.000)	***	-0.005 (0.000)	***
DivPayout	0.004 (0.003)		0.004 (0.003)	*	0.004 (0.003)		0.004 (0.003)	
EPS1/EPS	-4.309 (0.342)	***	-4.311 (0.342)	***	-4.256 (0.342)	***	-4.256 (0.342)	***
EPS2/EPS	5.017 (0.226)	***	5.008 (0.226)	***	5.001 (0.225)	***	5.001 (0.225)	***

R ²	0.080	0.080	0.083	0.083
N	13,488	13,488	13,488	13,488

FIGURE 1

The result of model 1 of panel A in table 2. It represents the general trend of P/E ratios along ranks. A higher rank means a smaller company.

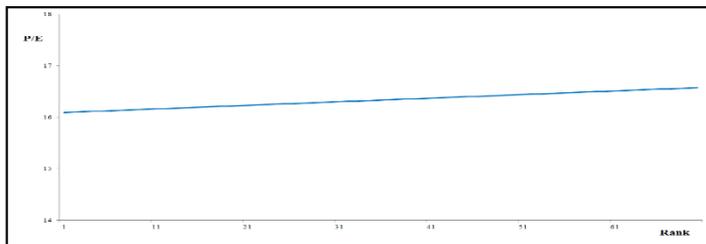


FIGURE 2

The result of model 2 of panel A in table 2. It represents the structure of P/E ratios when companies are equally divided into large and small companies. A higher rank means a smaller company.

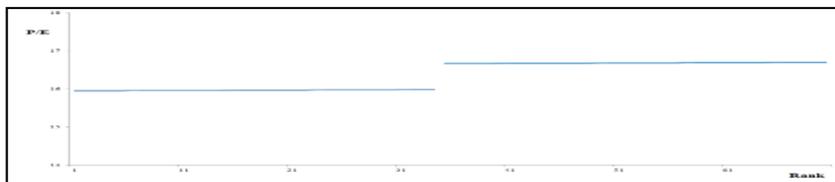


FIGURE 3

The result of model 3 and 4 of panel A in table 2. It represents the structure of P/E ratios when large companies are further divided into the three largest and other large companies. A higher rank means a smaller company.

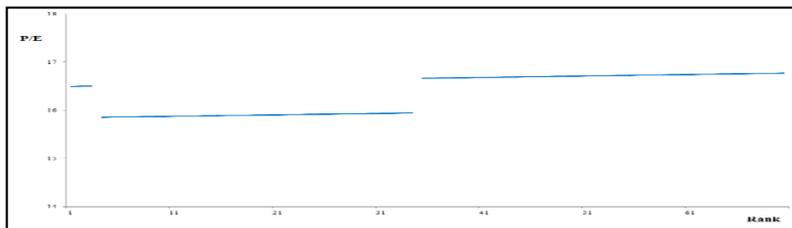


TABLE 3

EARNINGS FORECASTS OF INDUSTRY LEADERS

Panel A and B measure the impact of ranks on one- and two-year ahead earnings forecasts, respectively. Earnings forecasts in a dependent variable are relative earnings forecasts measured as EPS forecasts divided by current EPS. Model 1 represents the general trend of earnings forecasts along ranks. Model 2 separates the sample equally into large and small companies. Model 3 further divides large companies into the three largest and other large companies. Model 4 is identical to model 3 except a baseline intercept. Model 4 uses large-medium companies as a base intercept, instead of small companies, to measure the significance for industry leaders directly. *, ** and *** represent significance at 10%, 5% and 1% level, respectively.

Panel A: One-Year Ahead Earnings Forecast

	Model 1		Model 2		Model 3		Model 4	
Intercept	1.106 (0.003)	***	1.124 (0.005)	***	1.127 (0.005)	***	1.109 (0.003)	***
Rank	0.001 (0.000)	***	0.000 (0.000)	***	0.000 (0.000)	**	0.000 (0.000)	**
Large			-0.018 (0.005)	***				
Large3					-0.032 (0.007)	***	-0.014 (0.006)	**
LargeMed					-0.017 (0.005)	***		
Small							0.017 (0.005)	***
R ²	0.003		0.004		0.005		0.005	
N	13,057		13,057		13,057		13,057	

Panel B: Two-Year Ahead Earnings Forecast

	Model 1		Model 2		Model 3		Model 4	
Intercept	1.266 (0.004)	***	1.305 (0.008)	***	1.308 (0.008)	***	1.269 (0.005)	***
Rank	0.002 (0.000)	***	0.001 (0.000)	***	0.001 (0.000)	***	0.001 (0.000)	***
Large			-0.040 (0.007)	***				
Large3					-0.054 (0.011)	***	-0.015 (0.009)	
LargeMed					-0.039 (0.007)	***		
Small							0.039 (0.007)	***
R ²	0.011		0.014		0.014		0.014	
N	13,057		13,057		13,057		13,057	

TABLE 4

TARGET PRICES OF INDUSTRY LEADERS

Target prices in a dependent variable are relative target prices measured as target prices divided by current prices. Model 1 represents the general trend of target prices along ranks. Model 2 separates the sample equally into large and small companies. Model 3 further divides large companies into the three largest and other large companies. Model 4 is identical to model 3 except a baseline intercept. Model 4 uses large-medium companies as a base intercept, instead of small companies, to measure the significance for industry leaders directly. *, ** and *** represent significance at 10%, 5% and 1% level, respectively.

	Model 1		Model 2		Model 3		Model 4	
Intercept	1.104 (0.004)	***	1.223 (0.007)	***	1.222 (0.007)	***	1.097 (0.004)	***
Rank	0.004 (0.000)	***	0.002 (0.000)	***	0.002 (0.000)	***	0.002 (0.000)	***
Large			-0.125 (0.006)	***				
Large3					-0.123 (0.010)	***	0.002 (0.008)	
LargeMed					-0.125 (0.006)	***		
Small							0.125 (0.006)	***
R ²	0.067		0.091		0.091		0.091	
N	13,987		13,987		13,987		13,987	

TABLE 5

RECOMMENDATIONS OF INDUSTRY LEADERS

Recommendations scale from 1 (strong buy) through 3 (hold) to 5 (strong sell). Model 1 represents the general trend of recommendations along ranks. Model 2 separates the sample equally into large and small companies. Model 3 further divides large companies into the three largest and other large companies. Model 4 is identical to model 3 except a baseline intercept. Model 4 uses large-medium companies as a base intercept, instead of small companies, to measure the significance for industry leaders directly. *, ** and *** represent significance at 10%, 5% and 1% level, respectively.

	Model 1		Model 2		Model 3		Model 4	
Intercept	2.419 (0.005)	***	2.169 (0.009)	***	2.163 (0.009)	***	2.425 (0.005)	***
Rank	-0.005 (0.000)	***	-0.002 (0.000)	***	-0.001 (0.000)	***	-0.001 (0.000)	***
Large			0.263 (0.008)	***				
Large3					0.293 (0.013)	***	0.032 (0.011)	***
LargeMed					0.261 (0.008)	***		
Small							-0.261 (0.008)	***
R ²	0.055		0.103		0.104		0.104	
N	21,376		21,376		21,376		21,376	

Application of Z-Numbers Based Approach to Project Risks Assessment

A.M.Nuriyev

Azerbaijan State Oil and Industry University, Azadlyg ave., 20, AZ1010, Baku, Azerbaijan

Abstract

At every phase of the project management process various risks originate owing to occurrence of uncertain events. In this research, we are analyzing potentialities of the Z-numbers in improving the quality of risk assessment. Risk assessment uses probability theory, theory of possibilities, fuzzy approach, Z-number based approach etc. Combined risk measure based on probability and consequence is calculated by applying the disjoint events probability formula or as a product of events. Reliability of relevant information unaccounted in this approach and this circumstance limits the descriptive power of the approach. Suggested by L. Zade a bi-component Z-number $Z = (A, B)$ represents in a unified way a restriction on the values of the uncertain variable (A) and its certainty (B) and allows to take into account the reliability of information. Prediction identical to (**High, Very Sure**) can be formalized as a Z- evaluation "**X is Z (A,B)**", where X is random variable of Risk Likelihood, A and B are fuzzy sets, describing soft constraints on a risk likelihood and a partial reliability, respectively. Usually, A and B are sense-based and in effect are imprecise. Z-number describes a probability of threat as: **Likelihood = Z1(High, Very Sure)**, where A is expressed by linguistic terms *High, Medium, Low*, and B is expressed by terms **Very Sure, Sure** and so on. Similarly, Consequence measure is described as **Consequence measure = Z2 (Low, Sure)**. Risk levels (**Z12**) is calculated as the product of the likelihood (**Z1**) and consequence measures (**Z2**). Effectiveness of the approach illustrated by examples. A general and computationally effective approach suggested to computation with Z-numbers allows using Z-information for the solving decision-making problem which can be utilized for risk factors estimation. Application of the Z-number based approach for a project risks assessment increases adequacy of the risks representation due to better approximation of the combined effects.¹

Keywords: project management, risk assessment, Z-numbers, risk likelihood, risk consequence, risk level.

Introduction

The project management is becoming an increasingly important tool almost in all areas of human activity. As noted in Gartner and other research agencies reports, about 25% of world gross product is spent on various kinds of projects. Professional project management allows to effectively distribute responsibilities and duties between project participants, save up to 30% of time and up to 20% of funds, reduce project risks (Ashfaque, 2011).

According to the PMI's Pulse of Profession report for the year 2015 - Capturing the Value of Project Management, on average, 58% of the respondents fully understand the value of project management approach. Non-project-oriented companies spend about \$250 million on projects realization, and project-oriented organizations spend thirteen times less - about 20 million a year. High-performing organizations successfully met original goals, complete and implement 90% of projects in time. Organizations with well-established formal knowledge transfer process significantly improve project outcomes. More than 60 % of organizations carry out regular trainings in project management for their employees (Project Management Institute, 2015;Burba, 2015).

¹ Project management is the multiphase process and at every phase of this process, various risks originate owing to the occurrence of uncertain events. These risks should be identified, assessed and controlled. In the paper, various assessment approaches analyzed and potentialities of the Z-numbers application in the project risks analysis and evaluation studied. Effectiveness of the approach illustrated by examples. Application of the Z-number based approach for a project risks assessment increases the adequacy of the risk representation due to a better approximation of the combined effects. Use of Z-concept allows taking into account the reliability of the information describing risks.

In their daily activities, people encounter and resolve work and life-related issues, and in the most cases these activities are based on purposeful or unconscious use of the project management approach, design and implementation of the various projects: career development, study, moving to another city are the classical examples of such projects. Day-to-day activities of any company are very similar to people's life: a company develops and implement various projects.

At present many sectors adopt project management approach and become project-oriented and this tendency is increasing. Use of the project management approach in their daily activities allows companies to reach their financial and economic objectives.

All projects are temporary by nature and they have start and end dates. There are various definitions of project management. In many cases, well established international standards define a project management as an application of knowledge, skills, techniques, and tools to the project jobs to meet project requirements and specifications. According to the sixth edition of the PMBOK (2017), project management is realized via proper use and integration of the 49 processes grouped in 5 groups and it embraces 10 knowledge areas.

Project management technique has been widely used by financial institutions. These institutions develop and implement various projects in their ongoing daily activities and strategic activities oriented to improvement of business processes. As a result, many publications related to the study of the project risks in one way or another turn to the evaluation of the financial risks or the risks of investment projects. As we mentioned earlier, the project management approach has been used not only in economics and finance, but also in the social, legal, political and other areas. As it mentioned in (Songyan Zhang & Yuxiao Fang, 2016) the study of risk management in engineering projects primarily based on financial risk management knowledge.

Project risks assessment

Risks are uncertain events or conditions that directly influence objectives of the project-content, duration, cost, and quality and due to this relationship, risk management is an inseparable part of the project management.

Classification of the project risks can be done in different ways. As a base for the classification can be used frequency of occurrence and the impact scope. A list of the most common risks includes scope, schedule, cost, resources, technology, external hazards, governance, performance, legal issues, etc. (Szymański, 2017; Tsiara & Siakas, 2016). Subject area-related specific risks significantly enlarge this list.

The risk management process is a multi-stage, multi-layer and complex procedure. Key stages in the risk management process are risk identification and analysis, response methods development, monitoring and risk management. Risks identification and analysis are one of the important and time-consuming stages of the project management process, they laid down the foundation for the all other stages of the project management and, at the same time, they are the least formalized stages in project management-related decision-making processes. A large amount of research publications analyses project risks as a kernel task of project management processes (Henrique Rodrigues-da-Silva & Crispim, 2014).

At the risk analysis stage researcher should clearly identify inherent to the subject area risks, reveal cause-effect relationships, evaluate level, frequency and consequences of the risks and prioritize risks from the standpoint of the project management decisions. At this stage, various models of the qualitative description of the risks and sub-risks can be used.

Analysis of the (Marle & Gidel, 2012; Rostami, 2016; Yesuf, 2017; Ungureanu, Braicu & Ungureanu, 2015; Renault, Agumba & Ansary, 2016) and other research publications shows that there are well-established identification procedures.

Despite availability of the various metrics for the evaluation and description of the risks, quantitative risk analysis is a complicated problem.

In (Aven, 2016) the risk definition and metrics from the (SRA Glossary society for risk analysis, 2015) are summarized as follows: the combination of probability and severity of consequences; the triplet of the scenario, scenario probability and consequence; the triplet of some specified consequences, measure of consequence uncertainty and background knowledge, supporting consequence and its uncertainty; expected negative consequences computed by expected number of fatalities in a specific period; the product of the hazard occurring probability, the probability of the exposition to the hazard, and the expected damage in case of exposition; expected disutility; a possibility distribution for the damage. It is indicated that suitability of these metrics and descriptions depends on the situation.

Risk assessment and formalization requires analysis of the uncertainties inherent to the real-world processes and events. This is a hot topic that has been intensively discussed in research publications from the early stages of the risk assessment until today (Aven,2016).

Even though the terms risk and uncertainty have been widely used interchangeable in most part of the surveyed articles, we should take into consideration that these terms have distinct meanings in decision-making models and processes. Term risk is more applicable when information for the evaluation of the likelihood of an event is available, uncertainty more suitable to the case of lack of knowledge (Carvalho,2017).

Unforeseen project risks are mainly caused by uncertainties and these uncertainties can decrease revenue, increase cost, incur losses and so on. In the analysis of long-term projects, it is necessary to take into consideration expected future values of the multiple factors, influencing project baseline, and due to this circumstance getting reliable and accurate forecasts become an insurmountable task. In the forecasting, it is necessary to differentiate and to take into consideration the uncertainties causing risks for the given measures of effectiveness, as a result, arises an issue of the formalization of forecasted uncertain characteristics of the project and their appropriate estimation. So, the presence of the various types of uncertainties necessitates adaptation of the project effectiveness measures. This adaptation can be done by use of the appropriate mathematical tools, allowing to formalize and process various types of the uncertainties.

Risk assessment uses various mathematical tools: probability theory, theory of possibilities, fuzzy approach, etc. Historically, probabilities were the first tools used for the formalization of the uncertainties in decision making. Probability is the most common tool, but other tools also exist, including imprecise (interval) probability and representations based on the theories of possibility and evidence, as well as qualitative approaches (Aven,2016;Zhang,Li&Zhang,2016;Ghasemi,Hossein Mahmoudi Sari,Yousefi,Falsafi&Tamosaitiene,2018).

Quantitative possibility theory allows reconciliation of the probability and fuzzy approach. A current major concern in risk analysis studies is uncertainty propagation under poor data and without independence assumptions. Methods for joint propagation of possibilistic and probabilistic information and probabilistic models with fuzzy interval parameters have been developed (Dubois&Prade,2015).

In (Zlateva,2015) the fuzzy logic method for assessment of risk management capability is proposed. The fuzzy logic method is developed as a hierarchical system with several inputs and one output. The proposed method for the assessment of risk management capability is envisaged to be implemented as a part of the information system for integrated risk management of natural disasters.

Zadeh (2011 p.1) noted that "In the real world, uncertainty is a pervasive phenomenon. Much of the information on which decisions are based is uncertain. Humans have a remarkable capability to make rational decisions based on information which is uncertain, imprecise and/or incomplete. Formalization of this capability, at least to some degree, is a challenge that is hard to meet. It is this challenge that motivates the concepts and ideas outlined in this note". In this note, the concept of a Z-number is introduced and methods of computation with Z-numbers are outlined

Suggested by Zadeh a bi-component Z-number $Z = (A,B)$ represents in a unified way a restriction on the values of the uncertain variable (A) and its certainty (B).

Since its introduction, the concept of Z-numbers has been successfully applied as a new direction in the analysis of uncertain and complex systems in various areas of science and technology.

The main critical problems that naturally arises in processing Z-information are computation and reasoning with Z-information (Aliev, Alizadeh&Huseynov, 2015).

Fuzzy approach to risk assessment

Until recently the applications of Z-numbers based approaches were limited by the lack of efficient technique for computations with Z-numbers.As it was noted by L.Zadeh (2011 p.5) «Problems involving computation with Z-numbers are easy to state but far from easy to solve».

Kang et al.(2012) suggest an approach based on converting a Z-number to a fuzzy number on the base of an expectation of a fuzzy set. However, converting Z-numbers to fuzzy numbers leads to loss of original information reducing the benefit of using original Z-number-based information (Aliev,Huseynov,Aliev&Alizadeh,2015).

The work of Zadeh (2012) discusses different methods, applications, and systems based on the Z-number concept. Aliev and colleagues suggested a general and computationally effective approach to computation with Z-numbers. The approach is applied to the computation of arithmetic and algebraic operations, t-norms and s-norms, and construction of typical functions (Aliev, Huseynov & Zeinalova, 2016; Aliev et al., 2015; Aliev, Huseynov & Aliyev, 2017; Aliev, Huseynov & Alieva, 2016)

In (Cooper, Grey, Raymond & Walker, 2005) combined risk measures based on risk likelihood and risk consequence are described. The method applies disjoint events probability or product formula. In this approach, the descriptive likelihood assessments are converted to numerical measures and the numerical measures are averaged, to get a risk likelihood measure P. A similar process is used for the consequence assessments, to get an average consequence measure C. A combined risk measure RF is then calculated for each risk. **P=risk likelihood measure**, on a scale 0 to 1=average of likelihood factors; **C=consequence measure**, on a scale 0 to 1=average of consequence factors:

$$RF = \text{risk factor} = P + C - (P * C)$$

The risk factor RF, from 0 (low) to 1 (high), reflects the likelihood of a risk arising and the severity of its impact.

In some circumstances, risk factors may be calculated as the product of the likelihood and consequence measures:

$$RF = P * C$$

The 'product' formula has one significant disadvantage in comparison with the earlier form - items with high consequences but low probabilities may be allocated low-risk factors, and hence they may not be flagged as important. This can be a problem in practice, as there is a chance that significant risks may not be noticed. The earlier version identifies items with high likelihoods or high consequences or both, so the chance of high consequence but low likelihood items being ignored is reduced greatly.

Product of the threat likelihood and threat impact is proposed for risks level calculating in (Stoneburner, Goguen & Feringa, 2002; NIST, 2012) where it is proposed to product *Threat Likelihood* (High, Medium, and Low – for example) and *Impact Level* (High, Medium, and Low):

$$\text{Risk level} = \text{Threat Likelihood} * \text{Impact Level}$$

The determination of these risk levels or ratings may be subjective. The rationale for this justification can be explained in terms of the probability assigned for each threat likelihood level and a value assigned for each impact level. For example, the probability assigned for each threat likelihood level is 1.0 for High, 0.5 for Medium, 0.1 for Low. The value assigned for each impact level is 100 for High, 50 for Medium, and 10 for Low. The quantifiers Very High and Very Low can be used as well.

Let's consider using Z-numbers to calculate the level of risk or risk factors. In many areas, risk experts deal with the prediction like this one (High, Very Sure). This prediction can be formalized as a Z-number-based evaluation "X is Z(A,B)", where X is a random variable of Risk Likelihood, A is a fuzzy set used to describe soft constraint of risk likelihood and B is a fuzzy number to describe a soft constraint on a partial reliability of A. As Zadeh noted "X=Z(A,B) is Z-valuations. A collection of Z-valuations is referred to as Z-information". It should be noted that much of everyday reasoning and decision-making is based on Z-information.

Probability of threat can be described via Z-numbers as: **Likelihood=Z1(High, Very Sure)**, where a value of the A is expressed by linguistic terms *High, Medium, Low*, and a value of the B is expressed by linguistic terms *Very Sure, Sure* and so on. Similarly, Consequence measure can be described as **Consequence measure = Z2 (Low, Sure)**.

The example of encoded linguistic terms for A component of Z-numbers

Scale	Level	membership function value (triangle)
1	Very Low	1/1, 1/1, 0/0
2	Low	0/1, 1/2, 0/3
3	Medium	0/2, 1/3, 0/4
4	High	0/3, 1/4, 0/5
5	Very high	0/4, 1/5, 1/5

The example of encoded linguistic terms for B component of Z-numbers

Scale	Level	membership function value (triangle)
1	Unlikely	1/0,05, 1 /0,05, 0/0,25
2	Not very likely	0/0,05, 1 /0,25, 0 /0,5
3	Likely	0/0,25, 1 / 0,5, 0 /0,75
4	Very likely	0 /0,5, 1 / 0,75, 0 /1
5	Extremely likely	0 /0,75, 1 /1, 1 / 1

As it is shown in (Stoneburner et al.,2002) risk levels (Z12) can be calculated as the arithmetic product of the Z-numbers (Aliev&Salimov,2017) likelihood (Z1) and consequence measures (Z2):

$$Z12=Z1*Z2$$

For example Z-numbers expressing the values of a risk factor - violation of terms of delivery - can be calculated as a product of Z-number - *Likelihood (medium, very likely)* and *Measure of consequences (Low, Sure)*

$$\text{Risk Factor (violation of terms of delivery) = Likelihood (High, Very Sure) * Consequence (Low, Sure)}$$

In order to evaluate the risk factors (risk levels) and to make a decision, the operation of the ranking of Z-numbers (Aliev,Huseynov O &Serdaroglu, 2016) is used.

The analysis of the values of different Z1 and Z2, allows to determine when the risk is greater, for example: *Likelihood (High, Very Sure)*Consequence (Low, Very Sure)* or *Likelihood (Very High, Sure)*Consequence (Medium, Sure)*.

Arithmetic operations on Z-numbers as well as the ranking of Z-numbers and aggregation of Z-information allow using Analytical Hierarchy Process (AHP) and Multi-Criteria Decision Analysis (MCDA) (Chatterjee&Kar,2018;Gardashova,2014) for the solving decision-making problem which can be utilized for risk factors estimation.

Also, taking into account successful applications of fuzzy IF-THEN rules for solving a wide spectrum of real-world problems, Zadeh (2011, 2013) provides a brief discussion on crucial importance of the development of Z-rules – IF-THEN rules with Z-number valued components, which naturally would have expressive power.

In (Aliev,Pedrycz,Huseynov&Eyupoglu,2017) a new approach is developed to study approximate reasoning with Z-rules on a basis of linear interpolation. Research team provides an application of the approach to job satisfaction evaluation and to students' educational achievement evaluation problems related to psychological and perceptual issues naturally characterized by imperfect information. The obtained results show the applicability and validity of the proposed approach. In (Abiyev,Uyar,Ilhan,Imanov&Abiyeva,2018) Z-number-based fuzzy If-Then rules are applied for the determination of the food security risk level in Turkey.

Conclusion

At every phase of the project management process, various risks originate owing to the occurrence of uncertain events. Uncertainty of the project information is caused by the complexity of the project nature - project is a unique, temporary and progressively elaborating endeavor. Risks directly influence objectives of the project-content, duration, cost, and quality and due to these relationships risk management is an inseparable part of the project management. Risks should be identified, assessed and controlled.

Risk assessment tools based on traditional probabilistic or possibility models have a limited capacity of description and processing project-related uncertain information and not in all cases are relevant for the risk assessment. Recent advances in computation with Z-numbers allows to conceptualize and process uncertain information by using perception-based and linguistically expressed fuzzy numbers, describing both restriction on the value of the uncertain variable and reliability of the value.

Risk analysis includes risks that can be evaluated based on the past statistical data and risks that are an inherent part of the given situation without past data available. Evaluation of such risks is based on unconscious experience and intuition.

Recently developed and based on arithmetic operations on Z-numbers, the ranking of Z-numbers and aggregation of Z-information, as well as Z-rules approach, allows to refrain from excessive assessment simplification and to successfully resolve issues of the multi-risk situations analysis without loss of contained in Z-numbers information. The aim of further research is the solution to the various project risk analysis problems.

References

- [1] Abiyev Rahib H., Kaan Uyar, Umit Ilhan, Elbrus Imanov, and Esmira Abiyeva, "Estimation of Food Security Risk Level Using Z-Number-Based Fuzzy System," *Journal of Food Quality*, vol. 2018, Article ID 2760907, 9 pages, 2018. <https://doi.org/10.1155/2018/2760907>.
- [2] Aliev R.A., Alizadeh A.V., Huseynov O.H. (2015). The arithmetic of discrete Z-numbers. *Inform. Sciences* 290, 134-155
- [3] Aliev R.A., O.H.Huseynov, L.M.Zeinalova, The arithmetic of continuous Z-numbers, *Information Sciences*, Volume 373, 2016, Pages 441-460, ISSN 0020-0255, <https://doi.org/10.1016/j.ins.2016.08.078>.
- [4] Aliev R.A., O.H.Huseynov, R.R.Aliev, A.V.Alizadeh. *The Arithmetic of Z-Numbers: Theory and Applications*. World Scientific, 2015
- [5] Aliev R.A., O.H.Huseynov, R.R.Aliyev, A sum of a large number of Z-numbers, *Procedia Computer Science*, Volume 120, 2017, Pages 16-22
- [6] Aliev R.A., O.H.Huseynov, K.R.Alieva. (2016). Z-valued T-norm and T-conorm Operators-based aggregation of Partially Reliable Information. *Procedia Computer Science*. 102 (2016) 12-17
- [7] Aliev R. A., W. Pedrycz, O. H. Huseynov and S. Z. Eypoglu, "Approximate Reasoning on a Basis of Z-Number-Valued If-Then Rules," in *IEEE Transactions on Fuzzy Systems*, vol. 25, no. 6, pp. 1589-1600, Dec. 2017. doi: 10.1109/TFUZZ.2016.2612303
- [8] Aliev, Rafik&Salimov, V.H. (2017). Software for Z-arithmetic. *Procedia Computer Science*. 120. 290-295. [10.1016/j.procs.2017.11.241](https://doi.org/10.1016/j.procs.2017.11.241).
- [9] Aliev, Rafik &Huseynov, O &Serdaroglu, R. (2016). Ranking of Z-Numbers and Its Application in Decision Making. *International Journal of Information Technology & Decision Making*. 15. 1-17. [10.1142/S0219622016500310](https://doi.org/10.1142/S0219622016500310).
- [10] Ashfaque Ahmed. *Software Project Management: A Process-Driven Approach*. Auerbach Publications, 2011, 456 pages
- [11] Aven T., Risk assessment and risk management : Review of recent advances on their foundation, *European Journal of Operational Research* (2016), <http://dx.doi.org/10.1016/j.ejor.2015.12.023>
- [12] Burba, Donovan (2015). Focus on the fundamentals. *PM Network*, April 2015, Volume 29, number 4. Retrieved from http://www.pmnetwork-digital.com/pmnetwork/april_2015?pg=1#pg1
- [13] Carvalho, Marly. (2017). Risk and uncertainty in projects management: literature review and conceptual framework RECEBIDO. *GEPROS. Gestão da Produção, Operações e Sistemas*. 12. 93-120. [10.15675/gepros.v12i2.1637](https://doi.org/10.15675/gepros.v12i2.1637).
- [14] Chatterjee, K., &Kar, S. (2018). A multi-criteria decision making for renewable energy selection using Z-numbers in uncertain environment. *Technological and Economic Development of Economy*, 24(2), 739-764. <https://doi.org/10.3846/20294913.2016.1261375>
- [15] Cooper, D., Grey, S., Raymond G. and Walker, P. (2005). *Project Risk Management Guidelines*, "Managing Risk in Large Projects and Complex Procurements, John Wiley & Sons, Ltd ISBN 0-470-02281-7
- [16] Henrique Rodrigues-da-Silva, Luiz & Crispim, José. (2014). The Project Risk Management Process, a Preliminary Study. *Procedia Technology*. 16. 943-949. [10.1016/j.protcy.2014.10.047](https://doi.org/10.1016/j.protcy.2014.10.047).
- [17] Gardashova, L. 2014. Application of operational approaches to solving decision making problem using Z-numbers, *Applied Mathematics* 5: 1323–1334. <https://doi.org/10.4236/am.2014.59125>
- [18] Ghasemi, Forough&Hossein Mahmoudi Sari, Mohammad &Yousefi, Vahidreza&Falsafi, Reza &Tamosaitiene, Jolanta. (2018). Project Portfolio Risk Identification and Analysis, Considering Project Risk Interactions and Using Bayesian Networks. *Sustainability*. 10. 1609. [10.3390/su10051609](https://doi.org/10.3390/su10051609).
- [19] A Guide to the Project Management Body of Knowledge, *PMBOK Guide*, Project Management Institute, 6-th edition, 756p, 2017
- [20] Kang, BingYi& Wei, D & Li, Y & Deng, Y. (2012). Decision making using Z-numbers under uncertain environment. *Journal of Computational Information Systems*. 8. 2807-2814.

- [21] Marle F., Thierry Gidel. Assisting Project Risk Management Method Selection. *International Journal of Project Organisation and Management*, 2012. (hal-01204820)
- [22] NIST Special Publication 800-30, 2012
- [23] Project Management Institute (2015). Pulse of the Profession Capturing the Value of Project Management. Retrieved from <https://www.pmi.org/-/media/pmi/documents/public/pdf/learning/thought-leadership/pulse/pulse-of-the-profession-2015.pdf>
- [24] Renault, B.Y., Agumba, J.N & Ansary, N. 2016. A theoretical review of risk identification: perspective of construction industry. 5th Applied Research Conference In Africa (ARCA 2016), At Cape Coast, Ghana, Volume: 773-782 <http://hdl.handle.net/10210/214956>
- [25] Rostami Ali. "Tools and Techniques in Risk Identification: A Research within SMEs in the UK Construction Industry." *Universal Journal of Management* 4.4 (2016) 203 - 210. doi: 10.13189/ujm.2016.040406.
- [26] Songyan Zhang, Yuxiao Fang. Literature Review on Engineering Project Risk Management. Conference Paper. Proceedings of the 2016 5-th International Conference on Sustainable Energy and Environment Engineering (ICSEEE 2016) <https://doi.org/10.2991/icseee-16.2016.26>
- [27] SRA Glossary society for risk analysis: www.sra.com/resources (2015).
- [28] Stoneburner Gary, Alice Goguen, and Alexis Feringa. Risk management guide for information technology systems. Recommendations of the National Institute of Standards and Technology. U.S. DEPARTMENT OF COMMERCE - NIST SP 800-30, 2002
- [29] Szymański, Paweł. (2017). Risk management in construction projects. *Procedia Engineering*. 208. 174-182. [10.1016/j.proeng.2017.11.036](https://doi.org/10.1016/j.proeng.2017.11.036).
- [30] Tsiara, Eleana & Siakas, Kerstin. (2016). Investigating the Application of Risk Management in Greek IT Companies. <https://www.researchgate.net/publication/327602021>
- [31] Ungureanu Anca & Braicu Cezar & Adrian Ungureanu, 2015. Risk Identification in Project Management, International Conference on Economic Sciences and Business Administration, Spiru Haret University, vol. 2(1), pages 259-266, December.
- [32] Yesuf, Ahmed. (2017). A Review of Risk Identification Approaches in the Telecommunication Domain. [10.5220/0006197603890396](https://doi.org/10.5220/0006197603890396).
- [33] Zhang, Zhan & Li, Kai & Zhang, Lei. (2016). Research on a Risk Assessment Method considering Risk Association. *Mathematical Problems in Engineering*. 2016. 1-7. [10.1155/2016/9191360](https://doi.org/10.1155/2016/9191360).
- [34] Zadeh Lotfi A., A Note on Z-numbers, *Information Sciences*, Volume 181, Issue 14, 2011, Pages 2923-2932, ISSN 0020-0255, <https://doi.org/10.1016/j.ins.2011.02.022>.
- [35] Zadeh, L. A., 2012. Methods and Systems for Applications for Z-Numbers, United States Patent, Patent No.: US 8,311,973 B1, Date of Patent: Nov. 13, 2012
- [36] Zadeh Lotfi A. Z-NUMBERS—A NEW DIRECTION IN THE ANALYSIS OF UNCERTAIN AND COMPLEX SYSTEMS. 7 th IEEE International Conference on Digital Ecosystems and Technologies, July 24, 2013 Menlo Park
- [37] Zlateva, Plamena & Velev, Dimiter & Raeva, L. (2015). A Fuzzy Logic Method for Assessment of Risk Management Capability. *International Journal of Innovation, Management and Technology*. 6. 260-266. [10.7763/IJIMT.2015.V6.612](https://doi.org/10.7763/IJIMT.2015.V6.612).

The Role of Scientific Terminology and Metaphors in Management Education

Luke Peh Lu Chang

Singapore University of Social Sciences (SUSS)

Shamas ur Rehman Toor

Asian Infrastructure Investment Bank

Leong Y. Jonathan

Singapore University of Social Sciences (SUSS)

Abstract:

Interdisciplinary studies can create synergy across various fields, allowing for knowledge in a previously specialized area to support other disciplines. A number of scientific theories and laws have been applied in other domains to explain the latter's phenomenon; the adaptation of Newton's Gravitational Law for studies of bilateral trade, diplomatic ties, migration and interaction, or the extension of Chaos Theory to biological evolution, engineering, and organizational management. Recent literature in management studies have also used scientific theories as metaphors to describe management functions and managerial behaviours. Similarly, one can apply Moore's Law to understand the exponential world. Changes are no longer linear and predictable, and the past is no longer a proxy for the future. This paper suggests that the renowned and established theories of General Relativity, Quantum Physics, the Newtonian Paradigm, Theory of Chaos, and the Standard Model have the potential to operate as extensions or metaphors to explain some aspects of strategic management. These scientific theories, and the implications of their respective terminologies, can therefore help firms better appreciate strategies and organizational designs that combat complexities of business environments, especially those in international markets. Their use will also help managers with a background in science understand various phenomena with augmented interest and clarity, thereby improving the learning experience and depth of understanding for both professionals and management students alike.

Keywords: scientific metaphors, enhancing learning, globalization, education, organizational management education, interdisciplinary

Introduction

"For newer disciplines, there appears to be a pattern of development that is based on the usage of concepts, definitions, theories, rules and principles from other disciplines. In other words, scholars determine that there is no reason to reinvent the wheel and therefore, search out those things which can or might apply to their respective area of study." (Stock, 1997, p. 215) Scientific inquiry is one of the oldest disciplines intriguing the human mind. Since early civilisations, humans have engaged in the discovery of the nature and development of principles and laws that govern this universe. Early attempts to understand the universe were restricted to limited observation and inadequate experimentation. The scientific development that we see today is a process that began long ago, although recent centuries have shown a major expansion of scientific disciplines leading to technological advancement and innovation. Scientific knowledge and discoveries in early civilisations were rarely well recorded, transferred to subsequent generations, or shared with other scientists around the world. However, the emergence of means to share information both further and faster (such as Digital and Information Technology) has led to growth of sciences, and also ignited the emergence of many cross-disciplinary fields. In this respect, science has also influenced many other disciplines, especially management – that finds itself at the confluence of natural and social science.

There are many examples of principles of scientific theories being applied in management both as parallel concepts and as illustrative metaphors. When Gleick (1987) observed that twentieth-century science will be remembered for relativity,

quantum mechanics, and chaos, he did not foresee that the implications of quantum theory and chaos would also be recognized in fields of management. No one would have also thought that principles of Newtonian paradigms can effectively explain total quality management (Dooley et al., 1995). All such works have compared the similarities between respective scientific concepts and management theories, or employed them as analogies and metaphors to explain social systems and management problems.

Though metaphorical use of scientific theories carries great potential to explain concepts and issues in management, its use is still scarce at best. The principal objective of this paper is to highlight how scientific analogies and metaphors can be used to elaborate management concepts. Attempts have also been made to propose additional analogies and metaphors to explain the phenomenon of internationalization of businesses.

Using Scientific Metaphors in Management

Metaphor is the art of comparing different things to arrive at a new understanding (Hudson, 2005). Hamilton (2000) also observes that metaphors can be used to both influence and persuade. However, she also warned that use of metaphors may also constrain and limit understanding, then used the example of the atom and the solar system to explain how powerful metaphors can be in creating new images and new meanings, and explain complex systems. Kaplan (1964) suggests that the use of analogies and metaphors to point out the awareness of resemblances serves 'the purposes of science'.

Both scientists and non-scientists have come to understand and explain themselves and their world through comparative thinking, often with the use of metaphors. For example, Stephen Hawking, in "A Brief History of Time", used the metaphor of a ping-pong ball bouncing on a table to explain the concept of relativity. Similarly, many other scientists and philosophers have used metaphors in which complex topics from areas as diverse as quantum mechanics, genetics and chemical interactions are better explained using comparisons to more mundane topics that are more likely to have been experienced by the audience, and will therefore feel more "real" to them (Hudson, 2005). In other words, metaphors are greatly helpful to explain a complex phenomenon in a relatively simple way that is understandable to the audience.

Metaphors are not only used to explain scientific theories; additionally, there are instances in which scientific metaphors have been used in social sciences or management and organizational studies. For example, *Images of Organization*, a popular work by Gareth Morgan (1986) is a reminder of how metaphors can be used in a powerful way to elaborate organizational issues and theories. Organizational scientists have also used metaphors to explain the types of organizations and describe various processes that constitute organizational activities. Morgan (1986) compared organizations with machines, brains, cultures, political systems, psychic prisons, flux and transformation, and instruments of domination. Others note that organizations may be perceived as tribes, goal-seeking organisms, homeostatic systems, and elephants (Czarniawska-Joerges, 1992).

Despite the power of scientific metaphors, their use in explaining management problems has been limited. It is only recently that metaphors borrowed from basic scientific theories have been used to describe or illustrate management phenomena. One such example is Dooley *et. al.*'s (1995) elaboration of the connections between the Newtonian paradigm and scientific management; in particular the elaboration on connections between chaos, learning organizations and total quality management. Overman (1996) has detailed performance appraisal and budgeting issues using the metaphors of chaos and quantum theory, and argues that sciences such as physics, biology, and psychology spur us to rethink and reformulate a new "science of administration" for the twenty-first century. It should be noted that describing a management phenomenon through categorization or metaphors does not necessarily constitute the formulation of a novel theory; rather, it is a powerful tool of description (Schmenner and Swink, 1998) with which the audience can relate and easily remember.

While use of metaphors can be helpful to explain complex ideas, and a new metaphor can extend the horizons of understanding of a theoretical concept, Hamilton (2000) warns that a slavish and blind adherence to only one perspective can result in an erroneous understanding of the concept, especially if theorists do not pay attention to pertinent aspects of the metaphor. Therefore, one must be meticulous while offering a scientific metaphor in any explanation. As such, in order to discuss the use of such metaphors in the following examples in this paper, brief explanations of the concepts are necessary.

Background: General Relativity and Quantum Physics

In the *Principia*, Newton suggested that the laws of motion follow the rules of 1) inertia, 2) acceleration, and 3) action and reaction. With these three laws, Newton was able to explain the motion of objects. At the time, these were considered to be infallible foundations of physics until another iconic physicist, Albert Einstein, rewrote the laws of gravitational physics. Einstein determined that Newton's laws of motions merely projected a relativistic reality, even though Newtonian physics still provided an accurate approximation in most circumstances – with the exception of extreme speed and gravity. Instead, space and time are not independent or absolute.

The emblematic works of Einstein were undoubtedly that of General Relativity and Quantum Physics. The Theory of General Relativity connected the law of gravitation and its relations to the other forces of nature. It suggests that a planet deforms the time-space continuum, which is the background fabric of the universe (Rooney, 2006). Quantum mechanics suggests that there is an unavoidable element of unpredictability or randomness (Greene, 2004), such that even the position of a particle cannot be definite - it can only be given as a probability. Einstein was convinced, however, that "God does not play dice", and attempted to merge the theories of General Relativity and Quantum Physics into a Unified Theory (Rooney, 2006). Purportedly, combining quantum mechanics with general relativity would confirm and validate the hypothesis of space and time as a finite, four-dimensional space without singularities and boundaries (Hawking, 2005).

Although scientists are divided on whether The Super-Unification Theory is possible, General Relativity and Quantum Physics have been useful to explain other physical phenomena like the Big Bang, cosmic inflation and black holes. The Big Bang was a result of the gigantic explosion at Point Zero whereby an infinite amount of energy was concentrated in an infinitely tiny space. The out-burst of energy and matter was coined as the "cosmic inflation". These matters lose energy and heat as the universe they create further expands. A black hole occurs when gravitational force overwhelms the energy received from the star's own combustion and the gravitational force pulls the star into itself.

Yet, the idea of a unified theory stems further back into history; Plato thought that everything in this universe is of an intelligent design, as he was an avid patron of geometry and believed everything follows a pattern. This physical phenomenon finds similarities in businesses and management; just as the universe is thought to have formed and evolved, a firm establishes itself, then internationalizes or diversifies (when it becomes more successful or when in need to search for new markets to sustain its growth), and then finally relocate, exit or collapse in the market (mostly when the net costs outweighs net benefits). Likewise, there is depletion of resources or access to resources as firms internationalize into farther markets.

The Standard Model: A Comparison between Physics and Organisational Design

The Physics (Greek: Φυσική ἀκρόασις, *Phusike akroasis*) by Aristotle postulates that everything consists of matter and form, and seeks to explain any change. The universe is governed throughout by the same physical laws and constants. The Theories of General Relativity and Quantum Physics led scientists to emerge with the Standard Model through attempts to explain The Theory of Everything; the Standard Model suggests that all matter is made up elementary particles of leptons and quarks, and that these interact via three fundamental interactions: the electroweak interaction of electromagnetism and the weak nuclear force, the quantum chromodynamic interaction of strong nuclear forces, and general relativity's description of gravity.

The organizational design of an organization bears strong resemblance to the Standard Model. As much as matter is held together by the three forces described above, an organisation can also be described as being held together by its structure, systems, people, and values (see Table 1). The Standard Model's interactions have different mediators, relative strengths, long-distance behavior and range, not too dissimilar to the organizational model's interaction of structure, systems, people and values, which exhibit different levels of influences, long distance impact behavior and reach of influences.

Table 1: Conceptual model of fundamental interactions

Interaction	Current theory	Mediators	Relative strength	Long-distance behavior	Range
Strong	Quantum chromodynamics	Gluons	Extremely strong	Negligible	Extremely short
Electromagnetic	Quantum electrodynamics	Photons	Extremely strong	Significant	Infinite

Weak	Electroweak theory	W and Z bosons	Extremely strong	Negligible	Extremely short
Gravitation	General relativity	Gravitons	Weak	Significant	Infinite

Chandler (1962) defined *strategy* as the determination of long term goals and objectives, and the adoption of courses of action and the allocation of resources necessary for attaining these goals; while *structure* is the design of the organization through which the enterprise is administered with the lines of authority and communication between the different administrative offices and the officers, information and data that flow through these lines of communication and authority. Strategy and organizational design are inextricably intertwined (Porter, 1980; Hamel and Prahalad, 1994). Strategy and organizational structure are strongly related because an "optimal strategy" maximizes the organization's payoff, and the organization structure implementing that optimal strategy minimizes the cost of information processing (Li, 1995). In the same way that scientists require knowledge of Particle Physics, managers must have the ability to discern themselves with the appropriate and complementing organizational design and strategies.

Newtonian Paradigm and Management

Dooley et al. (1995) argues that the Newtonian paradigm used reductionism to form mathematical models of reality - reductionism suggests that systems are composed of independent elements, referred to as the basic building blocks. Consequently, to understand the system, one needs to completely break it down to its smallest elements and describing how these elements interact (Ackoff, 1987). Newtonian reductionism has also helped to explain other systems dealing with laws, equilibrium, or natural order - including moral, social, and political order. Prigogine and Stengers (1984) also argued that Newtonian paradigm has become a basic recipe for how new knowledge was obtained.

However, with the advent of the quantum, complexity, and relativity theories, scientific perspectives have transformed, along with the concepts of Newtonian paradigm used in management science. Dooley *et al.* (1995) drew parallels across the total quality management and chaos, and Newtonian paradigm, and argued that the tools of Newtonian paradigm are powerful and will continue to be effective for improving the quality of work-level processes. These examples show that many problem-solving tools and the spread of normative practices are indicative of the Newtonian paradigm; indicating that the Newtonian paradigm possesses powerful ability to explain management problems and offer viable solutions to these problems. Yet, these theories and understandings will further evolve with development, akin to their physical counterparts.

Chaos Theory and Management

While the concepts of chaos and self-organization have evolved from the physical sciences, the notion of complex adaptive systems has its roots in the biological sciences (Dooley et al., 1995). Gleick (1987) discovered deep and complex patterns in seemingly random or "chaotic" systems. This concept of chaos has been successfully used as a metaphor in several works on management. For example, "chaord" is a concept that is derived from both chaos and order. "Chaord" refers to "any autocatalytic, self-regulating, adaptive, nonlinear, complex organism, organization, or system, whether physical, biological or social, the behavior of which harmoniously exhibits characteristics of both order and chaos" (Chaordic Commons, 2004). The term 'chaordic' then refers to anything that is simultaneously orderly and chaotic, existing in the phase between order and chaos (Chaordic Commons, 2004).

Based on Wilber (1996), Fitzgerald (1996) articulates five core characteristics of chaordic systems. These are illustrated as follows:

Consciousness (thinking, as opposed to doing, is the prime engine of a chaordic system);

Connectivity (the chaordic system is one unbroken and unbreakable unity);

Indeterminacy (the chaordic system is so dynamically complex and highly sensitive to initial conditions that any link between cause and effect is necessarily obscured, rendering its future indeterminate);

Dissipation (the chaordic system is a dissipative structure, perpetually cycling through a process of 'falling apart' and 'back together again' in a novel new form ungoverned by the past); and

Emergence (the inexorable thrust of the chaordic system is toward infinitely ascending levels of coherence and complexity).

These five properties illustrate that human initiative is central in chaotic system thinking (Eijnatten *et al.*, 2007) - therefore, processes such as dialogue, multilogue, and emergent leadership are critically important mechanisms.

Given the complexity of today's organizations (Boal and Schultz, 2007), which are intricately intertwined with individual and social demands, constraints, and choices (Stewart, 1982), leadership in organizations is even more complex and adaptive (Marion and Uhl-Bien, 2001). Under such systems, its primary task is to establish a dynamic system where bottom-up structuration emerges and moves the system (and its components) to a more desirable level of fitness and order (Osborn and Hunt, 2007). Such a leadership capacity required to reach toward the desired order is more intricate and complex, and is most likely shared among managerial leadership role holders instead of being concentrated in a single individual, especially in complex adaptive systems. In executive level leadership positions, leaders face more external pressures and less internal constraints while they develop, focus, and enable an organization's structural, human, and social capital and capabilities to meet real-time opportunities and threats (Boal, 2004). They engage in sense-making of environmental turbulence and ambiguity, and sense-giving to their followers. They regularly operate on the edge of chaos and perform what can be termed as "chaordic leadership".

This view of management through the lens of complexity and chaos is increasingly emerging in project management studies as well. Thomas and Mengel (2008) argue that projects and project environments are recognized as being influenced by complexity, chaos, and uncertainty, necessitating improved project management education and development of project managers. Project challenges seem to be increasing (Toor and Ofori, 2008) and projects are being managed on the edge of chaos. The diverse range of challenges faced by organizations and projects requires leaders to respond to each situation on its individual merits (Raiden and Dainty, 2006). It therefore calls for leadership that fosters continuous change, creative and critical reflection, self-organized networking, virtual and cross-cultural communication, coping with uncertainty and various frames of reference, increasing self-knowledge and the ability to build and contribute to high-performance teams (Thomas and Mengel, 2008). One such project management technique is aptly named "Agile Project Management", to reflect the necessary traits of such leadership in a constantly dynamic situation – another example of metaphors that accurately represent reality, and serve to form the necessary mindsets. (Canthy, 2015)

In other works, Dooley *et al.* (1995) draw more parallels across total quality management and chaos. They present the notion that control is equated with the Newtonian paradigm whereas organizational learning - which involves creativity and innovation - is equated with the complexity paradigm. Dooley *et al.* (1995) argue that, in order to achieve total quality management in an organization, "one must manage systems to be in control and out of control (i.e. learning by experimentation) at the same time" (p. 17). They also note that elements of total quality management – such as organizational, planning, and strategic elements – are indicative of a complexity paradigm. Similarly, Overman (1996) argues that use of the chaos theory parallelism enhances our understanding of administrative behaviors and fosters the idea that real change and innovation can be achieved through chaos instead of preventing it through control. Overman (1996) also observes that management problems such as performance appraisal and budgeting can be successfully addressed through the concept of chaos.

These examples show that there are fairly strong links across the concepts of chaos (e.g. self-organization, dissipative structures, and dynamic complexity) and management. However, given that the work on chaordic organizations and complex adaptive systems is still emerging, there is a lot more yet to be known in this area. Studies using the chaordic model have been found in use in hotel management (Pappas *et al.*, 2019) and comparisons between different types of social ventures (Miller-Stevens *et al.*, 2018) – these studies imply that the model is indeed a valid parallelism and provides an explanation.

Quantum Theory and Management

According to Shelton and Darling (2001), the current era of technological development can be called "The Quantum Age". While quantum mechanics has completely transformed modern technology, it also has a lot to offer to management sciences. Overman (1996) argues that the applications of new sciences – such as quantum theory – are significant and rapidly growing in the area of management and administration. He applied the metaphors and methods of quantum theory to familiar management issues such as performance appraisal and budgeting. Overman also presents the notion of the "quantum organization" and observes that "the quantum organization will require even greater participation and collusion among actors with common purpose, and even greater reliance on nontangible and nonindividual patterns of compensation and identity" (p. 87).

Shelton and Darling (2001) argue that human beings are also quantum beings and that the metaphor of quantum theory can be successfully used to explain managerial behaviors. Using “quantum theory”, Shelton and Darling (2001) proposed the quantum skills model for leadership behaviors, echoing the interest in relating scientific theories with management concepts. The quantum skills model incorporates seven skills:

Quantum *seeing* – the ability to see intentionally;

Quantum *thinking* – the ability to think paradoxically;

Quantum *feeling* – the ability to feel vitally alive;

Quantum *knowing* – the ability to know intuitively;

Quantum *acting* – the ability to act responsibly;

Quantum *trusting* – the ability to trust life’s process; and

Quantum *being* – the ability to be in relationship.

Where quantum seeing, thinking, and feeling are psychological in nature, quantum knowing, acting, and trusting are grounded in what is termed as “spiritual principles”. Quantum being, as Shelton and Darling (2001) put it, is intricately connected to each of the other quantum skills. Its central position in the model reflects this connection. Proponents of quantum skills model believe that it is key to enhancing leadership effectiveness.

Quantum Mechanics and Ideation

Henry P. Stapp, a popular physicist, offers an interesting relevance of quantum mechanics with the 21st century business world. While speaking at the Neuro Leadership Summit in Aslo, Italy, Stapp (2007) argued that quantum mechanics describes the dynamics of ideas. Since 21st century business management is primarily more driven by rapidly changing ideas than by slowly changing material factors. Stapp furthered his argument by making a reference to structures of social organizations, businesses, and industries that were a reflection of the reigning scientific conceptions of their times; in particular, Newtonian mechanics, which was based upon the idea of a point particle that was supposed to have a predefined location, velocity, and trajectory in space-time. Conversely, the modern theory of mechanics showed that the particle can be associated with the notion of continuous smear of possible locations and possible velocities.

This perspective of quantum mechanics suggests that in order to understand what was actually going on, one should interpret the continuous smear of possibilities as a potentiality for an event to occur. Stapp suggested that an event is psycho-physical in nature and has both an idea-like as well as physical aspect. In this respect, ideas are both basic realities and causal drivers. In the slow-moving age of machines Newtonian mechanics played an influential role. But in today’s dynamic world and rapidly changing circumstances, continuous development and flow of ideas and their efficient deployment in business design and strategy is central. This transformation underscores the need for dynamic flow of ideas making humans both the creators and implementers of concepts. Stapp thereby used the metaphors of quantum mechanics and its laws to explain how complex problems of our world can be solved.

Overman (1996) also suggests that adoption of the metaphors and methods of quantum theory possess a great potential for management sciences in the future. Above examples of use of quantum theory to explain management problems and managerial behaviors show that quantum theory can be used as a metaphor in numerous other pertinent areas of management.

Principles of Physics for Management

It is crucial that the other laws of physics are also recognized because the laws in science and physics are very much interconnected and inter-related. Inasmuch that the Gravity Model has been used to observe phenomena in social sciences like bilateral trade, diplomatic ties, migration and interaction; and the extension of the Chaos Theory to comprehend biological evolution, engineering and organizational management, the paper recommends the application of other established laws of physics to the management of the internationalizing firm. Table 2 lists these laws of physics – which Baker (2008) lists in her recent book on “50 Physics Ideas You Really Need to Know” – and their respective interpretations with respect to management, showing that the laws of physics can be successfully imported as metaphors to explain various

management and administrative phenomena ranging from environmental scanning and business competitiveness to internationalization of organizations and management of chaos in foreign cities.

Table 2: Key laws of physics (as metaphors) and their application in business and management

Laws of physics	Business / Management Interpretation
Environmental Scanning	
Maxwell's equations described how both electric and magnetic fields are manifestations of the electromagnetic wave.	The business climate is constituted by many inter-related factors and is manifested in many ways.
Particle physicists think space is a cauldron of subatomic particles being continually created and destroyed; and mass, inertia, forces and motion may all be manifestations of a bubbling quantum soup.	Business environments are complex. Forces of influences are constantly demolished and created.
Snell's law on refractive indexes. Fraunhofer diffraction describes the blurring for light rays reaching us from a distant landscape.	Wearing different lens or taking up a different method of due diligence may give the management different interpretation of the environment. Distance may dilute understanding.
The Doppler effect has been used to measure speeding cars to motion of the stars and galaxies.	Firms can use business due diligence instruments to measure business viability and feasibility of business venture. Business intelligence gives leverage to the firm.
Standard model suggests that protons, neutrons and electrons are just the tip of the particle iceberg. There are still smaller quarks, neutrinos, photons etc.	Data gives information; information gives knowledge; and knowledge gives wisdom.
Internationalization of MNCs	
Kepler described how planets follow elliptical orbits and how distant planets orbit slower around the sun.	Foreign subsidiaries of an internationalizing organization follow the organizational make-up or traits of the local head-quarters. Influence from the head-quarters on the foreign subsidiary depends on the intervening distance between them. Distance can be expressed culturally, administratively, geographically, or economically (CAGE of distance).
Hooke's law of elasticity suggests that a spring extends proportionally to the pulling force exerted on it.	The performance of an overseas office may be affected by the level of control exerted, and empowerment and autonomy allowed by the head-quarters.
General relativity – light could be bent by gravitational field.	Everything is relative to one another. The size of the firm or the size of investment, and the intervening distance between the home and host markets affects the conditions for internationalizing firms to venture into overseas markets.
Chaordic Management and Organization	
The Second law of thermodynamics says that heat travels from hot to cold bodies or from high entropy to low entropy, from chaos and mess to organization.	A firm seeks to organize its resources by means of company policies, organizational structure, operating systems, shared values etc.
Dark matter takes up ninety percent of the universe. Yet, it has its own mass and gravitational pull.	Unknown factors lurk around and can throw unwanted surprises to the firm.
The Chaos theory noticed that when 0.123456 was replaced by 0.123 in a weather forecast simulation, the predictions can be completely different. This led to the saying that the fluttering of a butterfly in Brazil can cause a torpedo in Texas, widely known as the "Butterfly Effect".	A small detail gone awry can spiral and balloon to become a crisis. Elaborate risk evaluation may be crucial for investments or projects.

Newton's theory of colour and his prism broke up white light into red, orange, yellow, green, blue, indigo and violet.	The management must have the astuteness to break up problems and decisions into individual components so that varied stakeholders' perceptions and interests are taken care of.
Heisenberg's uncertainty principle states that the speed or position of a particle cannot be exactly precise – indeterminism.	The world is ever-changing and dynamic. The firm must not be static either. It has to be progressive to avoid being phased out by strong competition and demanding clients. Flexible and contingency strategies are necessary to survive.
The Copenhagen interpretation rules that the observer's interventions fix the outcomes of quantum experiments. The Schrödinger's cat suggests until the outcome was actually observed, the cat should be in a state of limbo.	Managers must be open-minded. This is the essence of "Blue-ocean" thinking and strategy.
Nuclear fission and fusion.	Sometimes, problems need to be broken down into their elements; sometimes, issues can be lumped together and given an integrated solution for dynamic synergy
According to Mach's principle, objects far away affect how things move and spin nearby. This idea of relative versus absolute motion inspired Einstein to derive his theories on general and special relativity.	Everything is related to everything else, but nearby objects are more related than distant ones (First law of geography). Therefore, managers will have to consider causes of things unfolding around them and implications of their decisions.

Discussion and Conclusion

Use of metaphors to explain ideas and to convey messages is prolific in the modern age. Business, advertising, and technology communications employ metaphors and analogies to elaborate complex ideas and convey simpler messages to the public. In this paper, the authors have attempted to make a case that management science can greatly benefit from the use of scientific metaphors and analogies.

Business authors have been writing on relationships between warfare and business strategies when they attempt to transpose the wisdom of Sun-Tzu, Miyamoto Musashi, and von Clausewitz to train shrewd, judicious and incisive organizational managers. This paper advocates that the laws fundamental physical sciences can also be used to impart clear understanding and knowledge of the complexities of their business endeavors (Wee, 2017).

The rate of spatial expansion is accelerating, much like the dynamics of the world. Firms have to deal with a swelling multitude of environmental factors, especially with escalating globalization and proliferation of information and infrastructural technology. An appreciation of the phenomena of science (e.g. physics) can help managers to cope with dynamics of the new-age business world, and enable them to derive suitable strategies and organizational designs to combat the wide hosts of issues that they are currently facing and will continue to face in the future. Therefore, it is necessary that more concerted efforts are made by researchers to explain the processes and complexities of management through metaphorical use of scientific laws and theories.

There are striking similarities in the evolution of the firm – from establishment, to market-entry of internationalization or diversification, then shrinkage and exit – with the laws of physics. Could it be that there is indeed a 'Grand Intelligent Design' that unravels a prevailing law that formulates everything, including the best model for business strategies and organizational design? Perhaps the human race will continue to endeavor to discover that 'Grand and Intelligent Design' that governs the universe. However, with the existing knowledge of science, we can learn a great deal and explain many complex aspects of business through metaphors and parallelisms.

A large proportion of managers in technology-driven firms come from a technical/engineering background. These professionals have a robust knowledge base of basic science, are well aware of basic science principles, are comfortable with scientific explanations of complex phenomena, and as a result can easily relate to the scientific metaphors to help them understand various principles of modern management. Therefore, while training engineers or professionals with technical background for such roles, use of scientific metaphors can be greatly helpful. These metaphors are not only easy

to understand for knowledge workers in technology-driven organizations, they are better retained in their memory and hence put to use in everyday practical life of professionals.

Use of scientific metaphors should also find its place in university courses at both undergraduate and postgraduate level. Scientific metaphors can deepen students' understanding, especially those who are pursuing multidisciplinary courses or those who wish to pursue management careers but have a science background.

Discourse between students across science and management backgrounds can also help unravel various complex management phenomena. Such metaphors can also help generate the interest in management studies among students with science backgrounds – especially since many of these students are likely to play a managerial role as some point in their careers.

Engineering students in particular have strong science fundamentals, having been exposed to various basic science theories since their secondary education as a requirement. Therefore, it is likely that engineering students will find management courses more interesting, appealing, and understandable if they are taught and reinforced through scientific metaphors.

This approach can be particularly useful for management-related courses under programs such as Construction Management, Engineering Management, Project Management, and Facilities Management.

Christensen *et al.* (2008) reminds us that while Education can be measured in scientific terms, some of it still remains an art, that relies on the instructor's proficiency and sound judgement to "understand and relate to students". Yet, it is also recognized that a fair amount of education research is halted at "statements of correlation but not causality".

Christensen *et al.* observes a similar trend, disturbingly so, in business research. As such, we believe that more work is needed to include additional scientific metaphors that can explain various management phenomena. Heavy collaboration is required among the academics who are interested in this line of inquiry and industry practitioners.

Given the potential of use of scientific metaphors in academic education and professional training, such collaboration can reap many benefits – some of which were discussed earlier – in the future. To quote Christensen in closing, "education research must move toward understanding what works from the perspective of individual students in different circumstances as opposed to what works best on average for groups of students or groups of schools".

References

- [1] Ackoff, R.L. (1988) The Second Industrial Revolution. (speech transcript).
- [2] Baker, J. (2008) 50 Physics Ideas You Should Really Know, Quercus Publishing, Plc, ISBN: 1847240070.
- [3] Boal, K.B. (2004) Strategic leadership. In: G.R. Goethals, G.J. Sorenson and J.M. Burns (Eds), Encyclopedia of Leadership (1497-1 504). Thousand Oaks, CA: Sage.
- [4] Boal, K.B. and Schultz, P.L. (2007) "Storytelling, time and evolution: The role of strategic leadership in complex adaptive systems", The Leadership Quarterly. 18(4), 411-428.
- [5] Canthy, D. (2015) Agile for Project Managers. CRC Press.
- [6] Chandler, A. D. (1962) Strategy and Structure: Chapters in the history of American industrial enterprise. Cambridge, MA: MIT Press.
- [7] Christensen, Clayton M. (2008) Disrupting Class: how disruptive innovation will change the way the world learns. New York: Mc-Graw Hill.
- [8] Czarniawska-Joerges, B. (1992) Exploring Complex Organizations: A Cultural Perspective. Newbury Park: Sage Publications.
- [9] Dooley, K., Johnson, T., and Bush, D. (1995) "TQM, Chaos, and Complexity", Human Systems Management, 14(4), 1-16.
- [10] Eijnatten, F.M. van, Putnik, G.D., Sluga, A. (2007) Chaordic system thinking for novelty in contemporary manufacturing. Manufacturing Systems: Proceedings of the CIRP Seminars, 56(1), 447-450.
- [11] Fitzgerald, L.A. (1996) Chaordic System Properties, Classical Assumptions and the Chaos Principle, The Consultancy, Denver, CO.
- [12] Gleick, J. (1987) Chaos: Making of a New Science. New York: Viking.
- [13] Greene, B. (2004) The Fabric of the Cosmos: Space, Time and the Texture of Reality. A.A. Knopf, ISBN: 0375412883.
- [14] Hamel, G. and Prahalad, C.K. (1994) Competing for the Future. Harvard Business School Press.
- [15] Hawking, S.W. (2005) A Briefer History of Time. Bantam Books.
- [16] Hudson, N. (2005) The Metaphor and Human Learning. The Orderny American, Guest Essays. Available at: <http://www.ornery.org/essays/2005-08-17-1.html>
- [17] Kaplan, A. (1964) The Conduct of Inquiry, Methodology for Behavioral Science. Chandler Publishing, San Francisco.
- [18] Miller-Stevens, K., Taylor, J. A., Morris, J. C., & Lanivich, S. E. (2018). Assessing Value Differences Between Leaders of Two Social Venture Types: Benefit Corporations and Nonprofit Organizations. VOLUNTAS:

- International Journal of Voluntary and Nonprofit Organizations, 29(5), 938-950. doi:10.1007/s11266-017-9947-9
- [19] Morgan, G. (1986) *Images of Organization*. Thousand Oaks, California: Sage Publications.
- [20] Marion, R., and Uhl-Bien, M. (2001) "Leadership in complex organizations", *The Leadership Quarterly*, 12, 389-418.
- [21] Osborn, R.N., and Hunt, J.G. (2007) "Leadership and the choice of order: Complexity and hierarchical perspectives near the edge of chaos", *The Leadership Quarterly*, 18(4), 319-340.
- [22] Overman, E.S. (1996) "The New Science of Management: Chaos and Quantum Theory and Method", *Journal of Public Administration Research and Theory*, 6(1), 75-89.
- [23] Pappas, N. (2018). Hotel decision-making during multiple crises: A chaordic perspective. *Tourism Management*, 68, 450-464. doi:10.1016/j.tourman.2018.04.009
- [24] Peters, T. and Waterman, R. (1982) *In Search of Excellence*. Harper & Row.
- [25] Porter, M.E. (1980). *Competitive Strategy: Techniques for Analyzing Industries and Competitors*. Free Press.
- [26] Prigogine, I., and Stengers, I. (1984) *Order Out of Chaos*. New York: Bantam Books.
- [27] Raiden, A.B. and Dainty, A.R.J. (2006) "Human resource development (HRD) in construction organisations: an example of a 'chaordic' learning organization?", *Learning Organization*, 13(1), 63-79.
- [28] Rooney, A. (2006) *Einstein in his own words*. Gramercy, ISBN: 0517228475.
- [29] Sachs, J., and Aristotle, A. (1995) *Aristotle's physics: A guided study*. New Brunswick, N.J.: Rutgers University Press.
- [30] Shelton, C. D. and Darling, J. R. (2001) "The Quantum Skills Model in Management: A New Paradigm to Enhance Effective Leadership", *Leadership and Organization Development Journal*, 22 (6) 264-273.
- [31] Stapp, H.P. (2007) *Quantum Mechanics and its Relevance to 21st Century Business Management*. Neuroleadership Summit, Asolo, Italy, May 14-16, 2007. Available at: sts.lbl.gov/~stapp/Asolo2.doc.
- [32] Stewart, R. (1982) "A model for understanding managerial jobs and behaviour", *Academy of Management Review*, 7, 7-13.
- [33] Thomas, J. and Mengel, T. (2008) "Preparing project managers to deal with complexity—advanced project management education", *International Journal of Project Management*. 26(3), 304-315.
- [34] Toor, S. R., and Ofori, G. (2008) "Leadership in the construction industry: Agenda for authentic leadership", *International Journal of Project Management*, 26(6), 620-630.
- [35] Wee, C.H. (2017). *Sun Zi Bing Fa: Strategic Applications to Business and Marketing Practices*. Pearson Education.
- [36] Wilber, K. (1996) *A brief history of everything*, Newleaf, Dublin, Ireland.
- [37] Wilson, E.O. (1998) *Consilience: The Unity of Knowledge*. A.A. Knopf, New York.

Sexual Agency, Safe Sex, and Consent Negotiations in Erotic Romance Novels

Laura M. Moore

Hood College

Abstract

Sexual script theory asserts sexual values and norms are learned through culturally available messaging. A primary site for that messaging is through erotic romance novels written by, and generally for, women. Despite its mass popularity and potential influence on sexual scripts, the social sciences have rarely examined this genre for key themes and messaging. Utilizing content analysis methods, this exploratory research examines erotic contemporary romance novels for themes of sexual agency, safe sex practices and consent. Preliminary analysis of 68 scenes from across 20 novels reveal only half model clear safe-sex practices, but successful consent negotiations are present in all scenes with verbal consent scripts found in approximately 90 percent of the exchanges. These findings are compared to earlier studies and followed brief discussion of future research opportunities.

Keywords: sexual agency, safe sex, consent negotiations, erotic romance novels

Introduction

The romance novel genre, comprised of mostly female authors and female readers, has historically been seen in a dismissive light despite its popularity with the general masses and its billion-dollar market in the U.S. book industry (ranking second only to thrillers). Romance novels have a central love story and an emotionally satisfying ending (sometimes referred to as a HEA – happily ever after). One of the most popular novel subgenres is erotic romance defined as a story in which the sexual interaction is an inherent part of the story, character growth, and relationship development (Romance Writers of American 2019). A 2017 survey of romance book buyers found the most frequent readers to be females age 34 or below and erotic romance to be one of the most popular subgenres (Romance Writers of American 2019). Given the popularity of the erotic romance novel (especially among young female readers), it is surprising to find very little social science research on the genre and its possible relationship to contemporary sexual scripts. To address this gap in the literature, the author examined twenty recent top selling erotic contemporary romance novels for key themes and messaging with attention paid to sexual agency as male and female characters negotiate consent and safe sex practices. The preliminary findings of the content analysis are summarized and compared to prior research.

Literature Review

Social scientists argue people are expected to conform to cultural sexual scripts which help them frame past, current, and future sexual exchanges (Gagnon & Simon 1973). The Western sexual script has been identified as valuing spontaneity as well as men's assertiveness and women's passivity during sexual exchanges. The sum of these values are thought to lead to high risk outcomes such as unintended pregnancies, increased exposure to sexually transmitted diseases, and unwanted exchanges (assault and rape) (see Diekman et al. 2000; Menard & Cabrera 2011). While these sexual scripts are portrayed in numerous media venues, the focus of this analysis is erotic romance novels.

Few current systematic content analyses of modern romance novels exist. A thorough review of the literature yielded only four such peer-reviewed articles published since 2000 with none focusing on the *erotic* contemporary romance novel (Cabrera & Menard 2012; Clawson 2005; Diekman, McDonald, & Gardner 2000; Menard & Cabrera 2011). In strongest alignment with the current study, Diekman, et al. (2000) documented condom use in 78 contemporary romance novels randomly selected from the shelves of bookstores in Columbus, Ohio with publication dates ranging from 1981 to 1996. They found less than 10% of the novels portrayed characters discussing condom use or sexually transmitted disease (STD) prevention with all of these discussions being initiated by male characters. In half of the discussions, the female character rejected condom use. Diekman et al. (2000: 181) concluded "that the romance script actively dismisses concern with STD prevention." In their analysis of 20 award winning contemporary romance novels dating, Menard and Cabrera (2011) found

contraception, mainly male condoms, was used in approximately 18.5% of sex scenes in books dating from 1989 to 1999 and 57.9% of scenes in books from 2000 to 2009 (an average of 34.8% across all years). They, too, found condoms to be provided primarily by the male characters (80% of the time), contraception was rarely discussed (in only 8.7% of the scenes), and in all cases contraception discussions were initiated by the males. The authors also documented the novels they analyzed generally adhered to the Western sexual script with some evidence of increased female sexual agency with a greater percentage of scenes coded as initiated by a female character over time.

One of the major shifts in romance novel writing from the 1970s to today has been the increased focus on writing explicitly present and character-driven consent (Faircloth 2018). The “no means yes” and rape tropes found in romance novels of four decades ago has been thoroughly challenged by feminists, romance authors, and the general public. Handbooks for writing romances have provided clear moral standards for the genre around coerced sex:

Forced sex or any kind of abuse is out. The bodice-ripper type of romance was mercifully short-lived and is not popular with modern readers. If the hero and the heroine make love, it should be because they both want to (Parv 1999 cited in de Geest and Goris 2010).

Heroes...never rape or explicitly threaten to do so. And they never hit or physically hurt her [the heroine]. Some of the male attitudes common in an earlier generation which were depicted or somewhat exaggerated in romances of their time aren't acceptable now (Clair and Donald 1999 cited in de Geest and Goris 2010).

No studies were found that directly examine verbal and nonverbal consent exchanges in romance novels of any type, making this study's analysis unique.

Purpose

The goals of this preliminary research were to document the extent to which male and female characters in erotic contemporary romance novels negotiate consent and safe sex practices and to compare these findings to past content analyses of the romance novel genre. It was expected the preliminary results would reveal a continued increased trend towards safe-sex practices and female initiation of those practices. While there were no prior studies examining purposeful consent, it was expected that consent would be requested and given (either verbally, non-verbally, or with interior thoughts) in the overwhelming majority of sexual depictions coded, especially given shifting sexual mores and the new directives for romance writers warning them against writing non-consensual scenes. Menard & Cabrera's (2011) documentation that romance novels written in the first decade of the 21st century still adhered to Western sexual scripts in which females are considered the “gatekeepers” of male sexual advances even as female characters are increasingly depicted as sexual initiators, led the author not to make any predictions regarding gender differences in consent negotiations.

Methods

Erotic contemporary romance novels were selected based on the following criteria. *Erotic* novels were selected as it was expected their explicit sexual content would yield more detailed safe sex and consent negotiations. Only *contemporary* romance novels were included as these would be more likely to demonstrate sexual scripts relevant to current socio-historic contexts. There was also a goal to include recent popular titles and authors to make the analysis relevant to the most current readership. Books were selected based on their inclusion as Romance Writers of America RITA award winners, Amazon best sellers, and/or Goodreads favorite erotic novels. There was also an attempt not to duplicate authors. The final book list was comprised of 20 titles from published between 2010 and 2019 (see Table 1).

Each book was coded only up to its first penetrative sexual exchange with the unit of analysis being any sexual exchange scene depicted where the characters were engaged in a behavior that was likely to yield sexual excitement or orgasm. A total of 68 scenes were coded with the number of coded scenes in each book ranging from one to six (see Table 1).

Except for four recorded scenes (one book) involving two male characters and four scenes (one book) involving one female character with multiple male sexual partners, all coded scenes involved one male and one female. Of the 68 scenes coded, 35.3% involved intercourse/penetrative sex, 26% oral sex, 11.8% frottage, 10.3% verbal foreplay, 8.8% digital stimulation of the female, 4.4% masturbation and 4.4% heavy kissing. Sixteen of the scenes (23.5%) were from novels with a bondage sadomasochism (BDSM) or “forced sex role play” theme. These novels tend to have negotiated “contracts” between characters outlining consensual acts and tests for STDs prior to sexual exchanges. An additional sixteen scenes (23.5%) were coded from “insta-love/lust” themed books identified by their tendency to be very short reads with characters falling

almost instantly in love and quickly engaging in unprotected sex with a goal to become pregnant. Insta-love/lust books and their authors dominated the Amazon Top 10 Best Sellers Erotic Romance list (for April 2019) but were not found as often to overlap with the GoodReads or RITA awards list. All coded scenes were kept in the analysis independent of the novels' overarching themes since the research goal is to capture the types of sexual script messaging found in popular erotic romance novels.

To examine safe-sex practices, scenes were coded for gender differences in risk-taking behaviors based on whether the characters had verified they were "clean" (having been recently tested for sexually transmitted diseases) and/or some form of barrier protection was used to prevent STD transmission. Scenes were also coded for gender differences in discussions about, and the supplier of, condoms or alternative contraception.

Consent was coded as both requested and given across different scenarios. Each scene was coded for whether a verbal consent was requested by which gender. Consent given was recorded as verbal by gender, nonverbal (behavioral responses) by gender, and interior thoughts by gender. Each coded scene may have had more than one type of consent given.

The coding is preliminary in nature given there has been only one coder, the author, and the coding has not yet been analyzed for intra-rater reliability. In addition, the small sample size (n=68) means category percentages should be interpreted with care.

Descriptive statistics are used to summarize the data.

Results

Safe Sex Negotiations

Table 2 shows the percent of scenes that were coded as having a risk of pregnancy and/or STD exposure based on the type of sexual exchange. Approximately 63% of the scenes had one or both characters at risk when intercourse occurred due to a lack of condom use or confirmed sexual health history. That risk level increased to 90% for males engaging in cunnilingus and 71.4% for females engaging in fellatio. Even practices that should be relatively safe, such as masturbation and digital stimulation, had added risk for males when fluid exchanges were considered. While half of the sexual exchanges occurring between characters had no to minimal risk associated with them, 23.5% showed a risk for both males and females, 19.1% for males only and 7.4% for females only. Table 3 shows the types of protections negotiated for or supplied by males and females. Half of the exchanges involving intercourse involved no form of male or female protection nor any discussion of protection. In 33.3% of the intercourse scenes a male supplied a condom with females supplying a condom or identifying as being on birth control (oral contraception) in only three such scenes. In two of the seven fellatio scenes (28.6%), a male supplied a condom but dental dams or their equivalent were not used in any of the scenarios in which a male performed oral sex on a female (cunnilingus). When compared to past studies, the preliminary data from this research seems to indicate no major increases in the incorporation of safe sex scripts over the last two decades for this romance genre and minor increases in descriptions of female agency being deployed to protect themselves during sex. (see Table 4). It should be noted the novel sampling framework and coding criteria are not precisely aligned across all three studies which may be influencing the interpretation. Still, the overall patterns when examining safe sex practices and negotiations described in erotic romance novels seem to show a stalled revolution in terms of challenging existing Western sexual scripts emphasizing sexual spontaneity over sexual health.

Consent Negotiations

The descriptive analysis indicates consent (both requested and given) in the erotic romance genre to be the new norm. None of the scenes analyzed involved rape, assault or any non-negotiated forced sex exchanges. As seen in Table 5, verbal consent was requested in approximately 90% of the scenes and granted in almost 80% of the scenarios. Often multiple types of consent were described by the book authors for each scene including behavioral (i.e. sounds, body movements) and interior thoughts. In addition, a third of the sexual exchanges were preceded by formal contracts or agreements regarding the types of sex acts that were acceptable to all participants and the identification of "safewords" that could be used to immediately stop all sexual activity. It is still the case that gender-traditional Western sexual scripts seem to prevail with male characters most often requesting, and female characters most often granting, consent. Similarly, a separate analysis showed that in almost 75% of the scenes the male character had substantially more sexual experience

than their female partners (in almost 30% of the scenes the female was a virgin). However, the rape tropes of the past seem to have been generally erased with both males and females characterized as engaging in sex acts on their own fruition.

Conclusion

This study contributes to the sparse content analysis research on embedded sexual scripts found in romance novels. This preliminary analysis revealed scripts addressing safe sex practices in this genre have not advanced substantially over the last decade and female characters are still portrayed as passive actors relative to negotiations for their own sexual health. However, the movement towards eliminating rape tropes in the genre has been successful and romance novelists are increasingly cited as some of the most skilled producers of explicit and sexy consent negotiation scripts in a cultural context where few such examples exist (Faircloth 2019). The positive shifts in consent scripts over time could serve as a model for similar shifts in safe sex scripts in this genre.

The current study (and future research) would benefit from a clearer sampling framework for novel selections. The author could find no information clearinghouse to identify best selling books and authors for the erotic/romance genre. As a result, it is difficult to compare the findings of this study to prior research. In addition, expanding the coding process to include additional novels, scenes, and coders would increase the reliability of the data. The analysis in the study does not extend beyond the summary level. Future research (with larger samples sizes) could examine gender differences in varying safe sex and consent scripts for significance and effect size. A mixed methods approach with qualitative elements added would help illuminate some of the more nuanced safe sex and consent negotiation scripts being crafted in this genre. The lack of research related to the romance novel genre leave multiple opportunities to examine not only its content for gender and sexuality themes, but also possible consequences of its reach and influence.

Many U.S. media and education outlets have failed to model updated cultural scripts that could improve the sexual health its population. While the romance genre continues to be relatively ignored by scholars, its outreach is expanding. It is important for social scientists focus on the genre's messaging and potential for initiating change in social attitudes and behaviors regarding sexuality and gender.

References

- [1] Cabrera, C. and A. Menard (2013) 'She exploded into a million pieces': A qualitative and quantitative analysis of orgasms in contemporary romance novels. *Sexuality & Culture* 17:193-212.
- [2] Clawson, L. (2005) Cowboys and schoolteachers: Gender in romance novels, secular and Christian. *Sociological Perspectives* 48:461-479.
- [3] de Geest, D. and A. Goris (2010) Constrained Writing, Creative Writing: The Case of Handbooks for Writing Romances. *Poetics Today* 31: 81-106.
- [4] Diekman, A., M. McDonald and W. Gardner (2000) Love means never having to be careful: The relationship between reading romance novels and safe sex behavior. *Psychology of Women Quarterly* 24:179-188.
- [5] Faircloth, K.. 2018. The romance novelist's guide to hot consent. *Jezebel*. Retrieved May 5, 2019 from <https://jezebel.com/the-romance-novelists-guide-to-hot-consent-1822991922>.
- [6] Gagnon, J. and W. Simon (1973) *Sexual conduct: The social sources of human sexuality*. Chicago, Il. Aldine Publishing Company.
- [7] Menard D. and C. Cabrera. 2011. "Whatever the approach, tab B still fits into slot A": Twenty years of sex scripts in romance novels. *Sexuality & Culture* 15:240-255.
- [8] Romance Writers of America (2019) *About the romance genre*. Retrieved May 5, 2019 from https://www.rwa.org/Online/Romance_Genre/About_Romance_Genre.aspx.

Table 1. Books included in study sample

Book Title	Author	Published
<i>Rain</i>	C.M. Steele	2019
<i>Bought for Protection</i>	Fiona Davenport	2019
<i>Copper</i>	Teagan Brooks	2019
<i>I Want You Back</i>	Lorelei James	2019
<i>His Captive Mountain Virgin</i>	Madison Faye	2018
<i>Wicked Dirty</i>	J. Kenner	2018
<i>By the Hour</i>	Roni Loren	2017
<i>Guarding His Obsession</i>	Alexa Riley	2016
<i>Off the Clock</i>	Roni Loren	2016
<i>For Real: A Spires Story</i>	Alexis Hall	2016
<i>The Saint</i>	Tiffany Reisz	2015
<i>Long Hard Ride</i>	Lorelei James	2014
<i>Claim Me</i>	J. Kenner	2014
<i>Beautiful Bastard</i>	Christina Lauren	2013
<i>Release Me</i>	J. Kenner	2013
<i>Rush</i>	Maya Banks	2013
<i>Bared to You</i>	Sylvia Day	2012
<i>Willing Victim</i>	Cara McKenna	2010
<i>Backstage Pass</i>	Olivia Cunning	2010
<i>Liberating Lacey</i>	Anne Calhoun	2009

The Risk of Long-Term Financing of Public Investments

Krzysztof Jarosiński

Associate Professor, PhD, Warsaw School of Economics, Department of Regional and Spatial Development, Unit of Management in Public Sector, Head of Unit, 41 Wisniowa St., 02-520 Warsaw, Poland

Benedykt Opalka

PhD, Warsaw School of Economics, Department of Regional and Spatial Development, Unit of Management in Public Sector, 41 Wisniowa St., 02-520 Warsaw, Poland

Abstract

The risk of financing of public investments is a phenomenon that accompanies development processes in a permanent manner. Investments in the public sector are generally characterized by relatively long implementation cycles and involve significant capital expenditure and the necessity of often parallel running a large number of investment projects. In the processes of this type of investment a specific risk category of financing of this type of investment is quite often taken into account, given that such projects are financed mainly from budgetary resources: the state budget and self-government budgets. Economic practice indicates an importance of the proper selection of the method of the financing of new investments and taking into account new funds from various sources. This situation is often the result of a shortage of budgetary resources from which public investments could be financed. There may be difficulties in financing investments resulting from the emergence of a risk of budgetary deficit and the public debt. This risk may have a negative impact on investment decisions and may adversely affect the future course of ongoing investment projects. The purpose of the paper is to undertake studies on the conditions of financing investments from the point of view of the possibility of budget deficit and public debt and the impact of changes in the financial situation on the overall level of risk of public investment. The text is an invitation to undertake a broader discussion on financing public investments in conditions of limited public financial resources.

Keywords: investment risk, budgetary economy, public finance, decision making.

Introduction

One of the most important directions of action of public authorities is to ensure conditions for long-term sustainable socio-economic development and, as a consequence, to improve the quality of life of inhabitants. This process should involve the preparation of efficient organizational structures in the public sector and the implementation of the established investment policy, aimed at creating the basic conditions for development. The investment policy should focus on identifying and implementing mainly infrastructural tasks, which in practice should include investments consisting in maintaining and reconstructing existing fixed assets, and should be directed towards the implementation of new investments in line with the needs of the economy and society in the future. Such necessity arises from the broadly understood needs of the developing market economy, which in turn leads to strong pressure to create good infrastructure development needs for the whole society.

The implementation of diversified investment projects related to the provision of broadly understood public services is an important direction for public sector entities and units. Such undertakings are therefore carried out at different levels of competence both at the level of local territorial self-government units, at the regional level and at the governmental level. These investments are therefore one of the most important factors of socio-economic development and significantly contribute to the direct improvement of the quality and scope of public services provided directly to citizens, as well as contribute to supporting economic processes occurring in the sphere of manufacturing enterprises. Investments in the public sector play a significant role within the public sector itself as well as within the private sector. Most often, such

investments involve the implementation of new technical or social infrastructure components, and they also involve the modernization of already existing infrastructure components.

First of all, investments are connected with the necessity of maintaining the already achieved standard of living of the inhabitants, which in practice means maintaining at least not compromised technical level of social and economic infrastructure devices. This means the need to carry out replacement investments, including existing components of fixed assets of technical equipment. Public entities are therefore subject to a clear investment pressure of an endogenous character from already functioning systems and organizational structures conducting operational activities in the field of public services. Secondly, these entities are subject to pressure from initiating and the need to implement development-related investments.

Observation of the activities of entities and public sector organizational units in the area of infrastructural investments implementation in many cases indicates poor adjustment of procedures related to the preparation and implementation of investment projects, and indicates the failure to use all the possibilities faced by public authorities in the past. Empirical studies indicate that the applied methodology of implementation of investment projects in the area of local infrastructure has not always been effective, which often led to the deepening of the disproportion in the level of settlement units equipment into technical infrastructure facilities. In many cases, hazards occurring in the implementation of investment projects have not been correctly identified, which means that they have not been properly identified and the specific risk in public sector investment projects has not been taken into account (Biondi, Marzo, 2011, pp. 421-441).

From the research so far, it is clear that there is a persistent shortage of budgetary resources that can be allocated to investments in the public sector. The list of disclosed investment needs and own budgetary resources of entities responsible for investment implementation leads to the conclusion that there are often objective deficits of own budget funds for planned investments, which led to serious difficulties in the implementation of investment projects, as well as many dilemmas regarding the choice of method investment financing (Jarosiński, Grzymała, Opalka, Maśloch, 2015, pp. 60-69).

As a result, we have a situation where on the one hand we have clearly defined needs in terms of new infrastructure components at the state level and local government units of different levels, on the other hand we have to deal with the need to provide financing sources for defined investment projects. The realities of the public sector budget economy prove that in many cases investment funds are not sufficient, hence attempts to look for other additional sources of financing in the form of bonds, loans, grants and subsidies, as well as interaction with private capital in the form of public-private partnership. The actual scale of the problem covers a broader subject range. In particular, these are the procedures for long-term investment planning and the use of analytical tools that allow a comprehensive analysis of such investments in the dimension of social costs and benefits. It is also important to assess the impact of investments on the budgetary position of public sector entities in future periods, especially in the situation of financing not only individual investment projects, but also investment programs consisting of a larger number of individual projects.

Quite often, public entities already have identified infrastructure needs, which are classified in various forms, often taking the form of documents that form the basis for the formulation of specific investment projects. Such documents fit into the formula of strategic plans and are characterized by a high degree of generality. The strategic planning process here plays a leading role and allows the development of real, internally consistent investment programs along with forecasts of budget revenues and the possibility of using funds from other sources, where the use of external sources of financing both of a recurring nature and of non-returnable, funds made available for such investments on different terms. Creating a new financing structure for planned investments, including the aforementioned sources, should also include the impact of the planned investments on the future financial standing of public sector entities both during their implementation as well as the impact after construction and transition to the operational phase. In particular, it is about the impact in the further future in the financial dimension, in particular debt, as a consequence of previously signed loan agreements, or other forms of financial support. It should be remembered that it is infrastructure investments taking into account long-term investment cycles that involve risks, the effects of which may appear in the long run. For these reasons, there is a risk of no liability for potential mistakes and decisions made in respect of multi-annual investment loans.

An important element of the investment preparation process is the need to develop a long-term analysis of investment financing in the form of a scenario analysis taking into account different risk categories and the potential impact of the identified risk factors. This will allow to develop a priori an image of the future condition of public finances, taking into account the impact of new investments. An important role here lies in the long-term financial planning in the scope of

income and expenditure of the commune budget and in the scope of the impact of existing debt on the possibilities of making new investments as well as achieving the objectives of current consumption. The implementation of multi-annual investment programs is a complex process, especially in the face of the need to build diversified structures for financing investment projects. This leads to the need to assess the impact of a number of factors having a diversified nature of impact and points to the need to pay more attention to the development of multi-annual investment programs and their relationship with the results of long-term financial planning.

Crisis phenomena in Europe and in the world affect the stability of investment projects carried out in market economy conditions, it also applies to investment projects carried out in the broad sense in the public sector. Changes in external conditions may lead to an unfavourable stability of investment projects that have been begun in the past. First of all, there are changes in interest rates, risk and hence a change in the value of real discount rates, which may lead to the necessity to make adjustments to the planned efficiency of investment projects, and in particular to verify the updated net value of the venture. Changes resulting from the crisis may lead to an increase in the overall risk of investment projects, and this in turn may lead to an increase in expectations as to the risk premium for loan capital and, as a result, to the deterioration of the efficiency of many of them (Bock, Trück, 2011, pp. 105-123).

For long-term investment projects, it is important to precisely plan the financial standing of future periods. Prospective analysis is here the basic tool for assessing the feasibility of undertaken investment projects, or more broadly, investment programs covering a larger number of investment projects and may be a tool to reduce the risk related to financing such projects. The advantage of financial planning lies in the ability to trace *a priori* the course of financial phenomena associated with the planned investment project. This allows you to assess the effects of investment decisions that may occur over a longer period of time. It is particularly important to determine the strength and directions of the investments undertaken on the budgets of future periods, which will have a significant impact on the possibilities of current expenditure and investment expenditures. As a result of many years of financial planning, further analytical work in the field of financial management of investment projects may be carried out. This applies to the management of existing debt and forecast debt, as long as the possibility of financing or co-financing of investments financed under a bank loan is taken into account (Chong, Brown, 2001, pp. 34-88).

There is also the possibility of conducting an indicator analysis at any stage of investment planning. This in turn gives the opportunity to reduce the risk of project failure that may occur as a result of specific circumstances at any point in the implementation of the project. Financial planning for assessing the feasibility of investments in the public sector should be a routine action of public authorities, regardless of other procedures adopted to ensure the effectiveness of the use of investment funds, such as public procurement procedures. Due to the importance of these problems and the high risk of losing the budget liquidity, there is a need for a thorough and multifaceted assessment of the project's impact along with its internal dependencies on the finances of a given organizational unit if the investment project is poorly developed.

It should be noted that making investment decisions is always made under conditions of uncertainty. The probability of success depends, however, on the reliability of assumptions adopted in the analysis, stability of the economic situation and a number of other factors affecting the risk of project implementation. Multi-criteria of investment decisions is widely known, which is why the detail and insight of pre-investment analyses should be a generally accepted principle. It should not, however, be a tool to justify decisions already taken in administrative mode. Such possibilities also exist because of the hypothetical nature of the *ex ante* analysis. It should be recognized that multi-annual financial planning is an important instrument supporting the process of planning and implementing investments in the area of the public sector. There are here the possibilities of simultaneously analyzing a number of investments creating a multi-annual investment program. The implementation of such programs requires conducting analyses preceding the decision-making process. This is necessary due to the large number of variables and the increase in investment risk.

Multi-annual planning and financial analysis is an important link in the process of preparing, evaluating and selecting investment projects in the area of public sector investment. Due to the high capital intensity of investment projects and the public nature of funds targeted at investments, the long-term financial analysis of investment projects allows to limit the investment risk. This is particularly important when financing investment projects from external returnable sources of financing in the form of bank loans and credits, as well as investments implemented in the public-private partnership formula. The effects of the lack of a reliable investment risk assessment, an error in the strategic planning of development, bad financial planning may be revealed later, after transferring the investment to the operational phase and causing further negative effects, the scope of which may be difficult to predict. The situation of new public investments is often complicated

by the fact that the specificity of investment projects in the public sector results in the inability to make profits or allows to collect profits at a low level, which results in limited financing possibilities of investments within own funds.

Risks of the investment projects in the public sector

The new project investments in the public sector are associated with many risk categories of such investments. The main category of risk may be understood here as the probability of underachievement of the planned results and losses of incurred financial outlays and losses of own resources. This problem concerns the expenditure of public funds accumulated in the state budget, budgets of local government units at the regional and local level, and public funds of other entities entitled to conduct their own investment policy and implement their own investments. The implementation of investments in the public sector requires the attention to various risk categories. Therefore, a broader risk factors in this case of public investments should be taken into account than those taken into account for typical and repetitive investments of enterprises that focus on achieving a financial surplus.

The risk can be understood here as the probability of occurrence of various unfavorable phenomena. This risk can also be presented as the probability of failure to achieve the intended goals, material results and results of a financial nature, as well as the loss of incurred financial expenses. This problem is particularly complex due to the possibility of losing public funds, collected in the form of taxes and various public levies, which are in the resources of the state budget, budgets of local government units at the regional and local level, as well as budgets of other public entities. Thus, investments in the public sector due to the public nature of resources are associated with slightly different risk categories than investments in the enterprise sector, which focus on achieving a financial surplus. Here we can indicate the main risk categories common to all investments.

Recognition of risk occurring in relation to public investment projects is associated with the identification of factors that may hinder or prevent the implementation of the project or may negatively affect its operational phase. This, in turn, may cause negative results in the sphere of quality and quantity of public services provided. From a theoretical point of view, many of the risk factors that may have an impact on the definition and implementation of investments projects in the public sector may have a similar impact on projects implemented in the private sector. This is connected with the genesis of such a risk (e.g. risk categories of a macroeconomic nature) and a similar approach to differentiated projects. However, some risk categories, however, have their only recourse to projects carried out in the public sector. It results from the specificity of such projects and other purpose of the entities implementing the investment and conducting the operational phase. An important matter is the different function of the public entity's objective in relation to the private entity conducting production or service activity. In the public sector, for many reasons, we are dealing with price regulation, and in this situation we have an indirect impact on the company's financial result. Regulators can influence the operational activity of the company, not always giving the opportunity to make a profit. Some categories of public services do not entail direct collection of service fees, such as urban road engineering or some social services (urban areas, parks, city lighting), we are guided by the principle of social benefits and related costs. This can generate completely new risk categories.

At present, it is possible to point out the classification of specific risk occurring in relation to projects carried out in the public sector. Unambiguous delimitation of risk factors specific to investments carried out in the public sector and investments carried out in the private sector is not feasible. In the sectors mentioned, there are both common risk categories and specific categories. With regard to the risk occurring in the public sector, one can indicate for: administration, project acceptance procedures, commercial or non-commercial projects, communication, environmental protection, investment policy, resources, strategic goals, subcontractors, technical solutions, financing, knowledge and information, legal and organizational framework (Martyniuk, 2012, pp. 83-93). It is worth noting that some categories of risk are common and of a general nature, e.g. liquidity risk in the implementation of current tasks, risk of investment financing stability or international or global risk categories. The most frequently identified risk categories in relation to the implemented investments are: operational risk, legal risk and liquidity risk in the implementation of investment projects. These risk categories occur quite frequently, such as the failure to meet the conditions for financing investments included in the cost estimate and exceeding the assumed level of investment expenditures (Vose, 2008, pp. 29-31).

From the point of view of the objective of the study, it is important to pay attention to those risk factors that may be relevant to projects implemented over a longer period, including the attention to financial risks. An important task here is the recognition and quantification of those risk categories that may have a long-term nature of referring to the course of ongoing investment projects. In particular, it is about the importance of risk analysis of future investments in conditions of uncertainty,

unforeseen crises, deepening budget deficit and excessive public debt at the state level, as well as in local self-government at the regional and local level (Sawyer, 2011, pp. 7-22).

The identification of long-term risk factors related to public investments should be carried out taking into account the specificity of long-term forecasting of future phenomena and in this context, with reference to general identified conditions and, to a lesser extent, the conditions and financial consequences of such investment projects. It should be emphasized that the long-term nature of future events is usually associated with greater risk than in the case of short- and medium-term planning. This results from theoretical conditions that form the basis for unstable socio-economic forecasts. According to the theoretical approach, as the forecast period expands, the value of the forecast error increases. From the point of view of the long-term impact of risk on the investment projects being undertaken, the scale of error regarding the actual level of risk, in the future with respect to events and factors recognized in the base period of the project also increases. Due to this regularity, it is necessary to start the project management process in the long run, including strategic management of various risk categories (Termini, 1999, pp. 9-11).

In relation to public investments, we can talk about the risk recognized for a given project and public sector entity implementing the project or about the risk of a group of projects and projects implementing. Therefore, it is advisable to determine the appropriate risk analysis sections. The cross-sections should include different risk categories, as well as lack of risk awareness, indifference to risk, and thus no pre-emptive actions in this area or risks related to the possibility of violating financial discipline. We can also identify the risk occurring at the level of several public entities, in particular cooperating local government units, which focus on the implementation of joint investment projects.

Financing large and complex investment projects in the changing conditions of the business environment is becoming more and more difficult. Due to the growing uncertainty of future socio-economic phenomena, there may be an increase in investment risk, which may lead to an increase in the costs of future investments. This applies to both investments in the real sphere, but also investment projects in the public sector, which until now were characterized by lower investment risk due to the good market situation of enterprises. In the analysis of infrastructure investment projects, the risk element plays an important role, which results from the specificity of the investment. The implementation of investments, especially in the field of technical infrastructure is a long-term process both for technical and economic reasons. Investments have a generally higher than the industry capital intensity, which significantly affects the level of demand for funds targeted to their implementation (Jarosiński, 2015, pp. 23-39).

In line with the above regularities, changes in general management conditions resulting even from the emergence of financial crisis phenomena may lead to the necessity to verify the original assumptions of investment projects that have been started in the past and have not been closed yet, as well as those investment projects in relation to which decisions about the desirability of their implementation have not yet been made. As a result, we are dealing with a situation that forces the correction of undertakings started in the past under conditions of another economic reality and new investments for which scenarios should be developed, assuming a more difficult situation in terms of the possibility of raising capital and generating a financial surplus.

The risk of public investment implementation, due to the complex nature of such investments, is always multidimensional. As already mentioned, the implementation of investments in the public sector is related to the entire economy, including the management conditions in the private sector. For this reason, the classification and typology of risk occurring in the implementation of public investments should take into account narrowly understood conditions typical for public sector management conditions, as well as contain risk categories characteristic of investment projects undertaken in the private sector. The risk typology may be of a general nature, and thus include an extensive list of effects on the project differentiated from the immediate environment of the project or having exogenous character and covering other macro-economic or macroeconomic conditions. It should be noted that from the point of view of individual projects, it should be borne in mind that the risk will always be individualized. This means that in relation to individual projects, some risk categories may have a particularly strong impact, while others may not occur at all.

The risk typology in investment projects in the public sector is related to the specificity of projects that can be relatively easily classified in the public sector. This is related to the partial replication of projects with respect to their overall concept and technologies, because the scope of investments in the public sector is usually limited by the scope of tasks resulting from legal and organizational regulations. It means that despite the existence of certain differences between projects, resulting from the specificity of the place where projects are implemented, due to a similar form of functioning of public

sector enterprises, oriented to provide various types of public services, we can recognise similar risk categories. From the point of view of projects implemented in the public sector, the risk may be divided into 5 main categories: organizational and legal risk, technical risk, financial risk, risk of failure to achieve social effect and other risk categories that may appear similarly to projects in the private sector (Hardcastle, Boothroyd, 2003, pp. 38-40, Grimsey, Lewis, 2002, pp. 109-111, Arrow, Lind, 2003, pp. 160-178).

The risk categories proposed are fully adequate to situations that may arise during work on investment projects implemented in the public-private partnership formula. This solution seems to correspond to real phenomena that may occur in the planning and implementation of projects in the PPP formula, because there we deal with the occurrence of partners representing the public sector who is interested in achieving quantitative and qualitative effects in the sphere of public services and business partners from the sector private, whose expectations are focused on achieving a specific rate of return on invested capital. The proposed risk categories therefore take into account the interests of both parties who, working in the framework of cooperation between PPPs, strive to achieve consensus and maintain the developed formula of action in the longer term. However, not all public investments are implemented as part of cooperation between public and private entities (Allocating..., 2016, pp. 15-204).

However, when we look at investments implemented entirely as part of initiatives undertaken by public sector entities, the distribution of individual risk categories may look slightly different. With this in mind, it is possible to propose a slightly different division of risk that may occur during the planning and implementation of public investments. In this context, specific risk categories that may arise during the planning and implementation of investments within public entities should be indicated: legislative regulation risks (e.g. future planning regulations), design, construction and technology risk, and economic risk (including fall in revenue) financing, operating phase, revenue tariffs, etc.), Feasibility studies (failure to identify key downsides with the intended project), organizational risk, corruption risk, project management ability risk (may be inadequate for the present task).

The above risk categories do not refer to complex and diverse occurrences that may pose a risk to investment projects, but include the most important ones. The main issue here is the problem related to long-term financing of investment projects and threats, the deterioration or loss of the possibility to finance investment projects in the long-term, and therefore the risk of project financing comes to the fore. The long-term risk of investment financing is associated with many separate risk categories that exist objectively during the preparation and implementation of investment projects, and may be related to the uncertainty of future events, distant in time for which the forecasting can only be carried out approximately. This is the case with regard to budget revenues of diversified public entities, including in particular the state and local government of various levels (Drennan, McConnell, Stark, 2015, pp. 2-10).

Bearing in mind the goal of the study, it is necessary to pay attention to risk factors that have a financial dimension in the long-term approach to public sector investment. In particular, it is important to determine the impact of the future investment risk on the changes of the budget deficit and on the general government debt (Spikin, 2013, pp. 89-126). The conducted research shows that the most commonly identified risk categories in relation to public investments may be: operational risk, legal risk and liquidity risk during project implementation, political risk and corruption risk. These categories of risk in the conditions of the market economy play a very important role in the financial risk assessment. The risk of excessive budget deficit and the risk of excessive government debt may in the long term significantly reduce the possibilities of public investment financing under own budgetary resources and may lead to a further increase in indebtedness with negative consequences for the economy and society that may be revealed in the future.

Risk of public debt in empirical studies

Bearing in mind the theoretical considerations concerning various risk categories that may arise during the implementation of public investments, in particular their high complexity, during empirical research it was recognized that the risk associated with financing investment projects, especially the risks associated with excessive public debt, which can significantly limit the investment potential of public entities undertaking specific projects. From the point of view of the objective of the study, it was approached to study changes and the level of public debt in individual countries as well as the public debt ratio in relation to the value of GDP. According to the full source data collected during the study, it should be stated that the current financial situation of public sector entities in many European Union countries, as well as in the world, may negatively affect their investment potential. For the purposes of the text, table 1 summarizes the figures for GDP in selected countries of 2004-2018. Table 2 shows similar data for selected countries of the world.

With respect to selected European Union countries in the years 2000-2018, the situation in the field of public debt changed in many directions. In some countries, the public debt-to-GDP ratio has been significantly increased. In this group, 18 countries reported a deterioration in the public debt situation. In 2000, the average ratio for 28 countries, current EU members was 60.1%, while in 2018 it was already 80.0%. It should be noted that 2018 was another year of the indicator's decline. The highest level reached this average in 2014, i.e. 86.6%. Public debt ratio in relation to GDP in 20 Member States was below the average, while in 8 countries it exceeded this value. In 2018 the lowest level of the index was recorded in Estonia - 8.4%. In this country in the whole period the indicator fluctuated within a few percent, only in 2013 and in 2014 it exceeded 10.0%, respectively 10.2% and 10.5%. The relatively low level of the indicator was recorded, among others, in Bulgaria, in Luxembourg, as well as in Denmark and Lithuania.

Table 1: General government gross debt as a percentage of gross domestic product (GDP) in selected countries of European Union in the years between 2004 and 2018

Specification	2004	2006	2008	2010	2012	2014	2015	2017	2018
Estonia	5.1	4.4	4.5	6.6	9.7	10.5	9.9	9.2	8.4
Luxembourg	7.3	7.8	14.9	19.8	22.0	22.7	22.2	23.0	21.4
Bulgaria	36.0	21.0	13.0	15.3	16.7	27.1	26.2	25.6	22.6
Czechia	28.5	27.7	28.3	37.4	44.5	42.2	40.0	34.7	32.7
Denmark	44.2	31.5	33.3	42.6	44.9	44.3	39.8	35.5	34.1
Lithuania	18.7	17.2	14.6	36.2	39.8	40.5	42.6	39.4	34.2
Romania	18.9	12.4	12.4	29.8	37.0	39.2	37.8	35.2	35.0
Poland	45.0	46.9	46.3	53.1	53.7	50.4	51.3	50.6	48.9
EU (28 countries)	60.9	60.1	60.7	79.0	84.0	86.6	84.6	81.7	80.0
United Kingdom	38.6	40.7	49.7	75.2	84.1	87.0	87.9	87.1	86.8
Spain	45.3	38.9	39.5	60.1	85.7	100.4	99.3	98.1	97.1
France	65.9	64.6	68.8	85.3	90.6	94.9	95.6	98.4	98.4
Belgium	96.5	91.0	92.5	99.7	104.3	107.5	106.4	103.4	102.0
Cyprus	64.8	59.3	45.6	56.8	80.1	108.0	108.0	95.8	102.5
Portugal	62.0	69.2	71.7	96.2	126.2	130.6	128.8	124.8	121.5
Italy	100.1	102.6	102.4	115.4	123.4	131.8	131.6	131.4	132.2
Greece	102.9	103.6	109.4	146.2	159.6	178.9	175.9	176.2	181.1

Sources: Own study based on data from Eurostat https://ec.europa.eu/eurostat/web/products-datasets/-/sdg_17_40&lang=en, connection of 11.04.2019, IMF <https://www.imf.org/external/datamapper/>, connection of 11.04.2019, OECD <https://data.oecd.org/gga/general-government-debt.htm>, connection of 11.04.2019, Central Statistical Office in Poland, Ministry of Finance 2018, <http://www.finanse.mf.gov.pl/web/wp/>, connection of 11.04.2019.

The most difficult situation regarding the value of the indicator occurred in 2018 in Greece, where the public debt in relation to GDP reached the value of 181.1%, it is worth noting that it was the highest rate in that country in the analyzed period of 2000-2018. Also, the difficult situation in terms of public debt was recorded in Italy, where in 2018 this indicator was 132.3%, also in this country in 2018 the value of the indicator was the highest in the examined period of 2000-2018 and, what is characteristic, it remained at a relatively high level in throughout the period under discussion. It is also worth paying attention to the public debt in Portugal, where in 2018 the level of the index reached 124.8%, however, since the year 2014 a slow decline in value has been observed. Indicator analysis of public debt in the EU indicates large differences between individual Member States in this respect.

According to the source data, in the analyzed period it was generally difficult in the EU Member States to significantly reduce public debt. In some countries only, the negative trend in the deepening of public debt has been reversed. At this point one should pay attention to the situation in Ireland, where in the years 2012-2018 the value of this indicator was reduced by almost a half from 119.9% to 64.8%. It is also worth paying attention to the situation in Germany, where in 2012-2018 the index value was reduced by 18.8 percentage points. Due to the extensive empirical material acquired during the research, due to formal reasons, it was not possible to present complete data, so it was limited to presentation in Table

1 and Table 2 of results for selected years from the period covered by the study and the results presented are graphically illustrated in Figure 1.

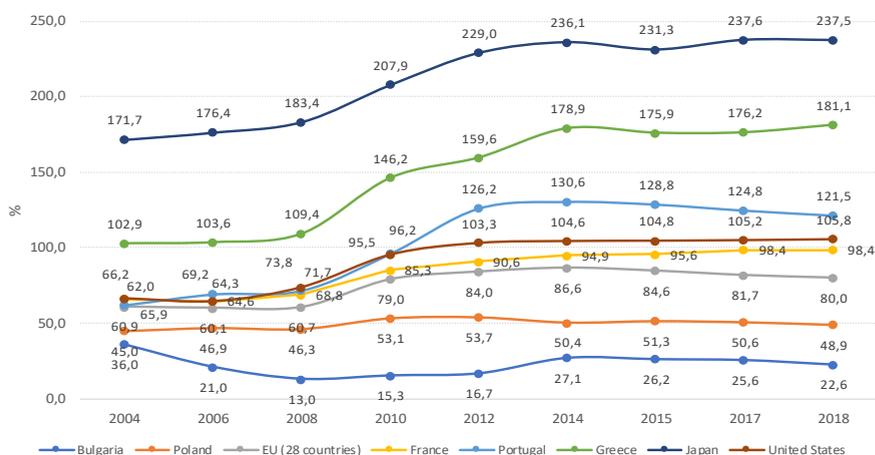
Table 2: General government gross debt as a percentage of gross domestic product (GDP) in selected countries in selected years between 2004 and 2018

Specification	2004	2006	2008	2010	2012	2014	2015	2017	2018
Australia	12.0	10.0	11.8	20.5	27.8	34.1	37.8	40.8	41.9
Brazil	68.1	64.7	61.5	62.5	61.6	61.6	71.7	83.1	87.9
Canada	72.1	70.1	67.8	81.1	84.8	85.0	90.5	89.7	90.6
China, People's Republic of	26.2	25.4	27.0	33.7	34.3	39.9	41.1	47.0	47.6
Japan	171.7	176.4	183.4	207.9	229.0	236.1	231.3	237.6	237.5
United States	66.2	64.3	73.8	95.5	103.3	104.6	104.8	105.2	105.8
Turkey	57.7	44.7	38.1	40.1	32.7	28.8	27.6	28.3	56.7
Ukraine	23.9	14.3	19.7	40.6	37.5	70.3	79.3	71.0	87.7

Sources: Own study based on data from Eurostat https://ec.europa.eu/eurostat/web/products-datasets/-/sdg_17_40&lang=en, connection of 11.04.2019, IMF <https://www.imf.org/external/datamapper/>, connection of 11.04.2019, OECD <https://data.oecd.org/gga/general-government-debt.htm>, connection of 11.04.2019, Central Statistical Office in Poland, Ministry of Finance 2018, <http://www.finanse.mf.gov.pl/web/wp/>, connection of 11.04.2019.

The diversified situation regarding public debt in the EU Member States shows that there is a significant diversification of investment potential in the public sector. It is obvious that higher public debt can be more easily tolerated in large, wealthy countries with a developed economy than in smaller states that have the status of developing countries. The economic potential of individual countries creates a diverse situation when it comes to the possibility of financing investments from public funds. Therefore, one can notice a relatively high volume of public investment in rich countries with a relatively high debt ratio than in poor countries, where the debt ratio is relatively lower. There is no doubt, however, that the situation regarding public debt is a negative phenomenon and carries the risk of successfully financing public investments in the long run.

Figure 1: General government gross debt as a percentage of gross domestic product (GDP) in selected countries in selected years between 2004 and 2018



Source: own based on data in Table 1 and Table 2.

Current research shows that the phenomenon of public debt is quite common, it affects not only European Union Member States, but also is observed all over the world and occurs in poor countries, economically underdeveloped countries, as

well as in countries with a relatively high level of GDP. It is worth paying attention to the situation that took place in Japan, where in 2018 the discussed indicator reached the level of 237.5% and was the highest indicator in the group of countries surveyed. It is also worth paying attention to the situation regarding public debt in the USA, where in 2018 the discussed index reached the value of 105.8%, which in comparison to 2000 meant almost double the value of the indicator. The increase in the value of the index was also recorded in Australia, Brazil, Canada and Ukraine, while in Turkey and the Russian Federation there was a decrease in the value of the indicator in the group of the countries surveyed. The research results prove that economic development is taking place in conditions of surplus expenditure of public finance sector entities. Bearing in mind the internal structure of budget expenditures, currently there is an increase in current expenditure related to the financing of diversified public services: health protection, social security, pension system. As a result, the investment potential is diminishing, which leads to the use of funds from outside the budget and thus the increase of the budget deficit, and in the long run to excessive budget deficit.

Conclusions

The conducted research shows that the most commonly identified risk categories in relation to public investments may be: financial risk, operational risk, legal risk and liquidity risk during project implementation, political risk and also corruption risk. From a financial point of view, it was considered that two categories of risk in the conditions of the state budget economy and local government units play the most important role in the financial dimension of risk assessment. They are the risk of an excessive budget deficit and the risk of excessive government debt, which in the long term may significantly limit the possibilities of financing public investment within their own budget and may lead to increased debt and adverse effects on the economy and society. Excessive budget deficit and excessive public debt have an impact on the course of investment processes financed from other sources, in particular from funds received in the form of the bank loans.

Difficulties with the budget balance of public finance sector entities, visible in the form of budget deficits, must lead to a much more complex difficulties in the form of excessive public debt in the long run. As a result, the general financial situation of public sector entities deteriorates. High expenses related to servicing excessive debt may be particularly dangerous. The increase in debt servicing costs directly affects the deterioration of the possibility of financing investments from own resources. In the longer term, there is a real risk of a slowdown in the growth of budget revenues, which as a derivative of the economic situation may fluctuate along with changes in the business cycle. The reduction in budget revenues was clearly visible as a result of the global financial crisis in 2008-2010. In the longer term, one should always take into account the increase in public spending and the increase in the costs of their implementation. This may aggravate the negative effects of debt and lead to a further reduction in the volume of undertaken public investments.

The risk of excessive indebtedness of public sector entities must lead in the long-term to seeking new management methods in the sphere of investment. In conditions of increasing the risk of new investments, strategic management should become the basic instrument for optimizing the public economy. In the group of the European Union Member States, the quality of operational management has been significantly improved as well as the effectiveness of risk management has been improved. In many Member States, cohesion policy and related subsidies for co-financing public investment have significantly contributed to raising investment rates in the economy and investment rates in the public sector. The applied solutions allowed to mitigate the effects of excessive public debt and to maintain the upward trend in public spending even in the situation of a drop in the volume of GDP, which allowed to reduce the investment risk. It seems that in the future, a higher level of development will create the basis for increasing budget revenues and limiting the long-term risk of financing public investment.

References

- [1] Allocating Risk in Public-Private Partnership Contracts, Report. (2016). Sydney: GI Hub.
- [2] Arrow, K.J. Lind, R.C. (2003). Risk and Uncertainty: Uncertainty and evaluation of public investment decisions. In: P. Richard G. Layard (eds.). Cost-Benefit Analysis. Cambridge: Cambridge University Press.
- [3] Biondi, Y., Marzo, G. (2011). Decision Making Using Behavioural Finance for Capital Budgeting. In: H. K. Baker, P. English (eds.). Capital Budgeting Valuation: Financial Analysis for Today's Investment Projects. Hoboken: John Wiley & Sons.
- [4] Bock, K., Trück, S. (2011). Assessing Uncertainty and Risk in Public Sector Investment Projects. Technology and Investment. No. 2. doi:10.4236/ti.2011.22011.

- [5] Central Statistical Office in Poland, Ministry of Finance 2018, <http://www.finanse.mf.gov.pl/web/wp/>, connection of 11.04.2019.
- [6] Chong, Y.Y., Brown, E.M. (2001). Zarządzanie ryzykiem projektu. Kraków: Dom Wydawniczy ABC.
- [7] Drennan, L. T., McConnell, A., Stark, A. (2015). Risk and Crisis Management in the Public Sector. Abingdon: Routledge.
- [8] Eurostat https://ec.europa.eu/eurostat/web/products-datasets/-/sdg_17_40&lang=en, connection of 11.04.2019.
- [9] Grimsey, D., Lewis, M. K. (2002). Evaluating the Risks of Public Private Partnerships for Infrastructure Projects. International Journal of Project Management. No. 20. DOI: 10.1016/S0263-7863(00)00040-5.
- [10] Hardcastle, C. Boothroyd, K. (2003). Risk overview in public-private partnership. In: A. Akintoye, M. Beck, C. Hardcastle (eds.). Public-Private Partnerships: Managing Risks and Opportunities. Oxford: Blackwell Science Ltd.
- [11] IMF <https://www.imf.org/external/datamapper/>, connection of 11.04.2019.
- [12] Jarosiński, K. (2015). Innovations in the public sector and their impact on the social-economic development processes. In: K. Jarosiński (ed.). Making the 21st Century Cities. Warszawa: CeDeWu.
- [13] Jarosiński, K., Grzymała, Z., Opałka, B., Maśloch, G. (2015). Financing and management of public sector investment on local and regional levels. Warszawa: PWN.
- [14] Martyniuk, O. (2012). Assessment of risk management in units of the public finance sector in Poland - results of empirical research (paper in polish). Zarządzanie i Finanse. Vol. 4.
- [15] OECD <https://data.oecd.org/gga/general-government-debt.htm>, connection of 11.04.2019.
- [16] Sawyer, M. (2011). Budget deficits, public debt and the level of public investment. In: M. Florio (ed.). Public Investment, Growth and Fiscal Constraints: Challenges for the EU New Member States. Northampton: E. Elgar Publishing Ltd.
- [17] Spikin, I. C. (2013). Risk Management theory: the integrated perspective and its application in the public sector. Estado, Gobierno, Gestión Pública. No.21. Santiago: Universidad de Chile.
- [18] Termini, M. J. (1999). Strategic Project Management: Tools and Techniques for Planning, Decision Making and Implementation. Dearborn: SME.
- [19] Thobani, M. (1999). Private infrastructure, public risk. Finance and Development. No. 36 (1). Washington DC: IMF.
- [20] Vose, D. (2008). Risk Analysis: A Quantitative Guide. Chichester: John Wiley & Sons Ltd.

Hopelessness and Despair

Dimitrios Dentsoras

University of Manitoba, Canada

Abstract

The essay offers an account of hopelessness that separates it from despair and provides reasons for thinking that hopelessness can be worse than despair, under some conditions. It begins by discussing the orthodox account of hope and despair, and by listing some of its shortcomings. It then offers a more refined definition of hope, of its absence, and of its opposite, and examines cases where one can experience despair without experiencing hopelessness, and vice versa. In the final part, it moves on to the negative consequences of despair and hopelessness, focusing on how they affect agency. It identifies cases where hopelessness can be more detrimental than despair and proposes some ways of promoting hope as an attitude that enhances agency and well-being.

Keywords: Hopelessness and Despair

Introduction

Contemporary accounts of hope

Philosophical and psychological accounts of hope in the 20th century have focused on the desiderative and the evaluative cognitive aspects of hope, in an attempt to provide a definition of the phenomenon. J. P. Day (1969, 89) provides the paradigmatic definition of hope that has been the orthodox view for the better part of the century: "A hopes that P" is true if and only if 'A wishes that P, and A thinks that P has some degree of probability, however small' is true. Let us call these two constituents of Hope the desiderative constituent and the estimative constituent respectively." While intuitively part of our common sense understanding of hope, the minimal conditions presented by Day are rather loose, allowing attitudes different from hope, such as expectation, to count as hope. This has led philosophers and psychologists to add further conditions for hope, by specifying the kind of desire that is involved in hope, the beliefs that accompany it, or the object that it is directed towards. But such attempts to restrict the definition of hope by adding further conditions are often heavy-handed and rather ad hoc.

On the other hand, the orthodox account of hope seems to leave out many features of hope that are important, and in a sense paradigmatic or representative of hope, even if they do not appear in every case of hope, and could, therefore, do not constitute necessary conditions. The features that the philosophical and psychological literature presents include, among others: cognitive resolve to pursue a course of action leading to the desired outcome (Petit 2004); 'seconding' one's commitments and sustaining practical pursuits (Martin 2013, 84); and mental activities, such as imaging and fantasising about the desired outcome (Bovens 1999; McGeer 2004).

The high volume of recent psychological and philosophical research on hope has shown conclusively that hope is a complex phenomenon that resists any set of necessary and sufficient conditions. At the same time, certain aspects of hope seem to be more central and important to its concept than others. At the very least, these aspects should be part of what we call hope. In the following sections, I identify some of them. My focus will be on the cognitive features of hope, especially the kinds of beliefs that usually accompany cases where people report to have lost hope. The reason for doing so is that beliefs relate closely to agency, by providing reasons for action. One of the most important and practically valuable attributes of hope is that hope increases one's sense of agency and leads to higher activity by leading to an increase of pathways towards achieving one's goals. This is seen most clearly in cases of personal challenge, such as those arising from debilitating or terminal disease, which often provide the focus of psychological research on hope. The following section will offer an analysis of the negative psychological states associated with such challenges, namely despair and hopelessness. I will draw a distinction between the two states, by associating each with a different set of beliefs related to future events and one's role in them. The basis for my analysis will be the common conception of hope, applied to different hypothetical

scenarios. By driving a wedge between hopelessness and despair, I hope to bring forth some important cognitive aspects of hope. In the last section, I will draw some practical conclusions from my theoretical analysis.

To pass or not to pass

At first sight, distinguishing between despair and hopelessness might appear as an unnecessary, and perhaps misdirected, philosophical stretch. Most dictionary entries on 'despair' and 'hopelessness' treat them, and their adjective forms 'desperate' and 'hopeless,' as synonyms, apparently in agreement with common usage. If there is any difference between despair and hopelessness in common usage, it seems to be one of degree, with despair being a more intense feeling of hopelessness, the feeling that is often rendered as 'the utter loss of hope'.

A potentially more revealing difference in the common usage of 'despair' and 'hopelessness' concerns the connection between the two states and action. While hopelessness is usually associated with inaction (e.g., 'this is a hopeless project, so I should stay away from it'), despair often functions as a motivator to action. Expressions such as 'counsel of despair' and 'desperate actions' point to that direction. Such expressions are usually followed by the thought that the actions caused and directed by despair were extreme or mistaken – in fact, despair is often used as an excuse, in phrases such as 'I know I should not have done this, but I was desperate'. But, from the point of view of agency, despair seems to be more than just the mere absence of hope, by providing some reasons and justification for action.

How hopelessness and despair may differ can, perhaps, be seen in a hypothetical scenario. Let's consider a non-depressing, yet hopeless, situation. It is the fourth quarter of a football game between the best pass defense team in the league and a team led by a young quarterback (call him Johnny). Johnny's team is trailing big-time, and he is faced with a choice between trying to complete as many passes as possible in order to close the score gap – running the risk of throwing an interception and losing by even more points – and playing it safe by running the ball – thus guaranteeing a loss, but with a lower margin. Johnny's situation does not warrant hope, since the probability of winning the game is very low. Of course, Johnny might be hopeful, in which case he believes that his team can win. With this in mind, he may proceed to throw long passes, running the risk on an interception. But adopting an hopeful attitude and throwing the ball involves hopeful Johnny assenting to the false belief that he can successfully pass the ball against the best pass defense in the league, *and win a game by doing so*. If the young quarterback is to be epistemically virtuous, he should reject the belief that he should throw the ball because *this* way he can win the game. But, doing so would result in becoming hopeless, and refraining from action, thus running the ball until the game runs out. On the other hand, one can imagine a desperate Johnny who sees the prospect of defeat getting more and more certain.

Desperate Johnny decides to throw the ball, not because he thinks this is the way to win against the best pass defense, but because his team is trailing in the fourth, and the only way to catch up is by throwing, even if that will probably lead to a heavier defeat than to victory.

In all three cases, the hopeful, the hopeless, and the desperate Johnny do not merely experience a feeling, but also hold certain beliefs that they associate with their emotive state and, more importantly, with their choice to act in a certain way. So, desperate Johnny can meaningfully say 'I started throwing the ball in the fourth quarter because I was desperate' and

refer not to his psychological condition, but on his beliefs about the situation: 'it was a desperate situation, so I had to throw the ball'. Something similar can be said about hopeless Johnny, who refrains from passing, because he believes it would be pointless to do so against the best pass defense in the league.

A further thing to note is that the beliefs that are associated with the hopelessness or despair that Johnny experiences go beyond the assessment of the probability and desirability of his goal, which the standard theory of hope focused on. The most important of the further beliefs associated with the loss of hope has to do with one's ability to bring about a desired outcome.

Both despair and hopelessness are accompanied by the belief that there is nothing one can do to prevent a certain negative outcome from coming about. But, there seems to be a difference in emphasis when it comes to this belief. The thought that one cannot prevent a negative outcome seems to be central in the feeling of hopelessness. On the other hand, despair seems to focus more on the negative nature of the probable outcome. In our football case, hopeless Johnny is driven by the thought that, if he were to attempt a pass against the best pass defense, he would throw an interception, and thus lose the game (of course, he also believes that he will lose the game if he runs the ball, thus his hopelessness). Desperate

Johnny, on the other hand, is driven by the thought that time is running out, his team is trailing, and the prospect of defeat is nearing (of course, he also believes that throwing the ball against the best pass defense is most probably doomed, thus his despair). While both Johnnies believe that defeat is likely to come, regardless of their actions, their emphasis on two different aspects of their situation lead to a different attitude, and, eventually choice.

Giving up hope

People finding themselves in hopeless situations overwhelmingly report a feeling of frustration and resignation. Consequently, psychologists tend to treat hopelessness and despair as psychological conditions, akin to depression that exceed rational reflection and function beyond one's control. After all, why would one rationally choose such a negative feeling, unless they have some other underlying psychological condition? But, while one's general psychological make up undoubtedly affects the kinds of attitude they adopt in their life, the act of losing hope, or giving up hope, seems to be a rather deliberate choice, and not a mere change of mood. 'She gave up hope of becoming a professional piano player' is not the same as 'she lost all joy in playing the piano,' even if both are seen as a negative change in attitude.

Usually, the loss of hope involves a change in the belief about the probability of a favourable outcome coming about. So, one might give up the hope of getting a job, if they have not heard back from their potential employer for a long time, with the thought that this indicates the job was given to someone else. Moreover, giving up hope might involve changing beliefs that are relevant but peripheral to the probability of a desired outcome's coming about, without making any further thoughts about the actual probability of the outcome. So, I may give up hope that my favourite team will win the championship after I watch them play a couple of bad pre-season games, and come to believe that they are not as good as I thought. This might not necessarily imply that I have any beliefs about their chances of becoming champions. Rather, I come to believe that a team that plays so badly is not a team that inspires or warrants hope.

The possibility of giving up hope without forming any new beliefs about the probability of a desired outcome is more evident in cases of 'hope against hope', where the agent is aware of the practical impossibility of an outcome (e.g., surviving a terminal disease), and hopes without believing that it will, or even could, come about. The loss of hope in such cases must be due to some other beliefs or attitudes. For example, a sick person might be tired of hoping (and undergoing some invasive therapy that requires the kind of determination and discipline that only hope provided previously), or might have come to terms with her predicament and has decided to simply accept whatever comes.

Some more interesting cases of giving up hope without altering one's beliefs about the probability of a desired outcome involve the kinds of attitudes that philosophers find characteristic of hope. So, we could envision a case of someone giving up hope because they are no longer able or willing to visualize the desired outcome, perhaps because they find it too tiresome and draining, because they do not want to be reminded of how remote the probability of the desired outcome is, because they do not want to get their hopes too high, or simply because they now consider such fantasising a waste of time. Alternately, giving up hope might involve abandoning one's resolve to pursue a course of action leading to the desired outcome. This may be because I find the outcome less desirable, or because I no longer second my commitment to sustain a practical pursuit. For example, I may give up hope of winning the lottery one day. This is not because I now realise that winning the lottery is extremely improbable, but because I no longer desire a mansion with a hot tub, which I could only afford by winning the lottery, or because I now come to realise that I can achieve more with my money by saving it, rather than wasting it on lottery tickets. This loss of hope has some practical implications. In the lottery case, that involves stopping playing the lottery and visiting real estate websites to look for houses that I would buy when I win the lottery. And that is arguably the better. But, there are cases where giving up hope implicates a detrimental course of action, or an equally harmful choice of inaction. For example, the victim of a severe spinal cord injury might give up hope that she will walk again, and refuse to undergo physiotherapy, because she is not willing to deal with the pain and effort that physio involves, given the great uncertainty of its efficacy.

What are the implications of the loss of hope in such cases, and what are their effects on one's agency? To answer the question, we need to make some important distinction regarding the agent's state of mind prior to the loss of hope. The distinction has to do with the justification the agent had for retaining a hopeful attitude, and forms a spectrum ranging from justified or calculated optimism to instinctive or naïve optimism. Calculated optimism is based on some evidence regarding the possibility of a favourable outcome. Abandoning the hope that is based on such calculations requires some change of belief regarding the probability of the favourable outcome, or, at the very least, a change of belief regarding the level of probability that warrants a hopeful attitude. Research shows that people exhibiting this kind of hope tend to be more

steadfast in their attitude, even in challenging circumstances (Snyder 1994; Miceli and Castelfranchi 2010; Katsaros 2014). Naïve hope, on the other hand, might exist without any consideration of probability for the desired outcome. In fact, people who adopt naïve optimism might be unwilling to consider the probability, or even the possibility, of the desired outcome, fearing that it would dishearten them. In such cases, the loss of naïve hope begins when one starts thinking about their predicament and possible ways of responding to it. This initially involves an assessment of the probability of the desired outcome. The victim of a spinal cord injury who has been lying for a while thinking that 'things will be all right', for example, might start assessing his situation, after a period of naïve optimism stemming from an instinctive reaction of denial. At this point, he may realise that the chances of even partial recovery are very slim. This realisation alone may lead to loss of hope. But, the injury victim might have a more measured reaction, which focuses on a careful consideration of the factors that influence the outcome and their individual probabilities. As part of this consideration, the victim may also think about his possible responses, and about the way in which his actions may influence the outcome.

This process of reflection may go two ways. One is a transformation of naïve optimism into calculated optimism. The other, is the (calculated) loss of hope, if insufficient reasons for hoping are found. In hope's place, the injury victim may develop two different attitudes. The one is an attitude of hopelessness, which is based on the now-stable-and-justified belief that there are no reasons for thinking that things will turn out well, and nothing the victim can do about that.

But there is another possibility. The victim may continue looking for reasons to think that things will turn out all right, and for actions that may bring about the desired outcome, but without success. This state of frustration, I believe, comes close to what most think of as despair. Unlike hopelessness, which entails a feeling of resignation and the established belief that nothing can be done to avoid an undesirable event, despair is a state of continuous dynamic suspension of hope, at the face of insufficient evidence for hoping. In this way, despair does not lose sight of the fact that things will go badly, in all probability.

A similar picture exists with respect to the range of actions that are available in order to increase the probability of the desired outcome. While a hopeless person is experiencing a feeling of resignation that stems from the settled belief that there is nothing she can do, the desperate person is in a continuous state of looking for what she can do to improve her situation, and of failing to find any such action. At first sight, this seems to be a worse situation than hopelessness, since despair is accompanied by a continuous feeling of frustration, not to mention the chance that the desperate person will act in a way that worsens her situation. But, despite its more unpleasant character, despair can also be seen as preferable, under certain circumstances. One reason for this, which we saw already, is that despair does not discourage action the way hopelessness does. The desperate agent thinks that there may be something that can be done to bring about the desired outcome, even if she does not know what that is, and even if she chooses to pursue something that is eventually harmful in an attempt to succeed in her goal. This would explain why we might even be willing to recommend desperate action under unfavourable circumstances ('these are desperate times, which require desperate measures'), while the adoption of an attitude of hopeless inaction under the same circumstances is not recommendable, since it limits once agency and sense of self-worth.

Contrary to hopelessness, despair as I have been describing it seems to retain some elements of hope, such as the belief that there may be some reasons for thinking that things might turn out all right (although none are found so far), and the belief that they may be something the agent can do to improve her situation (although what exactly that is, is still unknown). Although frustrated in her pursuit of ways in which her goal can be achieved, and doubtful that it can be achieved at all, the desperate person might still retain her resolve, if not her ability to visualise the desired outcome. She has given up hope as far as believing things will turn out fine just by doing such-and-such, but she has not abandoned hope in the sense of finding the goal no longer an appropriate target of pursuit. In this way, a desperate person seems to have a greater chance of switching to justified optimism than someone who is hopeless, in the way described above.

Resisting hopelessness in desperate situations

The focus of our discussion so far has been on cases where there might be reasons for hope, and a conceivable benefit from hoping and acting towards the object of hope. But, there can be exceptional circumstances that resist any kind of hope, such as terminal disease, or the loss of one's companion. These are cases where all possible reasons for hoping are apparently defeated. There is no way of escaping death or bringing back a spouse. Should the person who finds himself in such a situation simply abandon hope, and adopt an attitude of hopelessness? After all, refusing to do so would either be a case of naively optimistic self-delusion, or a case of setting oneself up for disappointment and frustration.

There seem to be (at least) three possible reactions to devastating situations. One is despair as I have been describing it, a state where all one's hopes are defeated after a consideration of the relevant factors. The other is continuing to hope, without having any reasons for doing so. A third option goes beyond defeating all reasons for hope and leads to the abandonment of hope altogether. This is the state that I have been describing as hopelessness: the loss of hope as supposed to the loss of one's hopes. The main feature of the state of hopelessness, in such a case, is the absence of a particular target. In this respect, hopelessness differs from despair. Despair over something can be experienced as a result of a negative assessment of one's situation. Hopelessness, on the other hand, can be felt, and even chosen as an attitude, without considering any particular target. The hopeless person can claim that they do not look forward to anything for a variety of reasons, some of which have nothing to do with the probability of future events. They may think looking forward to things is a waste of time and leads to disappointment; or it may be that this is the kind of person they are. On the other hand, the despairing person has nothing to look forward to, because she believes that all desirable outcomes are extremely unlikely and do not warrant expectation.

On the outset, giving up hope in a definitive way under extremely challenging circumstances may seem like a good coping mechanism, and even something that retains a semblance of control. 'I hope for nothing' implies a decision, as supposed to the desperate 'I have nothing to hope for' (despite my looking for something that can give me hope). But hopelessness at such a scale runs the danger of turning into a general nihilism and inactivity. And while such an attitude might seem a small price to pay for coping with extremely challenging cases, it can be devastating for people who adopt it in circumstances such as cases of terminal or debilitating disease, long-term unemployment, and painful break-ups. In these cases, people often abandon hope when they form the belief that their original goal (living till old-age, employment, or marriage) cannot be attained, without replacing their goal with any other, leading to general nihilism, a loss of self-worth, and depression. The cost of giving up hope altogether, in these cases, is too high, even if it avoids the frustration of failing to find reasons to hope and the despair that comes with it. To avoid the devastating effects of hopelessness, one needs to find an appropriate target that has some probability of coming about, and a set of appropriate actions that may lead to it. This might not be easy, and despair might accompany the attempt to look at the bright side of a gloomy situation. But, it is important to continue the search for some appropriate goal and action, if one is to maintain a sense of agency and the belief that even the worst odds should be met with action rather than resignation.

References:

- [1] Bovens, L. (1999). The Value of Hope. *Philosophy and Phenomenological Research* 59, 667-81. Day, J. P. (1969). Hope. *American Philosophical Quarterly* 6 (2), 89-102.
- [2] Downie, R. S. (1963). Hope. *Philosophy and Phenomenological Research* 24 (2), 248-251.
- [3] Horrigan, J. and Wiltse, E., eds. (2010). *Hope against Hope: Philosophies, Cultures and Politics of Possibility and Doubt*. Leiden: Brill Academic Publishers.
- [4] Katsaros, G., ed. (2014). *Psychology of Hope*. Hauppauge: Nova Science Publishers, Inc. Martin, A. (2013). *Moral Psychology of Hope*. Princeton: Princeton University Press.
- [5] McGeer, V. (2004). The Art of Good Hope. *Annals of the American Academy of Political and Social Sciences* 592, 100– 27.
- [6] Meirav, A. (2009). The Nature of Hope. *Ratio: An International Journal of Analytic Philosophy* 22 (2), 216– 33.
- [7] Miceli, M. and Castelfranchi, C. (2010). Hope: The Power of Wish and Possibility. *Theory and Psychology* 20 (2), 251-276.
- [8] Pettit, P. (2004). Hope and Its Place in the Mind. *Annals of the American Academy of Political and Social Science* 592, 152– 165.
- [9] Radcliffe, M. (2013). What Is it to Lose Hope? *Phenomenology and the Cognitive Sciences* 12, 597-614.
- [10] Snyder, C. R. (1994). *Psychology of Hope: You Can Get Here from There*. New York: Free Press.
- [11] Steinbock, A. J. (2007). The Phenomenology of Despair. *International Journal of Philosophical Studies* 15 (3), 435-451.

Table 2. Sexual exchange type by risk level for each gender

Type of Exchange	At Risk %			
	Male Only	Female Only	Male & Female	No or Minimal Risk
Intercourse (24)	4.2		58.3	37.5
Cunnilingus (10)	90.0		0.0	10.0
Frottage (8)			25.0	75.0
Fellatio (7)		71.4		28.6
Verbal (7)				100.0
Digital stimulation (6)	16.7			83.3
Masturbation (3)	66.7			33.3
Heavy kissing (3)				100.0
Total (68)	19.1	7.4	23.5	50.0

Number of cases (n) in parentheses

Table 3. Sexual exchange type by safe sex behaviors for each gender

Type of Exchange	At Risk %			
	Male Supplies Condom	Female Supplies Condom	Female Supplies Pill	No Protection or Discussion
Intercourse (24)	33.3	4.2	8.3	50.0
Cunnilingus (10)				100.0
Frottage (8)				100.0
Fellatio (7)	28.6			71.4
Verbal (7)		14.3		85.7
Digital stimulation (6)				100.0
Masturbation (3)				100.0
Heavy kissing (3)				100.0
Total (68)	19.1	7.4	23.5	50.0

Number of cases (n) in parentheses

Table 4. Across study comparisons: Percent of scenes where protection is used/discussed and percent of safe sex practices initiated by females

Study	Novel Publication Dates	Safe Practiced	Sex	Safe Sex Initiated by Female
Diekman et al. (2000)	1981-1996	10.0		0
Menard & Cabrera (2011)	1989-1999	18.5		20.0
	2000-2009	57.0		
Current Study	2009-2019	50.0		30.9

Table 5. Consent practices by type and gender

Verbal Consent Requested (68)	%
By Male	72.1
By Female	17.6
Not Requested	10.3
Verbal Consent Given (68)	%
By Male	17.6
By Female	61.8
Neither	20.6
Nonverbal Behavioral Consent Given (68)	%
By Male	11.8
By Female	58.8
By Both	20.6
Neither	8.8
Interior Thoughts Consent Given (67)	%
By Male	16.2
By Female	64.7
By Both	10.3
Neither	7.4
Contract/Agreement Consent Negotiated (68)	%
By Male	32.4
By Female	
Other	5.8
Neither	61.8

Each scene (case) may have multiple "consent given" scenarios
Number of cases coded (n) in parentheses

Somatic Lexemes in the Kartvelian Linguistic Space

Rusudan Asatiani

Iv. Javakhishvili Tbilisi State University

Natia Dundua

Marine Ivanishvili

Ether Soselia

Abstract

Comparative-historical study of languages makes it possible to represent the diachronic process of structuring the world and forming the corresponding concepts. The abovementioned process is inherently integral and reflected in such socio-cultural areas of human life as language, art, religion, farming, ethno-traditional customs, culture (in its broadest sense), etc. The proto-language reconstructed as a result of the comparative-historical study and the picture of its diachronic development provide some information about the genetic relations between the people speaking the corresponding related languages, about their original homeland and the directions of their historical migrations, about their knowledge, ideas and representations. This time we have analyzed the semantic field of the lexemes denoting the human body parts, which are reconstructed at the Proto-Kartvelian language and exist in the contemporary Kartvelian languages (Georgian, Megrelian, Laz, and Svan) and some dialects (notably, Gurian, Rachian, Xevsurian, and Kiziqian). Our goal is to reveal the semantic structure of the mentioned field, to analyze the respective concepts as well as to outline processes of the development and the establishment of corresponding tokens (resp. lexemes). Vocabulary denoting a human body (resp. Somatic lexemes), its parts and inner organs is a constituent part of the basic core vocabulary of a language and presumably ought to be fixed in the ancient times' reflecting data. Analysis of the lexical units, which have been reconstructed either at the Common-Kartvelian or Georgian-Zan level on the basis of regular sound correspondences between the Kartvelian languages, allows us to highlight the main course of forming and developing the linguistic units we are concerned with; namely, the accumulation of "knowledge" had been carried out due to the process of differentiation and detailed elaboration of the human body anatomy and respectively, the corresponding semantic field, somatic vocabulary, had been underway to be enriched based on the relation of cognitively interpreted markedness. Language changes and development, formation of new categories and concepts, and consequently, creation of new linguistic units is mainly carried out as the result of detailed elaboration, further specification and partition of **unmarked** categories: an unmarked category undergoes the division-differentiation on the basis of formally marked oppositions that leads to the formation of new linguistic units and structures and reflects the dynamic picture of enhancement of linguistic cognition of the universe. Dialectic material enriches the semantic space even more and specifies and fills the meanings of lexemes to be studied.

Keywords: Somatic Lexemes in the Kartvelian Linguistic Space

I. Introduction

„Ihre Verschiedenheit ist nicht eine von Schällen und Zeichen, sondern eine Verschiedenheit der Weltansichten selbst.“ Wilhelm von Humboldt

Language is one of the means of reflecting 'reality'. Reality is a whole that is structuralized according to specific linguistic structures. During the process of conceptualization various linguistic entities are defined as linguistic categories. This is a way of creating a specific linguistic picture of 'world view'. The main goal of linguistic studies is to 'discover' universal and

specific features defining such processes. The goal can be achieved by the typological, cross-linguistic investigations based on the method of comparative linguistics. Comparison of languages traditionally gained ground along two directions: Diachronic (Comparative-historical linguistics) and Synchronic (Typological linguistics). Comparative-historical linguistics makes it possible to represent diachronic changes of conceptualization and linguistic structuring of reality. Changes of a language system mirror changes within various social-cultural spheres of human being such as art, religion, ethnic traditions, economy, civilization, culture, and so on. On the basis of the comparative-historical methodology, reconstructed proto-language and its diachronic development help us to get some information about the historical existence of the speakers, which includes the ecological environment (fauna, flora, geographic surrounding, climate) and human habitation, and migration in the environment as well as culture in the broadest sense (including both, material and spiritual culture).

II. Defining objectives

This time we are aimed at studying the semantic field of the lexemes denoting the human body parts reconstructed at the Kartvelian linguistic space. Vocabulary denoting a human body, its parts and inner organs is a constituent part of the basic core vocabulary of a language and presumably ought to be embedded in the ancient state reflecting data. Our goal is to reveal the semantic structure of the mentioned field (resp. Somatic vocabulary) and to analyze the respective organizing concepts. The research is based on the data presented in the *Etymological Dictionary of the Kartvelian languages* (Heinz Fähnrich, Zurab Satjveladze, Tbilisi: TSSOS Un. Press. 2000)

III. Main tasks

Our main tasks are: Forming the Corpus of target data; Systematizing and grouping the data according to the Gerhard Deeters's scheme of the diachronic development of the Kartvelian languages:

Comparing the Common-Kartvelian and Common Georgian-Zan reconstructed lexical entities in order to reveal the mainstream of diachronic processes reflecting the human body parts conceptual articulation and new terms formation; Generalizing observations and offering some possible theoretical interpretation of linguistic tendencies and regularities;

Answering the question: **What did a human being “look like” in the Kartvelian linguistic space?**

IVa. The data: Common-Kartvelian linguistic space

On the basis of sound correspondences existing between the all Kartvelian languages 17 lexemes are reconstructed at the Common-Kartvelian level which represent the following concepts corresponding to the human body parts:

ARMPIT, EYE, FACE/MOUTH, FOREHEAD, GENITALIS (MAN), HAIR, HAND, HEAD, LEG, NECK, NOSE/NOSTRIL, PENIS, (EYE) PUPIL, RIGHT-HAND, SHOULDER, TONGUE, VEIN.

If some sound correspondences between Georgian and Svan are taken into account and, respectively, are reconstructed for the Common-Kartvelian level the following concepts can be added to the above given list as well:

EYE (VISIBLE), CROWN (OF HEAD), CHEEK, CHEEK (ROCKY), CHIN, PENIS, LARYNX, LEG, JAW, EAR, FOREHEAD, CALF.

Thus, totally, there are 25 concepts that are realized by 29 lexemes, among which 4 entities marked by red color have doublet forms.

IVb. The data: Common-Georgian-Zan linguistic space

Sound correspondences existing between the Georgian and Zan languages make us possible to reconstruct 28 additional concepts reflecting the human body parts terms:

ARM/BONE, BEARD/POINT, BOSOM, BREAST (OF WOMAN), CALF, CHIN, EAR, ELBOW, EYEBROW, FINGER, FINGERNAIL/TOENAIL, GUM, (THICK) HAIR, HEAD, HEEL, HUMP/BIG STOMACH, (ANAT.) JOINT, KNEE, LARINX, LIP, LITTLE FINGER/TOE, NAVEL, NOSE/BILL, PENIS, THIGH (INNER SIDE), THROAT, TOOTH, WINDPIPE.

Some observations

The data analysis shows more (compared to the Common-Kartvelian data) detailed description of human body; especially, the further articulation of the area of **LARYNX: WINDPIPE, THROAT, LARYNX**, and others; Differentiation of **MAN** and

WOMAN organs: **BOSOM/CHEST/BREAST- WOMAN BREAST**; The doublet lexemes reveal different origins of body part terms formation; e.g.: **NOSE ←NOSTRIL//NOSE ←BILL, BEARD ←BEARD POINT**.

V. Conclusions: generalization and theoretical interpretation

Analysis of the lexical units, which have been reconstructed either at the Common-Kartvelian or Georgian-Zan level on the basis of regular sound correspondences between the Kartvelian languages, allows us to highlight the main course of forming and developing the linguistic units we are concerned with; Namely, the accumulation of “knowledge” had been carried out due to the process of differentiation and detailed elaboration of the human body anatomy and, respectively, the corresponding semantic field (resp. somatic vocabulary) had been underway to be enriched based on the relation of cognitively interpreted markedness.

Language changes and development, formation of new categories and concepts, and consequently, creation of new linguistic units is mainly carried out as the result of detailed elaboration, further specification and partition of unmarked categories; An unmarked category undergoes further division-differentiation on the basis of distinguishing cognitively marked categories and establishing formally marked oppositions. The process leads to the formation of new linguistic units and structures and reflects the dynamic picture of enhancement of linguistic cognition of the universe.

What did a human being “look like” in the Kartvelian linguistic space?
Project: “Main models of information structures in the Georgian dialects: Gurian, Rachian, Xevsurian, Kiziqian” (2016-2019)

The main goal of the project is to investigate information structures in Georgian dialects. Eight field sessions were organized in regions of Racha and Guria (Summer, 2017) and Kiziqi and Xevsureti (Summer, 2018). The spoken texts corpora were created on the basis of experimental tasks.

Gurian: Parallel form for Standard Language lexemes:

lak'ap'urč'i-loq'a–“cheek”; *p'op'ori-t'uč'i*–“lip”; *c'imk'ina-lavic'i*–“collar-bone”; *čimčimi-tvalis* up'e–“eye socket”; *čomp'o-γip'i*–“(pot) belly”; *q'ia-k'iseri*–“neck”

Specific forms of lexemes (arisen as a result of phonetic processes characteristic for the dialects):

zrugj←*zurgj*–“back”; *dunči*←*drunči*–“snout, muzzle”; *yljavi* ←*ilyia*–“armpit”; *t'olpi*←*t'erpi*–“sole (of foot)”; etc.

Derivatives:

amo-čagvi-eb-a–“putting (sth.) under one's arm”; *ga-k'uč'-eb-a*–“getting angry”; *mo-k'ut'ur-eb-a*–“loading (onto back)”; etc.

Racha: Parallel forms for Standard Language lexemes:

k'ančaya-k'anč'i–“lower leg, shin”; *k'onk'oraxi-k'epa* – “back of (human) head”; *k'unsubo-k'udusuni* – “back of (human) head”; *q'iq'ap'o-γababi* – “double-chin”

Specific forms of lexemes (arisen as a result of phonetic processes characteristic for the dialects):

k'lavi←*mk'lavi* –“arm”; *ulaši*←*ulvaši* – “moustache”; *paši*←*pašvi* – “paunch”; *pxari*←*mxari* – “shoulder”; *xiximali*←*xerxemali* – “spinal column”; etc.

Derivatives:

a-k'ančur-eb-a–“lifting of painful leg”; *a-čl'av-eb-a* – “carries smth. under one's arm”; *mo-bγun3-ul-i*–“bent”; *p'iraoši* – “saying (sth) to sb's face”; etc.

Xevsureti: Parallel forms for Standard Language lexemes:

kuri-loq'a–“cheek”; *qint'o-nest'o*–“nostril”; *č'ip'č'ora-č'ip'*–“navel”; *q'inč'ara* // *q'iranc'a* ~ *q'anq'rat'o*–“windpipe”.

Specific forms of lexemes (arisen as a result of certain phonetic processes characteristic for the dialects):

daq'vi←*idaq'vi*–“elbow”; *pirčxili*←*prčxili*–“fingernail”.

Derivatives:

sa-lak'-e–“sole (of foot)”; *sa-varcx-al-i*–“back part of foot/hand”; *sazalt'e-maža*–“wrist”; *sa-lik'-a*–“index finger”.

Kiziqian: Parallel forms for Standard Language lexemes:

batki-t'erp'i–“sole (of foot)”; *bolkveni~bokveni*–“small stomach below navel”; *iogio-k'ut'(u)*–“pennis”; *yinci-k'iseri*–“neck”.

Specific forms of lexemes (arisen as a result of certain phonetic processes characteristic for the dialects):

baržaxi←*baržaq'i*–“upper leg”; *dlaq'vi* // *nidaq'vi*←*idaq'vi*–“elbow”; *p'ili*←*p'iri* “mouth”; *p'c'k'ili*←*prčxili* –“fingernail”; *č'link'i*←*č'lik'i*//*č'liki* “front part of foot”.

Conclusions:

Only few really new Somatic Terms were documented in the dialects reflecting further, more concrete lexicalization of human body parts.

Rachian: *mk'vlivi*–“bone of calf”; *γvirk'i*–“back part of knee”; *č'iyvi*–“back part of shin”;

Xevsurian: *k'višt'avi*–“up part of knee”; *nac'q'li*–“cunnus/penis(in Pshavian)”; *čerani*–“back part of shin”; *žyirt'i*//*žyirta*–“solidified flesh between a flesh and a skin”;

Kiziqian: *k'enxa*–“the crown (part of skull covered with hair)”; *k'ubača*, *k'uk'uznak'i*–“the bone where vertebra is located”; *mqrk'ic'i*–“the part of body where shoulder meets arm”; *sasalak'i*–“hanging part of soft palate”; *t'laq'vi*–“the naked leg with rump(in poetry)”; *t'ut'ua*– “girl's sexual organ”; *čana*– “low part of jaw”; *č'iyvi*–“the shoulder's joint”.

All other specific lexemes have arisen either as a result of certain phonetic processes characteristic for these dialects or, having an absolutely new forms, have given dialectic doublet lexemes for the Standard Georgian terms.

Sometimes the lexical meaning of a somatic term varies slightly; e.g., in Xevsurian: *gvami* “body=corpse(SG)”; *ku(r)sli* “sole=heel(SG)”; *č'ip'i* “paunch=navel(SG)”; *q'ba* “beard=jaw(SG)”.

Derivatives make a productive device for a generation of new lexical, especially, emotionally “colored” units.

Bibliography

- [1] Dzidziguri S., rač'uli dialekt'i, Tbilisi 1970.
- [2] Imnaishvili Gr., guruli dialekt'i, Tbilisi 2006.
- [3] Jajanidze P., guruli dialekt'i, I, Tbilisi 1977.
- [4] Jankarashvili L., rač'uli k'ilos gloluri met'q'veleba, TSU, Tbilisi 1960, pp. 120-121.
- [5] Kobadze M., gurulis ponef'ik'uri da morpologjur-sint'aksuri taviseburebani, TSU 8, Tbilisi 1958.
- [6] Menteshashvili S., kiziq'uri leksik'oni, Tbilisi 1943.
- [7] Rač'uli dialekt'is leksik'oni (ed. Al. Kobakhidze), Tbilisi 1987.
- [8] Shanidze Ak., kartuli k'iloebi mtaši, TSU, Tbilisi 1984.
- [9] Sharashidze G., guruli leksik'oni, Tbilisi 1938.
- [10] Tchankvetadze L., rač'uli leksik'a zemo rač'isa da mtarač'is met'q'velebis mixedvit, TSU, Tbilisi 1960, p. 119.
- [11] Tchintcharauli Al., xevsurulis taviseburebani, Tbilisi 1980.
- [12] Uturgaidze T. (ed.), rač'uli (gloluri) t'ekst'ebi, Tbilisi 1991.
- [13] Zhghenti S., guruli k'ilo, Tbilisi 1936.

A Comparison of Equity Valuation Models: Empirical Evidence from a Sample of UK Companies

Ja Ryong Kim

Dr. University of Nottingham, UK

B07, Si Yuan Building, University of Nottingham, Jubilee Campus, Wollaton Road, NG8 1BB, UK

Abstract

This paper aims to answer one main question: can the superior models in accounting field be superior in finance field? That is, can models that generate a better approximation to stock price also generate higher returns in the future? To answer this question, I conduct pricing errors analysis and time-series returns analysis. The most important finding is models that approximate stock price better tend to produce higher returns in the future; implying findings in accounting literature have practical implications to analysts and investors. The consistent rankings of models are observed throughout the research: forward earnings multiples perform the best, followed by fundamental valuation models and historical earnings multiples, and book value and sales multiples worst. However, multiples are ranked rather as a group in the UK. Interestingly, residual income models produce similar returns to forward earnings multiples, but the accuracy of their estimates varies depending on their terminal value assumptions.

Keywords: comparison, equity, valuation, models, empirical, evidence, sample, UK companies

Introduction

Estimating the intrinsic value of stocks is one of the most intriguing and important questions in accounting and finance. Many valuation models have been developed to measure the intrinsic price of stocks assuming the stock price will eventually converge to its fundamental value. However, some argue that this effort is pointless because current market price is already the intrinsic price, reflecting all valuable information (Fama (1970) and Firth (1976)). One thing they all share in common is that the intrinsic value equals the sum of present values of all future payoffs to stockholders, although methodologies and assumptions they employ are not agreed upon.

In accounting literature, it is common to adopt the efficient market hypothesis (EMH) as the starting point, and assume model estimations to be equal to market prices. To measure the usefulness of models, academics compare the model estimation with the market price and observe how close they are: the closer they are, the better the model it is considered. Although not everyone agrees, more and more research reveals that fundamental valuation models, especially residual income model (RIM), produce a closer approximation to the market price than simple price multiples.

In contrast, most of researchers and practitioners in finance believe the market price is biased and will converge to the intrinsic value eventually in the future. They regard a better model as the one that generates more returns to investors in the future, rather than the one that better approximates the market price. Contrary to accounting researchers, analysts and fund managers believe fundamental valuation models are too sensitive to the assumptions they employ. As a result, survey results reveal that practitioners prefer simple price multiples such as price-to-earnings ratio (P/E) or dividend yield (D/Y) to fundamental valuation models because they are easier to use and communicate to their clients.

This paper aims to answer one main question: can the superior models in accounting research field be superior in finance field? That is, can models that generate a better approximation to stock price also generate higher returns in the future if they are used? To answer this question, I conduct two different analyses – pricing errors analysis and time-series returns analysis – and compare the performance of models in both analyses.

This paper uses a sample of UK firms and compares the results with those for US firms. This is because not many studies have been carried out in the UK compared to the US, where a lot of researches are performed.

For the models selection, I mainly refer to Liu et al. (2002) because: (1) Liu et al. cover most of the valuation models widely used in practice or studied in academic papers under the same methodology. This fact is important because most other papers cover only a subset of models with a different methodology, making direct comparison between them hard; (2) different types of models are tested such as accruals, cash flows, forward-looking information and fundamental valuation models, providing a panoramic view about the performances of various models; (3) instead of comparing models in terms of their explanatory power (i.e., R^2) to the stock price, they use pricing errors to evaluate the performance of models. The pricing errors measured in the first stage analysis are used later in the second stage time-series returns analysis in this paper; and (4) Liu et al. compare performances of models in different industries, providing detailed insights to model users in different areas.

To enable the direct comparison between UK and US results, this paper tries to use the same methods that Liu et al. (2002) use. However, I release some criteria to maintain a certain number of samples, given the limited data availability compared to the US. Besides that, this paper makes other differences from Liu et al. (2002). In the first stage, pricing errors analysis, I did not use the intercept adjusted method. This is because this method produces similar results to those of the no-intercept adjusted method, but in a much difficult way. Considering the perspectives of model users who prefer simple and easy to use method, I only use the no-intercept adjusted method. Instead, this paper employs a regression methodology that is broadly used in practice and academics. In the second stage, time-series returns analysis, I depart from the EMH assumption and measure the annual and cumulative returns of models for up to five years' time horizon (i.e., from T+1 to T+5). Buy-and-hold returns – buying top quintile (undervalued) stocks and short-selling bottom quintile (overvalued) stocks – based on the pricing errors are used to measure the time-series returns. The first stage analysis aims to evaluate the superiority of models in terms of pricing errors that accounting researchers regard as important, and the second stage analysis focuses on the performance of models in terms of returns generation ability that financial practitioners consider important. If the rankings of models between the two analyses are similar, I can conclude that the findings in accounting literature have useful as well as practical implications to model users in finance.

This paper finds a number of interesting results that are useful to both accounting and finance researchers: (1) in the pricing errors analysis, the rankings of models between the UK and the US are almost identical: Forward earnings multiples outperform historical earnings multiples, followed by book value multiples, and sales multiples in descending order. However, two distinctive patterns are observed in the UK. Firstly, models are ranked as a group rather than as an individual model, and the differences of pricing errors for multiples within the group are minimal. Secondly, one of the residual income model (RIM) is consistently included in the first group in performance with forward earnings multiples, in contrast to the results in the US where all RIMs underperform forward earnings multiples; (2) despite its popular usage in practice, a regression methodology generates larger pricing errors than those of the harmonic mean methodology; (3) similar to Liu et al. (2002), the rankings of models are generally consistent across sectors. However, they are again ranked as a group rather than an individual model; and (4) most importantly, the rankings of models in the pricing errors analysis and the time-series returns analysis are generally identical indicating the findings in accounting literature have useful implications to financial practitioners. Additionally, two interesting results are found from the time-series returns analysis. First, other RIMs, once excluded from the first performance group in the pricing errors analysis, are now included in the group. This implies, on average, RIMs perform similar to forward earnings multiples in terms of returns generation, but the accuracy of their estimations varies depending on the terminal value assumptions they employ. Second, buy-and-hold returns, especially short-selling returns, are largely affected by a relatively few extreme values.

Methodology

Value Drivers

The types of models and methodologies are primarily determined based on Liu et al. (2002) for the direct comparison between UK and US results. However, some models are deleted because of data unavailability in the UK, and some are added, reflecting their popularity in practice. To measure multiples, two simple and popular methods – the harmonic mean method and a regression method – are adopted considering model users' perspectives.

Models are broadly grouped into three categories: price multiples using historical data, price multiples using forecasted data, and fundamental valuation model multiples. For the price multiples using historical data, four value drivers are chosen: book value of equity (BV), actual earnings per share from I/B/E/S (IACT), earnings before interest, taxes, depreciation and amortization (EBITDA), and sales.

Fundamental valuation model multiples include four RIMs and three DDMs with different assumptions. RIM is theoretically the same as DDM given clean surplus accounting¹. However, RIM is developed to overcome the disadvantages of DDM that (1) dividends are the indicator of value distribution, not value creation, and (2) a large number of companies, especially growth companies, do not actually pay dividends making DDM inappropriate.

DDM explains equity value is the sum of the present values of expected dividends:

$$Equity\ Value = \frac{DIV_1}{(1+r)} + \frac{DIV_2}{(1+r)^2} + \frac{DIV_3}{(1+r)^3} \dots \quad (1)$$

where DIV_t is forecasted dividend for year t and r is the cost of equity. According to clean surplus accounting, dividend can be expressed as:

$$DIV_t = EA_t + BV_{t-1} - BV_t \quad (2)$$

where EA_t means earnings and BV_t means book value for year t .

Substituting (2) into (1),

$$\begin{aligned} Equity\ Value &= \frac{EA_1 + BV_0 - BV_1}{(1+r)} + \frac{EA_2 + BV_1 - BV_2}{(1+r)^2} \dots \\ &= \frac{EA_1 - rBV_0 + (1+r)BV_0 - BV_1}{(1+r)} + \frac{EA_2 - rBV_1 + (1+r)BV_1 - BV_2}{(1+r)^2} \dots \\ &= BV_0 + \frac{EA_1 - rBV_0}{(1+r)} + \frac{EA_2 - rBV_1}{(1+r)^2} + \frac{EA_3 - rBV_2}{(1+r)^3} \dots \end{aligned} \quad (3)$$

Equation (3) is RIM estimating stock value as the current book value of equity plus the sum of the present values of abnormal earnings. Gode and Ohlson (2006) argue that the usefulness of RIM varies across sectors depending on how close firm's book value approximates its market value; therefore, RIM is expected to perform well in finance sector where financial instruments are marked to market, whereas it is not in technology sector where intangible assets – off-balance sheet item – account for a large part of market value. This argument will be verified in the sector rankings analysis later in this paper.

Three popular methods for the terminal value calculation are employed in the paper. The first model (P1) forecasts future earnings over the next five years and then assumes abnormal earnings to be maintained constant afterwards:

$$P1_t = BV_t + \sum_{\tau=1}^5 \left[\frac{E_t(EA_{t+\tau} - r_t BV_{t+\tau-1})}{(1+r_t)^\tau} \right] + \frac{E_t(EA_{t+5} - r_t BV_{t+4})}{r_t(1+r_t)^5} \quad (4)$$

The second model (P2) covers a five-year forecast horizon similar to P1, but assumes abnormal earnings will be eliminated after the horizon:

$$P2_t = BV_t + \sum_{\tau=1}^5 \left[\frac{E_t(EA_{t+\tau} - r_t BV_{t+\tau-1})}{(1+r_t)^\tau} \right] \quad (5)$$

¹ All changes in equity are reflected in income statement. Exceptions are transactions such as dividends, repurchases or offerings. Thus, year-end book value of equity is the beginning book value of equity plus earnings minus dividends:

$$BV_t = BV_{t-1} + EA_t - DIV_t$$

where BV_t is book value, EA_t is earnings, and DIV_t means dividend for year t .

The third model (P3) covers two-year forecast horizon and then presumes firm's return on equity (ROE) will linearly converge to its sector median ROE in the next nine years, followed by the constant abnormal earnings at that level:

$$P3_t = BV_t + \sum_{\tau=1}^2 \left[\frac{E_t(EA_{t+\tau} - r_t BV_{t+\tau-1})}{(1+r_t)^\tau} \right] + \sum_{\tau=3}^{11} \left[\frac{\{E_t(ROE_{t+\tau}) - r_t\} BV_{t+\tau-1}}{(1+r_t)^\tau} \right] + \frac{\{E_t(ROE_{t+12}) - r_t\} BV_{t+11}}{r_t(1+r_t)^{11}} \quad (6)$$

This pattern is proved by the empirical evidences for European firms over time that firm's ROE converges to the median ROE in the next ten years (Palepu et al. (2007)). P1, P2 and P3 are also mentioned in Liu et al. (2002), whereas the next models are not. The fourth model (P4) is basically same as P3 but assumes firm's ROE to be linearly converge to the sector median ROE in the next five years:

$$P4_t = BV_t + \sum_{\tau=1}^2 \left[\frac{E_t(EA_{t+\tau} - r_t BV_{t+\tau-1})}{(1+r_t)^\tau} \right] + \sum_{\tau=3}^7 \left[\frac{\{E_t(ROE_{t+\tau}) - r_t\} BV_{t+\tau-1}}{(1+r_t)^\tau} \right] + \frac{\{E_t(ROE_{t+8}) - r_t\} BV_{t+7}}{r_t(1+r_t)^7} \quad (7)$$

The pattern of P4 is based on the empirical findings in Nissim and Penman (2001) that earnings measures (e.g., residual earnings, residual operating income, return on common equity, and return on net operating assets) have a tendency to converge to their median value over the next five years.

Three different DDMs are additionally examined in this paper to compare the performances with those of RIMs. Despite their theoretical equivalence, DDM and RIM use different value drivers with different characteristics, so they normally produce inconsistent estimates. The first two DDMs use similar assumptions to P1 and P2 to make direct comparisons between them.

The first DDM (D1) includes a five-year forecast horizon and presumes constant dividend payouts after the horizon:

$$D1_t = \sum_{\tau=1}^5 \left[\frac{E_t(DIV_\tau)}{(1+r_t)^\tau} \right] + \frac{E_t(DIV_{t+5})}{r_t(1+r_t)^5} \quad (8)$$

The second DDM (D2) only uses five years' dividend forecasts with no terminal value:

$$D2_t = \sum_{\tau=1}^5 \left[\frac{E_t(DIV_\tau)}{(1+r_t)^\tau} \right] \quad (9)$$

However, the third model (D3) reflects the unique characteristic of dividends that dividend payoffs are unlikely to decrease, but likely to increase when constant dividend payout ratio is assumed. The survey results in Brav et al. (2004) indicate financial executives are reluctant to change the current dividend payout ratio because increase in dividend payout ratio can be a burden in the future when the firm's performance deteriorates, while decrease in dividend payouts can cause investors' dissatisfaction. Therefore, D3 uses 3.5% constant long-term growth rate in dividends considering historical UK GDP growth rates. Therefore, D3 is expressed as:

$$D3_t = \sum_{\tau=1}^5 \left[\frac{E_t(DIV_\tau)}{(1+r_t)^\tau} \right] + \frac{E_t(DIV_{t+5})(1+0.035)}{(r_t - 0.035)(1+r_t)^5} \quad (10)$$

Pricing Errors Analysis

By definition, the multiple is the price of a single unit of firm's performance. For example, P/BV is the price of a single unit of book values. Therefore, if the volume of firm's performance and its multiple are known, the price of a firm can be estimated by multiplying them. However, because the multiple of a firm is hard to estimate directly, an indirect method that uses the multiple of comparable firms is widely used in practice. This indirect methodology is based on the fundamental economic

principle: the law of one price. It states every identical product should have one same price, or arbitrageurs will buy the product in the cheaper market and sell it at the higher price in the different market, eliminating the price difference. The same rule applies to equity valuation: companies with same features should have one identical price. Specifically, if the multiple of a comparable firm is known, it can be used for that of a target firm. This can be expressed as:

$$\text{Equity Value } (p_i) = \beta x_i + \varepsilon_i \quad (11)$$

where β is the multiple of a comparable firm, x_i is the value driver of a firm and ε_i means the error for firm i .

To select comparable firms to estimate β , three methods are normally used in practice: (1) analysts often choose a small number of, but most similar, comparable firms for each individual case (Goedhart (2005)); (2) firms in the same sector are chosen as comparable firms. This method is most widely used in academic research to estimate the generalised β ; and (3) entire firms across sectors are selected as comparable firms. Because the first method is not suitable for the research that aims to draw a generalised conclusion, I employ methods (2) and (3) that are widely used in academic research.

In addition to the selection of comparable firms, there are also a number of measures to calculate β . Baker and Ruback (1999) use four different measurements (i.e., simple mean, harmonic mean, value-weighted mean and simple median), and find the harmonic mean and the simple median produce the smallest errors. However, considering the simple median measure produces the wider dispersion of errors than the harmonic mean does, the harmonic mean measure is considered most reliable. Kim and Ritter (1999) employ a regression measure to estimate β for their IPO valuations. Although all measures are commonly used in practice, I chose the harmonic mean, the median and a regression measure. The harmonic mean and the median are chosen because they produce more accurate estimates than the other measures. Moreover, they are mainly used in Liu et al. (2002). A regression method is selected because its performances are yet examined in other research. By using the three different measures, this paper expects to check which measure produces the most accurate estimates in the UK.

Harmonic Mean and Simple Median Measures

In the first stage analysis, pricing errors are measured to evaluate the performance of multiples. However, the errors calculated in equation (11) can mislead the conclusion because those errors are measured in value terms, not in percentage terms. In value terms, bigger companies tend to have larger errors than those for smaller companies, making the direct comparison between multiples hard. To estimate the errors in percentage terms, equation (11) are divided by p_i in both sides:

$$1 = \beta \frac{x_i}{p_i} + \frac{\varepsilon_i}{p_i} \quad (12)$$

where ε_i/p_i is the pricing error in percentage terms. For the direct comparison with Liu et al. (2002), this paper assumes that expected pricing errors to be zero,

$$E\left(\frac{\varepsilon_i}{p_i}\right) = 1 - E\left(\beta \frac{x_i}{p_i}\right) = 0$$

then the multiple β is expressed as the inverse of expected x_i/p_i :

$$\beta = \frac{1}{E\left(\frac{x_i}{p_i}\right)} \quad (13)$$

As explained earlier, β is measured using the harmonic mean of p_i/x_i and the inverse of the median of x_i/p_i . After estimating β , pricing error is measured as the gap between the market price and the model estimation divided by the market price:

$$\frac{\varepsilon_i}{p_i} = \frac{p_i - \hat{\beta}x_i}{p_i} \quad (14)$$

To evaluate the performances of multiples, this paper primarily uses the interquartile range of pricing errors consistent with Liu et al. (2002).

A Regression Measure

This paper employs the ordinary least squares (OLS) regression to estimate the linear relationship between the market prices and the value drivers of comparable firms. The OLS regression does not require expected pricing errors to be zero, but it principally calculates a coefficient (i.e., multiple β) that minimises the sum of squared errors. The pricing errors are calculated in the same way as equation (14) to allow direct comparisons between the performances of multiples.

Time-Series Returns Analysis

Time-series returns analysis is a typical methodology used in finance to measure the performance of models or strategies over the time horizon. It estimates the returns that the model would generate if the model strategy were used in the past. A quintile based buy-and-hold strategy is employed to measure the returns consistent with Frankel and Lee (1998): buying top quintile (undervalued) stocks and short-selling bottom quintile (overvalued) stocks based on the pricing errors calculated in the first stage analysis. Both cumulative and annual buy-and-hold returns are estimated across up to five-years' time windows (from T+1 to T+5) based on the findings in Nissim and Penman (2001) that most earnings advantages disappear within the upcoming five years.

Data

Three data sources are used to conduct the research: (1) Compustat Global for accounting information; (2) I/B/E/S for share price, actual EPS, forecasted EPS, and sector classification; and (3) Datastream for 10-year Gilt yields and FTSE 100 index. In contrast to US data where all companies are identified by CUSIP (Committee on Uniform Security Identification Procedures) across different data sources, UK data need an additional effort to match the companies in Compustat Global and I/B/E/S. This is because Compustat Global uses ISIN (International Securities Identifying Number) and SEDOL (Stock Exchange Daily Official List) while I/B/E/S uses CUSIP as a company identification code. To match ISIN (or SEDOL) with CUSIP, the unique six digits consistently observed across the codes are compared (according to the characteristics of the codes). Specifically, the last six digits in CUSIP are the same as the first six digits in SEDOL, and the same as the middle six digits (from 5th to 10th) in ISIN. To ensure the code matching is conducted in a right way, company names (not only current but also historical names) are additionally matched for each case. Finally, 2,531 companies are confirmed as being listed in both Compustat Global and I/B/E/S. The research covers from 1988 to 2008, the full time period available from both Compustat Global and I/B/E/S, to make a general interpretation for UK companies.

Results

Descriptive Statistics

Table II describes the mean, median, standard deviation and nine different percentile values for the multiples. Due to the relative size difference between value drivers, direct comparison between the multiples is not very meaningful. However, interestingly, when the results are compared to those in Liu et al. (2002), the size of values for multiples are very similar to those in the US implying comparable assumptions and methodologies are employed. Additionally, when the mean and the median are compared within the multiple, the mean is always higher than the median indicating all multiples are skewed to the right. This is probably due to the bounds in multiples: value drivers can go up without limit allowing extremely positive multiples, but cannot go down below zero restricting multiples to stay above zero.

The correlations between multiples are described in Table III. The two interesting findings are: (1) by drawing a vertical line between SALES/TP and EPS1/P, different patterns are clearly observed on each side: the correlations on the left side are considerably low (i.e., mostly smaller than 0.5), whereas those on the right side are significantly high (i.e., mostly larger than 0.5). This implies historical and forecasted data do not share common information to a large extent. More interestingly, multiples using forecasted data, especially earnings forecasts, are highly correlated with each other, but those using historical data are not particularly correlated even between themselves; and (2) models using future dividends (i.e., D^*/P and three DDMs) are rarely correlated with any multiples using historical data indicating dividend payout forecasts are less relevant to the firm's historical performances.

Pricing Errors Analysis

Harmonic Mean and Simple Median Measures

Table IV displays the main result of the pricing errors analysis. The table consists of three panels according to the methodologies used in multiple calculations: the

Table II

Descriptions of the Multiples

The mean, median, standard deviation and nine percentile values are displayed for the multiples. Horizontal lines are drawn to categorise price multiples with same characteristics: multiples using historical data, multiples using forecasted data and fundamental valuation model multiples.

	Mean	Median	SD	Percentile								
				1%	5%	10%	25%	50%	75%	90%	95%	99%
BV/P	0.626	0.496	0.540	0.043	0.115	0.173	0.301	0.496	0.798	1.193	1.520	2.404
IACT/P	0.080	0.070	0.075	0.007	0.021	0.032	0.049	0.070	0.099	0.136	0.168	0.252
EBITDA/P	0.186	0.156	0.150	0.022	0.054	0.074	0.109	0.156	0.223	0.314	0.396	0.669
SALES/P	1.984	1.301	2.332	0.134	0.289	0.399	0.698	1.301	2.332	4.156	6.061	11.826
EBITDA/TP	0.137	0.126	0.077	0.019	0.047	0.066	0.092	0.126	0.168	0.217	0.257	0.385
SALES/TP	1.450	1.049	1.444	0.120	0.241	0.332	0.576	1.049	1.771	2.896	4.128	7.385
EPS1/P	0.085	0.075	0.045	0.015	0.030	0.041	0.056	0.075	0.103	0.140	0.170	0.246
EPS2/P	0.099	0.087	0.051	0.022	0.040	0.050	0.066	0.087	0.119	0.161	0.196	0.284
EG1/P	0.109	0.096	0.056	0.024	0.044	0.055	0.073	0.096	0.132	0.178	0.217	0.314
EG2/P	0.010	0.009	0.006	0.002	0.003	0.004	0.006	0.009	0.013	0.018	0.022	0.034
ES1/P	0.551	0.484	0.285	0.131	0.231	0.284	0.367	0.484	0.661	0.897	1.094	1.601
ES2/P	0.463	0.404	0.243	0.112	0.196	0.238	0.306	0.404	0.556	0.759	0.925	1.363
D*/P	0.026	0.023	0.020	0.002	0.005	0.007	0.011	0.023	0.036	0.051	0.063	0.093
P1/P	2.128	1.777	1.358	0.484	0.806	0.961	1.267	1.778	2.574	3.711	4.610	7.204
P2/P	0.910	0.776	0.555	0.196	0.320	0.400	0.553	0.776	1.120	1.570	1.913	2.844
P3/P	3.212	2.609	2.371	0.611	0.907	1.116	1.671	2.609	3.989	6.009	7.527	11.888
P4/P	2.559	2.093	1.854	0.475	0.731	0.912	1.341	2.093	3.195	4.735	5.960	9.490
D1/P	0.740	0.596	0.625	0.081	0.140	0.181	0.303	0.596	0.970	1.456	1.883	3.051
D2/P	0.142	0.125	0.104	0.017	0.030	0.038	0.063	0.125	0.190	0.267	0.338	0.516
D3/P	2.820	1.435	5.109	0.179	0.299	0.390	0.681	1.435	3.197	5.459	8.078	27.997

Table III

Correlations between Multiples

	BV/P	IACT/P	EBITDA/P	SALES/P	EBITDA/TP	SALES/TP	EPS1/P	EPS2/P	EG1/P	EG2/P	ES1/P	ES2/P	D*/P	P1/P	P2/P	P3/P	P4/P	D1/P	D2/P	D3/P
BV/P	1																			
IACT/P	0.2	1																		
EBITDA/P	0.6	0.3	1																	
SALES/P	0.4	0.27	0.1	1																
EBITDA/TP	0.4	0.25	0.50	0.1	1															
SALES/TP	0.3	0.28	0.80	0.39	0.1	1														
EPS1/P	0.3	0.23	0.34	0.91	0.42	0.1	1													
EPS2/P								1												
EG1/P									1											
EG2/P										1										
ES1/P											1									
ES2/P												1								
D*/P													1							
P1/P														1						
P2/P															1					
P3/P																1				
P4/P																	1			
D1/P																		1		
D2/P																			1	
D3/P																				1

Table IV

Pricing Errors for Multiples using Harmonic Mean and Simple Median

Comparable firms are based on either the same sector or the entire cross-section. Price estimations are measured as: $p_i = \beta x_i + \varepsilon_i$, multiples are measured as: $\beta = 1/E\left(\frac{x_i}{p_i}\right)$, the harmonic mean is used in Panel A and B, and the simple median is used in Panel C, and pricing error is $\frac{\varepsilon_i}{p_i} = \frac{p_i - \beta x_i}{p_i}$.

Panel A: Multiples using Harmonic Mean of Firms from the Same Sector							
	Mean	Median	SD	Ranges			
				25%-75%	10%-90%	5%-95%	1%-99%
BV/P	0.000	0.177	0.785	0.768	1.564	2.127	3.446
IACT/P	0.000	0.087	0.732	0.545	1.173	1.630	2.801
EBITDA/P	0.000	0.125	0.695	0.564	1.188	1.672	3.185
SALES/P	0.000	0.293	1.008	0.830	1.806	2.716	4.940
EBITDA/TP	-0.291	-0.111	0.955	0.719	1.558	2.204	4.139
SALES/TP	-0.285	0.099	1.320	1.072	2.331	3.475	6.447
EPS1/P	0.000	0.074	0.465	0.487	1.028	1.448	2.412
EPS2/P	0.000	0.083	0.456	0.458	0.986	1.400	2.380
EG1/P	0.000	0.083	0.456	0.458	0.986	1.400	2.380
EG2/P	0.000	0.083	0.456	0.458	0.986	1.400	2.380
ES1/P	0.000	0.085	0.458	0.456	0.982	1.384	2.366
ES2/P	0.000	0.086	0.456	0.455	0.981	1.385	2.351
D*/P	0.000	0.069	0.567	0.631	1.306	1.758	2.733
P1/P	0.000	0.089	0.482	0.457	0.993	1.408	2.447
P2/P	0.000	0.109	0.541	0.560	1.151	1.551	2.547
P3/P	0.000	0.111	0.533	0.520	1.084	1.509	2.519
P4/P	0.000	0.123	0.581	0.595	1.212	1.637	2.669
D1/P	0.000	0.081	0.572	0.593	1.258	1.716	2.855
D2/P	0.000	0.076	0.545	0.586	1.249	1.693	2.692
D3/P	0.000	0.083	0.578	0.594	1.260	1.718	2.865

Panel B: Multiples using Harmonic Mean of Firms from the Entire Cross-Section							
	Mean	Median	SD	Ranges			
				25%-75%	10%-90%	5%-95%	1%-99%
BV/P	0.000	0.186	0.849	0.778	1.606	2.191	3.627
IACT/P	0.000	0.090	0.777	0.570	1.212	1.673	2.854
EBITDA/P	0.000	0.141	0.785	0.593	1.240	1.748	3.295
SALES/P	0.000	0.335	1.143	0.826	1.863	2.860	5.857
EBITDA/TP	-0.332	-0.134	1.060	0.786	1.656	2.339	4.369
SALES/TP	-0.342	0.110	1.544	1.093	2.513	3.856	7.773
EPS1/P	0.000	0.075	0.480	0.509	1.087	1.494	2.490
EPS2/P	0.000	0.086	0.470	0.478	1.033	1.440	2.432
EG1/P	0.000	0.087	0.469	0.479	1.029	1.438	2.435
EG2/P	0.000	0.097	0.500	0.504	1.087	1.532	2.554
ES1/P	0.000	0.089	0.472	0.477	1.027	1.435	2.435

ES2/P	0.000	0.089	0.471	0.477	1.026	1.436	2.432
D*/P	0.000	0.064	0.572	0.691	1.389	1.805	2.719
P1/P	0.000	0.096	0.503	0.480	1.035	1.454	2.532
P2/P	0.000	0.111	0.567	0.588	1.196	1.608	2.637
P3/P	0.000	0.127	0.585	0.557	1.172	1.615	2.733
P4/P	0.000	0.131	0.609	0.609	1.281	1.728	2.808
D1/P	0.000	0.073	0.590	0.638	1.319	1.743	2.793
D2/P	0.000	0.064	0.554	0.641	1.308	1.739	2.679
D3/P	0.000	0.076	0.598	0.638	1.323	1.752	2.823

accurate multiples (e.g., BV/P and SALES/P) have a less steep curve and more observations in the extremes compared to P1, EPS2 and ES2.

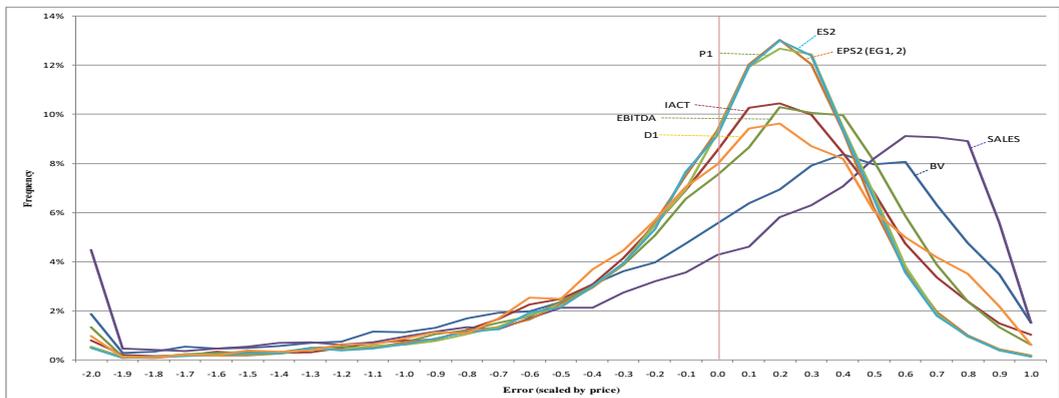


Figure 1. Distribution of pricing errors. The graph demonstrates the distribution of pricing errors for representative multiples. Multiples are estimated using the harmonic mean of firms from the same sector, and pricing errors are pooled across years. The multiples are as described in Table II. The more peaked distribution the multiple has around the zero vertical line, the more accurate it is. Horizontal axis represents pricing errors in every 10% scaled by price, and vertical axis represents the percentage of observations.

Among multiples using historical data, earnings multiples perform the best, followed by book value multiple, and sales multiple in descending order, consistent with Liu et al. (2002). Between earnings multiples, IACT/P that eliminate one-time transitory components outperforms EBITDA/P. Multiples based on enterprise value (i.e., EBITDA/TP and SALES/TP) perform worse than those based on equity value, although enterprise value is theoretically more appropriate for those value drivers.

Panel B of Table IV demonstrates the pricing errors for multiples using the harmonic mean of entire firms. Generally, errors are larger than those reported in Panel A. This is consistent with Alford (1992) and Bhojraj and Lee (2002) that comparable firms selected from the same sector contain better information than those from the cross-section. However, the rankings and patterns are still consistent with those in Panel A, similar to in the US. To be sure, the performances of EPS2, EG1 and EG2 are no longer same because cross-sectional sample is used for the comparable firms in Panel B: EPS2 and EG1 outperform EG2, and the differences between EPS2 and EG1 are negligible. P1 still places in the first group with EPS2, EG1, ES1 and ES2.

Figure 2 demonstrates the trend of interquartile ranges for multiples over time based on the results in Panel A. Consistent with the patterns in Figure 1, multiples are classified into three groups in general and their rankings are surprisingly consistent across the time even though their absolute values fluctuate. Two interesting findings are: (1) the performances of dividend models (i.e., D*/P and DDMs) deteriorate significantly over time: They are considered as one of the most accurate models before 1992, but become one of the least precise models in late 2000s. Surprisingly, this period coincides

with the changes in preferences for D/Y among financial analysts (Block (1999), Demirakos et al. (2004) and Imam et al. (2008)). Block (1999) explains the decreasing popularity of D/Y is due to its decreasing accuracy in estimation when the market is growing rapidly; and (2) when the market is overheated, the accuracy of valuation models decrease sharply. Specifically, the interquartile ranges increase significantly across multiples just before the dot.com boom in 2000, followed by a sharp drop when the boom ended. This pattern is consistent with the findings in Trueman et al. (2000) that traditional valuation models do not work appropriately during the market bubble period.

A Regression Measure

This paper employs a regression methodology whose performances are rarely tested in accounting literature despite its popular usage in practice. The results for multiples using a regression measure are reported in Table V: the overall rankings and patterns are consistent with those reported in Table IV, although there are some differences between them.

Comparing the interquartile ranges in Panel A and B of Table V, I discover some different trends from those observed in Table IV. The interquartile ranges of multiples based on the same sector firms are not always smaller than those of multiples based on the entire firms. This is evident especially for the multiples using historical values. In addition, SALES/P outperforms BV/P in Panel B, and EBITDA/P outperforms IACT/P. Despite these conflicting facts with those observed

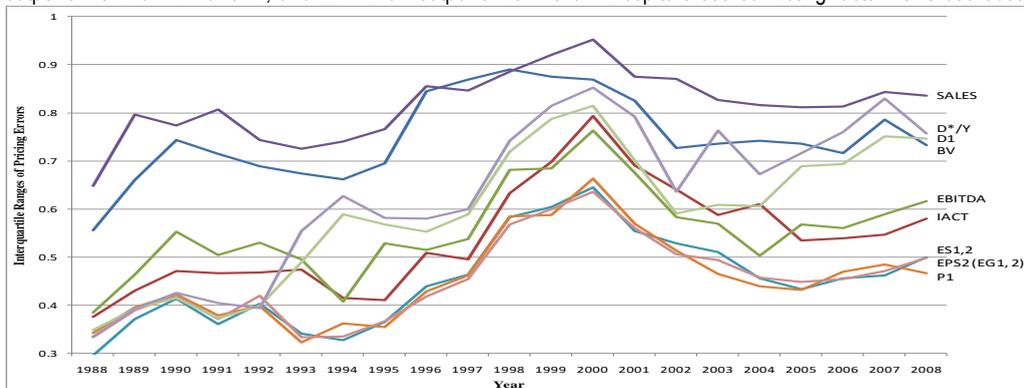


Figure 2. Interquartile ranges across time. Table V

Pricing Errors for Multiples using a Regression

The ordinary least squares (OLS) regression is used to estimate multiples. Comparable firms are based on either the same sector or the entire cross-section. Price estimations are measured as: $p_i = \beta x_i + \varepsilon_i$, and pricing error is $\frac{\varepsilon_i}{p_i} = \frac{p_i - \hat{\beta}x_i}{p_i}$.

Panel A: Multiples using Regression based on Firms from the Same Sector							
	Mean	Median	SD	Ranges			
				25%-75%	10%-90%	5%-95%	1%-99%
BV/P	0.094	0.266	0.744	0.694	1.460	2.022	3.258
IACT/P	0.040	0.126	0.591	0.572	1.202	1.686	2.814
EBITDA/P	0.061	0.184	0.666	0.563	1.182	1.670	3.166
SALES/P	0.169	0.420	0.863	0.717	1.532	2.242	4.207
EBITDA/TP	0.061	0.184	0.666	0.563	1.182	1.670	3.166
SALES/TP	0.169	0.420	0.863	0.717	1.532	2.242	4.207
EPS1/P	-0.025	0.059	0.501	0.526	1.105	1.519	2.584
EPS2/P	-0.075	0.028	0.519	0.517	1.094	1.582	2.704
EG1/P	-0.075	0.028	0.519	0.517	1.094	1.582	2.704
EG2/P	-0.075	0.028	0.519	0.517	1.094	1.582	2.704
ES1/P	-0.080	0.027	0.525	0.510	1.109	1.587	2.730
ES2/P	-0.079	0.026	0.523	0.509	1.106	1.574	2.709
D*/P	0.064	0.122	0.534	0.609	1.272	1.700	2.556
P1/P	-0.084	0.028	0.550	0.514	1.124	1.621	2.927

P2/P	-0.050	0.079	0.604	0.611	1.240	1.712	2.849
P3/P	-0.064	0.072	0.611	0.579	1.199	1.700	2.904
P4/P	-0.031	0.112	0.638	0.629	1.288	1.783	2.923
D1/P	0.009	0.080	0.572	0.604	1.307	1.772	2.888
D2/P	0.019	0.081	0.545	0.589	1.276	1.715	2.666
D3/P	0.008	0.080	0.577	0.606	1.312	1.776	2.918
Panel B: Multiples using Regression based on Firms from the Entire Cross-Section							
	Mean	Median	SD	Ranges			
				25%-75%	10%-90%	5%-95%	1%-99%
BV/P	0.142	0.317	0.731	0.680	1.404	1.914	3.236
IACT/P	0.096	0.186	0.634	0.543	1.157	1.578	2.702
EBITDA/P	0.138	0.264	0.675	0.537	1.108	1.569	2.989
SALES/P	0.224	0.490	0.904	0.633	1.459	2.232	4.585
EBITDA/TP	0.138	0.264	0.675	0.537	1.108	1.569	2.989
SALES/TP	0.224	0.490	0.904	0.633	1.459	2.232	4.585
EPS1/P	-0.002	0.089	0.501	0.521	1.122	1.556	2.605
EPS2/P	-0.062	0.048	0.522	0.524	1.127	1.604	2.729
EG1/P	-0.063	0.048	0.522	0.524	1.124	1.598	2.736
EG2/P	-0.044	0.074	0.544	0.542	1.167	1.640	2.809
ES1/P	-0.064	0.049	0.524	0.517	1.125	1.580	2.683
ES2/P	-0.064	0.049	0.522	0.517	1.120	1.580	2.680
D*/P	0.080	0.136	0.532	0.624	1.286	1.689	2.574
P1/P	-0.019	0.078	0.554	0.525	1.178	1.665	2.754
P2/P	-0.030	0.102	0.601	0.623	1.262	1.708	2.836
P3/P	-0.020	0.122	0.618	0.582	1.222	1.680	2.896
P4/P	0.005	0.150	0.622	0.619	1.281	1.746	2.874
D1/P	0.072	0.132	0.576	0.645	1.323	1.749	2.789
D2/P	0.035	0.096	0.544	0.609	1.279	1.718	2.654
D3/P	0.075	0.136	0.583	0.650	1.337	1.758	2.824

in Table IV, I still believe these adverse patterns are not significant because the standard deviations of them still follow the consistent trend for most multiples.

Another interesting result from Table V is the rankings of RIMs are different between Panel A and B. Panel A displays the same ranking as that observed in Table IV: P1 performs the best, followed by P3, P2, and P4 in decreasing order. However, the ranking in Panel B is P1, P3, P4, and P2 in descending order, changing the position between P4 and P2. These conflicting rankings show that the appropriateness of terminal values is dependent on circumstances such as methodologies or underlying assumptions, confirming the inference I drew previously.

Overall, multiples using a regression have larger pricing errors than those for multiples using the harmonic mean. Therefore, results in Panel A of Table IV, that have smallest pricing errors, are used for the sector rankings analysis and the time-series returns analysis.

Time-Series Returns Analysis

The second stage analysis employs 9,518 firm-years and covers 892 British firms from 1988 to 2007. Year 2008 prices are not used because I/B/E/S provides prices only up to March of 2008, which are not suitable to estimate year-end based annual returns. To measure the time-series returns for up to forthcoming five years (i.e., from T+1 to T+5), year 2003 to 2007 are not used as the target years.

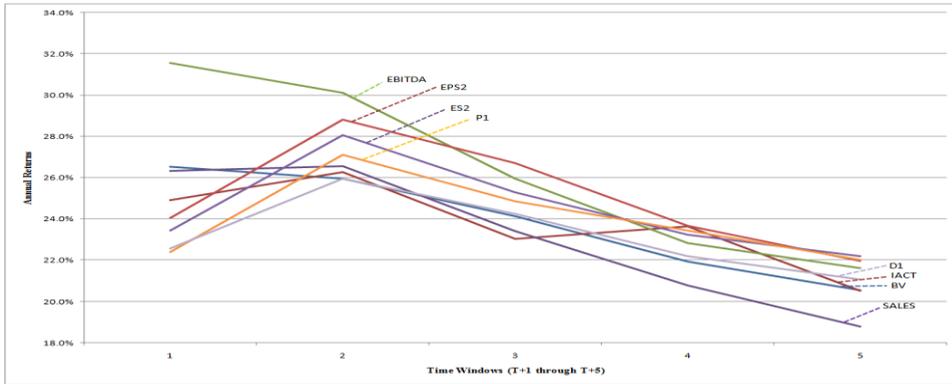
The summary of buy-and-hold returns is reported in Table VII and the detailed data are contained in appendix B. The most important and surprising result is the rankings of multiples between the pricing errors analysis and the time-series returns analysis are significantly consistent: Forward earnings multiples (including RIMs) performs the best, followed by IACT/P, EBITDA/P and dividend models, placing BV/P third and SALES/P last. However, one interesting finding is that P2, P3 and P4 perform similar to P1 or other forward earnings multiples in the time-series returns analysis, contrary to the results in the pricing errors analysis. This indicates RIM delivers similar performance to that of forward earnings multiples in terms of returns generation, but its accuracy varies depending on its terminal value assumptions. **Table VII**

Buy-and-Hold Time-Series Returns

A quintile based buy-and-hold returns are used across up to five years: buying stocks in the top quintile and short-selling stocks in the bottom quintile. Quintiles are generated based on pricing errors for multiples that use the harmonic mean of firms from the same sector.

Panel A: Mean of Buy-and-Hold Returns										
	Annual					Cumulative				
	T+1	T+2	T+3	T+4	T+5	T+1	T+2	T+3	T+4	T+5
BV	26.5%	26.0%	24.1%	21.9%	20.5%	26.5%	55.4%	82.0%	105.8%	130.0%
IACT	24.9%	26.3%	23.0%	23.6%	20.5%	24.9%	56.1%	78.3%	115.3%	130.9%
EBITDA	31.5%	30.1%	25.9%	22.8%	21.6%	31.5%	64.8%	89.5%	111.6%	139.5%
SALES	26.3%	26.6%	23.4%	20.8%	18.8%	26.3%	56.7%	79.7%	100.1%	119.4%
EBITDA/TP	29.6%	29.6%	26.1%	23.5%	22.2%	29.6%	63.7%	89.8%	114.9%	144.2%
SALES/TP	25.7%	26.1%	23.3%	20.7%	18.9%	25.7%	55.7%	79.2%	99.6%	120.5%
EPS1	25.7%	28.0%	25.1%	23.3%	21.6%	25.7%	59.9%	86.3%	113.5%	138.0%
EPS2	24.0%	28.8%	26.7%	23.7%	21.9%	24.0%	61.9%	92.1%	116.3%	141.8%
ES1	22.6%	27.3%	25.1%	23.9%	22.9%	22.6%	58.4%	85.8%	116.8%	147.6%
ES2	23.4%	28.1%	25.3%	23.2%	22.2%	23.4%	60.2%	86.8%	113.7%	143.3%
D*/P	24.1%	26.7%	24.0%	21.7%	20.9%	24.1%	57.0%	81.7%	104.5%	132.3%
P1	22.4%	27.1%	24.9%	23.4%	22.0%	22.4%	58.0%	85.1%	114.8%	142.0%
P2	25.9%	27.5%	26.2%	24.1%	22.6%	25.9%	58.9%	90.1%	118.4%	145.8%
P3	24.9%	27.3%	25.7%	23.7%	22.7%	24.9%	58.5%	88.1%	115.7%	146.8%
P4	25.5%	27.0%	26.3%	23.9%	22.4%	25.5%	57.9%	90.5%	117.2%	144.8%
D1	22.5%	26.0%	24.2%	22.2%	21.1%	22.5%	55.3%	82.6%	107.6%	134.3%
D2	24.0%	26.1%	24.4%	22.8%	21.6%	24.0%	55.7%	83.1%	110.9%	138.2%
D3	22.5%	25.9%	24.2%	22.1%	21.0%	22.5%	55.1%	82.5%	107.1%	133.4%
Panel B: Median of Buy-and-Hold Returns										
	Annual					Cumulative				
	T+1	T+2	T+3	T+4	T+5	T+1	T+2	T+3	T+4	T+5
BV	2.0%	4.5%	5.6%	6.8%	6.5%	2.0%	9.6%	19.4%	32.2%	39.9%
IACT	1.5%	3.8%	7.0%	8.8%	5.7%	1.5%	8.1%	24.0%	41.4%	37.1%
EBITDA	6.1%	6.8%	8.7%	7.7%	6.7%	6.1%	14.4%	29.7%	37.2%	42.8%
SALES	1.7%	4.1%	5.6%	5.2%	5.6%	1.7%	8.8%	19.8%	26.5%	36.9%
EBITDA/TP	5.6%	6.8%	8.6%	8.2%	6.7%	5.6%	14.4%	29.2%	39.5%	42.8%
SALES/TP	1.0%	3.9%	5.6%	5.1%	5.4%	1.0%	8.4%	19.6%	25.7%	35.7%
EPS1	2.2%	5.1%	7.3%	8.2%	7.0%	2.2%	10.7%	25.1%	38.6%	43.1%
EPS2	2.3%	5.5%	8.6%	8.7%	6.9%	2.3%	11.6%	29.3%	41.5%	43.1%
ES1	1.6%	4.4%	7.5%	8.3%	7.9%	1.6%	9.3%	25.0%	38.1%	47.4%
ES2	1.5%	4.3%	7.4%	8.4%	7.3%	1.5%	9.2%	25.3%	39.7%	44.6%
D*/P	-1.3%	2.1%	4.0%	5.6%	4.8%	-1.3%	4.8%	14.3%	26.8%	30.5%
P1	0.8%	3.8%	7.0%	8.5%	7.2%	0.8%	8.2%	23.8%	40.4%	44.3%
P2	2.2%	4.9%	7.1%	8.4%	7.7%	2.2%	10.4%	24.3%	40.4%	48.3%
P3	2.0%	4.3%	7.6%	8.2%	7.1%	2.0%	9.3%	26.1%	39.2%	44.5%
P4	1.6%	5.1%	7.5%	8.0%	7.4%	1.6%	10.9%	25.6%	38.5%	46.7%
D1	-1.0%	1.4%	4.3%	6.2%	5.8%	-1.0%	3.3%	15.3%	29.8%	36.0%
D2	-0.9%	2.4%	4.7%	7.1%	6.1%	-0.9%	5.3%	16.4%	33.7%	38.0%
D3	-1.0%	1.1%	4.1%	6.1%	5.7%	-1.0%	2.6%	14.7%	29.2%	35.9%

Panel A: Annual mean buy-and-hold returns



Panel B: Cumulative mean buy-and-hold returns

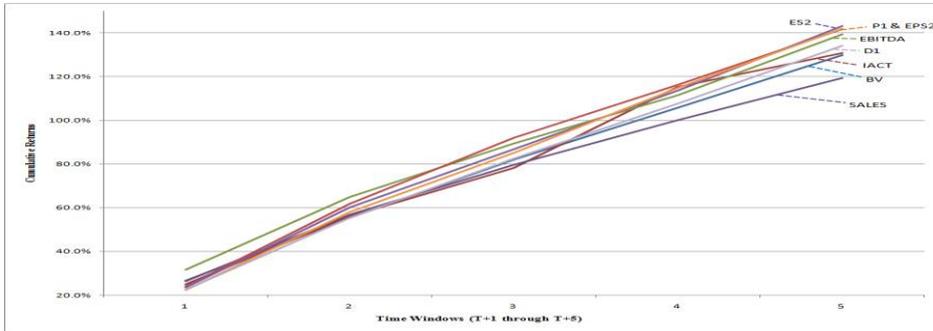
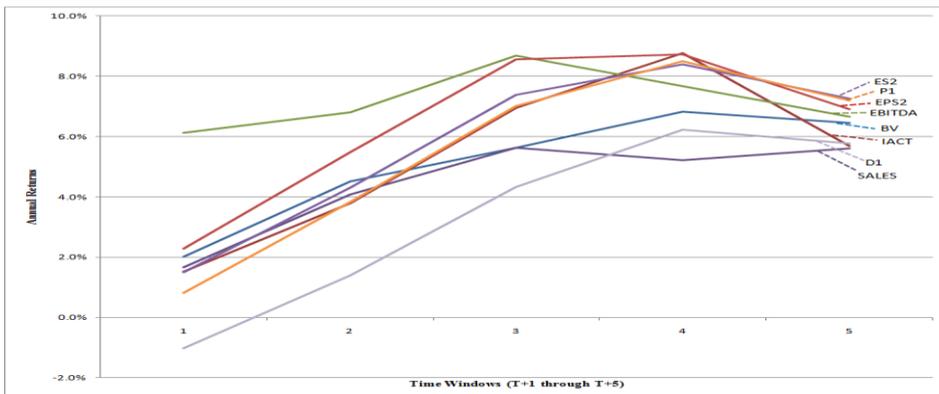


Figure 4. Mean buy-and-hold returns.

Panel A: Annual median buy-and-hold returns



Panel B: Cumulative median buy-and-hold returns

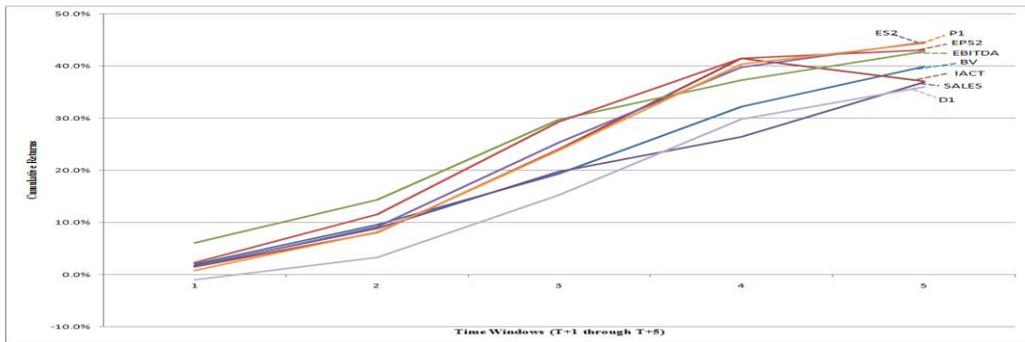


Figure 5. Median buy-and-hold returns.

Conclusions

The research is motivated by the conflicting preferences for equity valuation models in accounting and finance field. It aims to answer one main question: can the superior models in accounting field be superior in finance field? This means whether the rankings of models in pricing errors terms are consistent with those in time-series returns terms. To match the rankings of models in two different terms, I conduct two different analyses – pricing errors analysis and time-series returns analysis – for various multiples.

The most important finding in this paper is the rankings of multiples in both analyses are significantly consistent: Forward earnings multiples including P1/P performs the best, followed by historical earnings multiples, and DDMs for the third, leaving BV/P and SALES/P at the end. The consistent rankings indicate that the findings in accounting research have practical implications to analysts and investors. One exception is the rankings of the other RIMs (i.e., P2, P3 and P4): they perform considerably worse than P1 in the pricing errors analysis, however, their performances are similar to P1 or other forward earnings multiples in the time-series returns analysis. This implies residual income model produces similar performance to that of forward earnings multiples in terms of returns generation, but its accuracy varies depending on its terminal value assumptions. The main difference between the UK and the US in pricing errors analysis is the rankings of multiples are rather grouped than separated individually, even though overall rankings of individual multiples are consistent. This pattern is observed throughout the research for UK firms. In the sector rankings analysis, I find the consistent rankings that forward earnings multiples including P1 dominate the top four places across sectors. However, the specific rankings between those models within the group change depending on sectors so it is hard to say which one is the best.

In the time-series returns analysis, two interesting findings are observed: (1) short-selling strategy tends to rely on a relatively small number of extreme returns, resulting in positive mean returns between 5% and 13% per annum and negative median returns between -0.6% and -6.5%. This indicates more than half of short-selling investments actually generate negative returns so it might be more profitable in general if the strategy is not used; and (2) buy-and-hold returns tend to generate the most reliable annual returns between T+2 and T+4. This time period is exactly identical with the period that value investment strategy produces its highest annual returns, contrary to momentum strategy that generates its highest returns within one year. This corresponding period is reasonable because buy-and-hold strategy is basically the same as value investment strategy. This paper is unable to answer what are the main factors that improve or deteriorate the performances of residual income models. I leave the answer to this question to future research.

References

- [1] Arnold, John, and Peter Moizer, 1984, A survey of the methods used by UK investment analysts to appraise investments in ordinary shares, *Accounting and Business Research* 14, 195-207.
- [2] Baker, Malcolm, and Richard S. Ruback, 1999, Estimating industry multiples, Working paper, Harvard University.
- [3] Barker, Richard G., 1999a, Survey and market-based evidence of industry-dependence in analysts' preferences between the dividend yield and price-earnings ratio valuation models, *Journal of Business Finance and Accounting* 26, 393-418.

- [4] Barker, Richard G., 1999b, The role of dividends in valuation models used by analysts and fund managers, *European Accounting Review* 8, 195-218.
- [5] Bernard, Victor L., 1995, The Feltham-Ohlson framework: Implications for empiricists, *Contemporary Accounting Research* 11, 733-747.
- [6] Biddle, Gary C., Robert M. Bowen, and James S. Wallace, 1997, Does EVA beat earnings? Evidence on associations with stock returns and firm values, *Journal of Accounting and Economics* 24, 301-336.
- [7] Block, Stanley B., 1999, A study of financial analysts: Practice and theory, *Financial Analysts Journal* 55, 86-95.
- [8] Bradshaw, Mark T., 2002, The use of target prices to justify sell-side analysts' stock recommendations, *American Accounting Association* 16, 27-41.
- [9] Brav, Alon, John R. Graham, Campbell R. Harvey, and Roni Michaely, 2005, Payout policy in the 21st century, *Journal of Financial Economics* 77, 483-527.
- [10] Copeland, T., Tim Koller, and Jack Murrin, 2000, *Valuation: Measuring and Managing the Value of Companies* (John Wiley and Sons, New York).
- [11] Courteau, Lucie, Jennifer L. Kao, and Gordon D. Richardson, 2001, Equity valuation employing the ideal versus ad hoc terminal value expressions, *Contemporary Accounting Research* 18, 625-661.
- [12] Demirakos, Efthimios G., Norman C. Strong, and Martin Walker, 2004, What valuation models do analysts use?, *Accounting Horizons* 18, 221-240.
- [13] Dimson, Elroy, Paul Marsh, and Mike Staunton, 2006, The worldwide equity premium: A smaller puzzle, Working paper, London Business School.
- [14] Fama, Eugene F., 1970, Efficient capital markets: A review of theory and empirical work, *Journal of Finance* 25, 383-417.
- [15] Firth, M., 1976, The impact of earnings announcements on the share price behavior of similar type firms, *Economic Journal* 86, 296-306.
- [16] Forker, John, and Ronan Powell, 2008, A comparison of error rates for EVA, residual income, GAAP-earnings and other metrics using a long-window valuation approach, *European Accounting Review* 17, 471-502.
- [17] Frankel, Richard, and Charles M. C. Lee, 1998, Accounting valuation, market expectation, and cross-sectional stock returns, *Journal of Accounting and Economics* 25, 283-319.
- [18] Gode, Dan, and James A. Ohlson, 2006, A unified valuation framework for dividends, free-cash flows, residual income, and earnings growth based models, Working paper, New York University and Arizona State University.
- [19] Goedhard, Marc, Timothy Koller, and David Wessels, 2005, The right role for multiples in valuation, *McKinsey on Finance* 15, 7-11.
- [20] Imam, Shahed, Richard Barker, and Colin Clubb, 2008, The use of valuation models by UK investment analysts, *European Accounting Review* 17, 503-535.
- [21] Kaplan, Steven N., and Richard S. Ruback, 1995, The valuation of cash flow forecasts: An empirical analysis, *Journal of Finance* 50, 1059-1093.
- [22] Kim, Moonchul, and Jay R. Ritter, 1999, Valuing IPOs, *Journal of Financial Economics* 53, 409-437.
- [23] Lee, Charles M. C., James Myers, and Bhaskaran Swaminathan, 1999, What is the intrinsic value of the Dow?, *Journal of Finance* 54, 1693-1741.
- [24] Liu, Jing, Doron Nissim, and Jacob Thomas, 2002, Equity valuation using multiples, *Journal of Accounting Research* 40, 135-172.
- [25] Nissim, Doron, and Stephen H. Penman, 2001, Ratio analysis and equity valuation: From research to practice, *Review of Accounting Studies* 6, 109-154.
- [26] Palepu, Krishna G., Paul M. Healy, Victor L. Bernard, and Erik Peek, 2007, *Business Analysis and Valuation, IFRS Edition* (Cengage Learnings EMEA, London).
- [27] Penman, Stephen H., 1996, The articulation of price-earnings ratios and market-to-book ratios and the evaluation of growth, *Journal of Accounting Research* 34, 235-259.
- [28] Penman, Stephen H., 1998, A synthesis of equity valuation techniques and the terminal value calculation for the dividend discount model, *Review of Accounting Studies* 2, 303-323.
- [29] Penman, Stephen H., 2009, *Financial Statement Analysis and Security Valuation* (McGraw-Hill, Europe).

Language Through Communicative Activities in Upper-Level Students (Case Study: “Turgut Ozal” High School Tirane)

İsa Erbaş

PhD, Faculty of Philology and Education
Department of English Language and Literature, Bedër University, Tirana, Albania

MA Xhensika Vengo

Abstract

This study focuses on teaching and learning the English language through communicative activities and real-life context. Well-known scholars present the communicative approach as an effective in the process of language acquisition. This study examines problems that students encounter the most and the obstacles to language acquisition, such as problems with idioms, vocabulary, and grammar. This study also analyses some of communicative activities and instructions how to make these activities parts of their lesson plan, such as role plays, interviews, discussion and group work that have as a main focus teaching the English language inductively. The students and teachers were asked at “Turgut Ozal” High School of Tirana to complete the survey questionnaire related to communicative activities. The students and teachers gave their opinions related to the challenges that students encounter to participate in these activities. The results of the survey show that how much the students want to participate and learn the English language through communication, to talk about topics of interest and real-life context.

Key words: Teaching, learning, communicative approach, role play, discussion, group work, and interview.

Introduction

This study analyses the effect of communicative activities and tasks in the process of learning the English language. It focuses on the communicative principles, implementation, tasks that are given to students in order to achieve language acquisition. Another important factor pointed out is also the process of acquisition in itself. Considering the differences between the Albanian and English language, there are a considerable number of difficulties with idioms, collocations, grammar and so on. The focus of this study is the process of teaching and learning by using communicative activities, also to mention some of the difficulties that students encounter. The study will present some of the findings done by different scholars about teaching speaking through communication with high school students. The result of the study may encourage teachers to use methods that are student-centred, giving the students the opportunity to express their thoughts in the target language, self-correct and learn by their peer's errors, in order to be able to use the English language outside of the classroom. This study deals with the use of communicative activities in order to help students learn better the English language. These activities will help students learn in an inductive way with the focus on using English in a real-life situation rather than learning it in a traditional form.

Method of the Study

In this study, the qualitative and quantitative methods are both used. The qualitative method is used in terms describing the results of the questionnaire, the interpretation of the graphs and also by analysing the textbook focused on speaking activities. The qualitative method is used by collecting data, analysing and after that the findings are conducted. Based on this data the conclusions are made and recommendation for future studies as well.

Communicative approach

Teachers from different countries and in different periods of time tend to use different teaching methods according to their students' needs. The Communicative approach is one of the most used methods and it gives students the opportunity to use language in real-life situations.

According to Richards the communicative approach is "Set of principles about the goals of language teaching, how learners learn a language, the kinds of classroom activities that best facilitate learning, and the roles of teachers and learners in the classroom" (Richards, 2006, p. 2).

The focus of this approach is that the students have the ability to use language in terms of communication, to learn how to use the language to reach their purposes, to learn to use it correctly according to the people that they are communicating with, or to know to write different types of texts.

Seheri presents some of the principles of this approach. It gives a strong emphasis on learning how to communicate by using the target language, the use of authentic materials to promote communication. Learners should focus on learning the process, and they should have intrinsic motivation. This approach is also focused on the personal experiences of students and in the way they use the target language outside the classroom. This approach has its focus on improving learners' communicative competence. Communicative competences can be divided into grammatical competence in terms of usage of grammar rules. The second one is sociolinguistic competence, to continue with discourse competence and the last one is strategic competence (Sreehari, Communicative Language Teaching: Possibilities and Problems, October 19, 2012).

Hamid claimed that this approach is not only focuses on the grammatical rules of the target language, but it focuses mainly on the way that learners choose to use these rules. Learners have to develop their communicative skills by relating the structures of the target language with communication outside the classroom. The communicative approach gives also teachers the opportunity to work with students meaningful tasks to create real-life situations (Hamid, anuari 1990).

Sociolinguistic level of a language is also important in this approach. In order to develop communicative skills, learners should also have knowledge about the culture and social norms of that country. Some of the activities are individual work, group work, role-play and discussion, and the teachers' role should be as a facilitator (Communicative Approach to The Teaching of English as a second language). Tasks like this would help students learn the English language inductively.

Teaching the English language based on oral communication

Methods that have the focus on the communication use practical techniques and are out of the boundaries of a traditional way of a lesson hour. Teachers should help students to understand the language as a system, so the students can have the opportunity to use even their background knowledge in order to build new concepts.

Teachers should explain to their students that language cannot be learned by learning words by their literal meaning and standing alone, because as we mentioned before language is a system, may be words that have more than one meaning, figurative meaning, it may be phrasal verb or idiom. Also, a student should be aware of the social meaning of the words, like for example the cases and the specific words that the student has to use during a formal or informal speaking activity.

Form Kuivamäki work it is cited that according to Folse, a teacher should take into consideration some facts before planning activities that encourage communication:

The students, the objectives and their language proficiency.

The curriculum and the program of the school.

The themes.

The specific kind of activity and task. (Kuivamäki, 2015, p. 16).

Even that is often mentioned that the focus should be communication, does not that mean that the teacher should not give importance to grammar, like taking into consideration if a teacher is planning to have a discussion upon water resources, first the learners should have acquired the new vocabulary and also the grammatical part, like sharing their last time of vacation. They should know how to use the past tenses.

Kuivamäki mentions in his work as Folse cites that: "When teachers design an oral communication activity, class or teaching in general, they should make a distinction between fluency and accuracy" (Kuivamäki, 2015, p. 17).

What Folse is transmitting is that knowing in a perfect way the target language does not make a teacher a good teacher. A good teacher should have the ability to make the lesson interesting for the learners, to manage well the speaking activities and the teacher must be the focus on the activities promoting fluency rather than accuracy. Before designing such tasks a teacher should think about topics that they have prior knowledge or some pieces of information given by the textbook, the second is that they have enough time to prepare the task and the teacher should also have as a principle to ask questions that promote critical thinking not just text comprehension.

Problems that influence language acquisition

Let us consider some of the problems that students encounter learning a second language. First of all, a teacher should consider the fact that not all students are alike, they have a different way of learning, different memory, different background knowledge, etc.

In order to understand why some students learn better a second language than other students, it should be taken into consideration the aptitude, motivation learning strategies, and learning style.

Aptitude is considered to be as one the cognitive ability; it may be included from the phonetic acquisition to grammar.

Motivation is another aspect that makes a difference in learning a new language. Motivation may be considered as the willingness of doing something. Lack of motivation is one of the problems why the learners have a problem with language acquisition.

Learning styles are considered to be as the styles that students prefer to learn. Each student is different and each of them has a different way of learning. The problem that is encountered in language acquisition is if a teacher's style and strategies are according to their style. Learning strategies are considered to be actions that a learner uses in order to have an appropriate acquisition of that language, such may be writing new vocabulary, completing exercises related to grammar, and performing role plays (Benati, 2010, p. 528).

It is the responsibility of a teacher to teach, and give instructions on different strategies if a teacher doesn't do that, the students will have problems to acquire the second language. Students have difficulties in different components of a language, such as grammar, syntax, morphology, semantics, etc. Firstly, it is because of the lack of quality and quantity of the information input. The environment outside of the classroom offers more to a student compared with what the student has taken inside of the classroom. Secondly, the lack of interaction with a native speaker. It helps more than the practice of language with their peers. Thirdly the influence of native language phonemes, sound and stress affect the second language (Alessandro G. Benati, 2010, p. 531)

Interview, discussions, role plays and group work

6.1. Interview

A teacher should be very careful in explaining what an interview is, after showing the examples, and then it is very necessary that the teacher check their grammatical competence of how well students know to form questions.

After having the first step, the second one is to help students be organized about what they are interested to know. It is very important to make students understand their goal and stay focused on their goal during all interview.

Students should prepare questions related with the topic, without taking in consideration if their questions are cleared or not, after having all the questions they may have a classification of the questions, taking in consideration different aspects, like the number of questions or if the questions are naughty. Part of their questions should be informal ones, in order to start a conversation and make it friendlier. At the end of an interview, it is the part of open-ended questions that require from the students to give their own opinion. Interviewing helps students develop their critical thinking, students who are good at answering questions are good at asking questions.

A very important part of the interview is the manner, the way of greeting, speaking and standing. The purpose of the teacher while having an interview as classroom activity is not just to develop their language level, also to develop the way the students answer, the way they organize their ideas and the way students deal with emotions. Interviews are very important as they present real-life situations, taking in consideration a job interview if the student does not know the way it is organized, questions that may have to answer, manners; he is not prepared for the world of work and will not be successful. Allocated time for an interview depends on teachers purposes. Before a teacher plans to have an interview in order to make it successful should be focused on:

Administrative procedures and make the students clear the procedures at the very beginning.

A teacher should be focused on the validity of the interview, so focused on the questions.

A teacher should give importance to the best performance.

Also a very important one, to create a scale in order to help a teacher assess the interview and be reliable with the scoring (Brown, 2003).

The challenge that teachers encounter to make interviews as part of the lesson plan is, because it requires a lot of time and during this time a teacher is only focused on two students, while the rest of class is passive.

6.2. Discussions

Discussions are the most used methods that a teacher tends to use nowadays, especially with upper-level students. One of the main aims of the teachers is to promote critical thinking and to help students organize ideas. Also through discussions, students learn how to listen and appreciate others opinions seen from a different point of view. By discussion, students help each other learn better by completing each other's gaps in knowledge.

In order to have an effective discussion, there are some strategies that teachers need to know if they want the discussion as part of their lesson plan. First of all, a teacher needs to set objectives, to be clear in a way what students need to achieve by the end of the activity. Secondly, a teacher should give the students the topic in order that they may be familiar with the topic and if it is needed to have any extra material. Lastly, a teacher must be careful to give the new vocabulary and new concepts to students.

During the discussion, a teacher should encourage students to ask questions and to be very careful to involve all students, as not everyone is comfortable to express their thoughts in public. The group work is very productive in discussions, as for example, the class may be divided into two groups one group supporting the topic and the other group not supporting. A discussion is a great tool for assessing students about their speaking skills. (Brown, Language Assessment Principles and classroom practices, September 2003, p. 175)

6.3. Role plays

Teachers make as part of their teaching methods, the role plays in order to use the English language as in everyday life. Role plays can be organized in different forms by the teacher, beginning as from a simple dialog and students read aloud by roles, presentation, theatrics performance, a performance of different English songs and so on. While performing a role play in a target language, this makes students easier to practice that language without being interrupted and help also to be more flexible and more collaborative with their team members. This makes also them take responsibilities for their team members and for the result at the end, each student should be responsible in order that their work to be appreciated by the audience, that may be the teacher, other teachers, the principal, etc.

Taking into consideration the fact that this study is focused on upper-level students, role plays organized may be like theatrics role plays. It is very important that students like the character that is going to present. The very beginning of the role-play starts from the script. Students should understand the script, having a deep comprehension of the script and what they can add something that belongs to them, this develops their creativity too.

Role plays may be of a different level of difficulties may be on different lengths but in each case, students must be instructed to involve in the cultural aspects, not only about the target language but also on gestures and everything that has to do with nonverbal communication. (Brown, Language Assessment Principles and classroom practices, September 2003, p. 174).

There are a lot of benefits from role plays; first of all, students have a better language acquisition as they use language in real life context. They improve their reading and comprehending skills as they are working with the script, they improve their vocabulary, use language fluently without being interrupted, this make a student be more confident while they speak in the target language. Communication is not isolated with just only one aspect; it is focused on spelling, intonation and all the gestures in order that the message can be transmitted up to perfection. Secondly, they learn to work and give feedback to other team members help each other improve themselves. Lastly, role plays promote cultural exploration, using gestures in a way that will not create misunderstanding.

6.4. Group work

Grouping students on different tasks have a lot of benefits, some of the benefits are like students reach a higher academic achievement through group works, it improves their collaborative skills, help them take responsibilities, help to develop their critical thinking and problem-solving skills, help students make decisions, empower the individual and learn how to communicative softly for reaching a common purpose (Effective Use of Group Work, 2010).

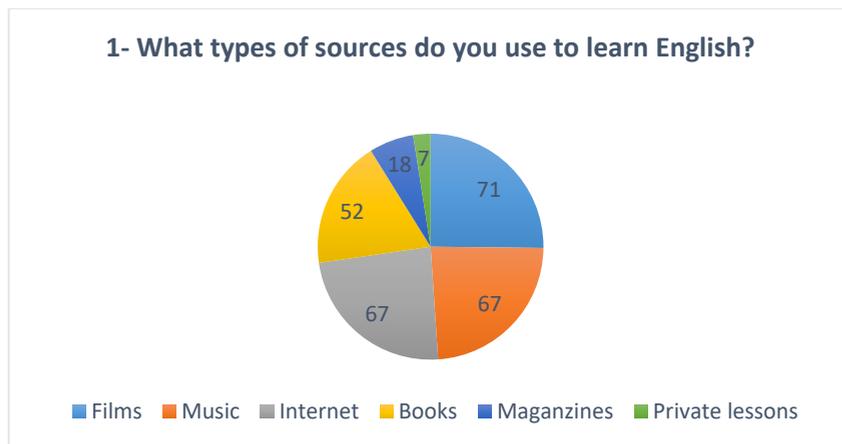
Burkel cited in his work that there are several numbers of advantages in using group work such as groups can find and resolve more quickly the tasks given rather than an individual, students by working in groups become more creative. Another advantage is also that students probably remember more a topic that has been discussed rather one just be told by the teacher. By working in groups students learn by doing and have responsibilities, this makes them be focused and not distracted during the lesson. Students become better by working in groups, they appreciate their team members' critics and they try to improve themselves. And the last and most important one that they learn how to work in groups, they know the strengths and limitation of the groups and help each other in order to achieve the best (Burke1, 2011).

There are also some challenges that teacher encounter when grouping students, such as the difficult management of the classroom, students may talk loudly, another disadvantage is that students start to discuss in a native language. For the students who are not talkative, may be difficult to express their thoughts in a group. The last one is that not all members are involved equally while completing a given task.

A task given as a group work might be problem-solving tasks, solving exercises, preparing timelines, sharing experiences, creative tasks, like cooking something, creating a poster, etc. It is very important that the teacher explains the task properly

in order not to become misinterpreted, make clear the procedures, time limitation if it will be as an assessed task and how it will be assessed.

The survey was conducted related to communicative activities, the survey was done through questionnaires. The participants were four English teachers of "Turgut Ozal" high school and with 84 students of the 10th and 11th grade, from four different classes. There were 42 females and 38 males from the age of 15-18 years old. The classes were chosen randomly. The questionnaires for the students and teachers were directly connected with the topic. Each of the participants was given a paper in which the aim of the research study was explained. The main goal of the survey was to understand better the methods used in a classroom, the student's needs and challenges in order to facilitate the process of learning. L



Let us see the students answers about the survey questions.

Figure 1. In order to understand the sources that students use to learn the language from their response the results were that 71 students prefer to learn the English language through films, 67 students prefer to learn by music, 67 students use the internet as their source of information, 52 students prefer to learn by books, 18 students learn from magazines and 7 students from private courses.

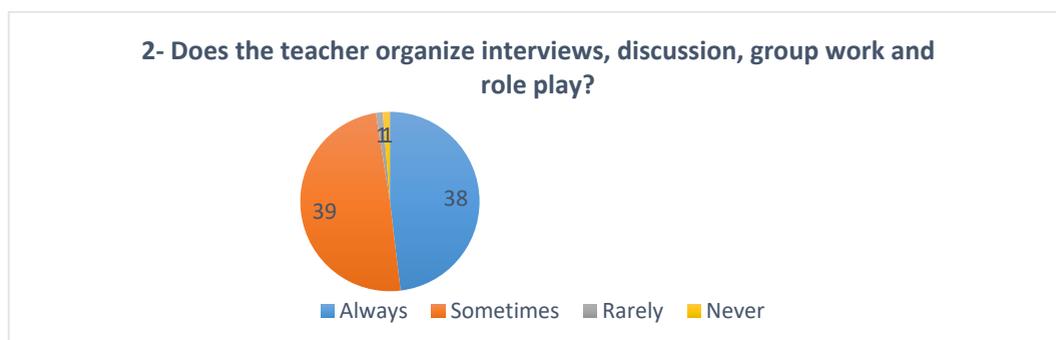


Figure 2. Students claimed that discussion, interviews, group work, and role play were part of their lesson, 39 of the students claimed that the teachers organize sometimes these activities, 38 of the students claimed that the teachers always organize these types of activities, 1 student claimed that rarely the teacher does and also just one student claimed that the teacher never organizes such activities.

3- Do you like participating in these activities?

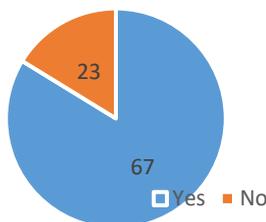


Figure 3. The results of the questionnaire present that 67 students like to participate in communicative tasks and 23 of the students claimed that they do not want to participate in these tasks. The teacher's perspective is also very important, the graphs present their responses.

4- How often do you organize interviews, role plays and discussion part of your lesson plan?



Figure 4. Through the teachers' point of view that they were asked to answer a question about the frequency that they organize communicative activities such as, interviews, role plays, and discussions. All four teachers claimed that they sometimes organize these activities.

5- Do the students participate in the communicative activities and tasks?



Figure 5. All four teachers claimed that students always participate in these activities.

Result of the Study

84 students and 4 teachers of "Turgut Ozal" High School of Tirana took part in the survey and interview. The results of the survey according to students perspective were that first of all they prefer and find entertaining to learn the English language inductively. Students claimed that discussion, interviews, group work, and role play were part of their lesson, and the teachers organize such activities very frequently. Most of the students like to participate in these activities and, some of the reasons of students that like to participate were that by participating in these activities they have the opportunity to know each other and build relationships inside the classroom. Communicative activities encourage students to do new things and improve themselves when they are talking in front of the audience. Some other reasons were that communicative

activities are entertaining and give the opportunity to learn about culture too. Some other reasons were that communicative tasks help develop student's critical thinking, build confidence.

Seeing from a teachers' point of view, the teachers were asked about the frequency that they make part of their lesson plan communicative activities; all four teachers asked that sometimes they organize these communicative activities. Four teachers claimed that students participate in these activities but some of the difficulties that they encounter are first of all to deliver ideas, the organization of thoughts, dictation so choosing the right words to express their thoughts and respecting time limitation. Students also find difficulties with public speaking; sometimes they read in a mechanical way and do not use non-verbal communication. Lack of fluency and vocabulary skills are a challenge too.

Discussion of the Result

Students answers were mostly they like communicative activities but also they list some of the difficulties that they encounter to participate in these activities were sometimes their classmate's bad behavior, problems with public speaking, and problems with English and organization of ideas. Some other difficulties were shyness, afraid of not being listened, lack of creativity, emotions, and interaction with other members of the group. 67 out of 80 students claimed that they would like that the teacher organizes communicative activities as that helps that they know each other better, they feel encouraged to do new things, improve their speaking skills, are entertaining. Some other reasons were that these activities help them improve their public speaking skills, built confidence, and are less tiring.

According to the teachers' perspective, 3 out of 4 teachers claimed that the exercises of the textbook were enough and one of the teachers claimed that some more extra materials are needed. All the teachers claimed that grouping students help them learn better and they organize often group work. While during the interviews, and role plays they claimed they sometimes they organize, while a discussion is always a part of their lesson. According to the teachers, the students like to participate in these activities. Some of the challenges they encounter are to deliver and organize their ideas, dictation, and timing. Some other challenges are talking problems before the audience, lack of fluency, vocabulary skills, fear of competitiveness, and fear of being judged.

Recommendations:

It is very important that students learn and practice it in meaningful tasks and real-life situation, so the teachers should always organize communicative activities such as discussion, role plays, and interviews.

Teachers should be very careful when organizing communicative activities. They should choose topics of their interest and authentic tasks.

Conclusion

The data collected by the survey shows that students like to have part communicative activities such as interviews, role plays, and discussions part of their lesson. Students claim that through these types of activities they practice the English language and learn it better and in an entertaining way. Students think that these activities help them be more socializing and help them speak without fear and emotions in front of an audience. As a result, they will be more confident. These activities are very important because it promotes critical thinking, require creativity and learn more about culture and places of different countries.

Students claimed that they encounter difficulties in participating in these activities such as the bad behavior of their friends such as the noise, and if they do not take their responsibilities on a given task. Problems with public speaking and shyness were very common. Problems related to language such as vocabulary, and dialect. Some other difficulties of the students are lack of creativity, the way of organizing ideas and respecting time limitations.

Teachers also claimed that communicative activities were part of their lesson plan and have the main focus. Students like to participate in these activities and some of the challenges were public speaking, delivering ideas, timing, lack of fluency, fear of competition and fear of being judged.

References

- [1] Alessandro G. Benati, B. V. (2010). *Key Terms in Second Language Acquisition*. London: The Tower Building.
- [2] Benati, A. G. (2010). *Individual Differences in Second Language Learning*. London: The Tower Building.
- [3] Brown, H. D. (2003). *Language Assessment Principles and Classroom Practices*. San Francisco: Longman.
- [4] Brown, H. D. (September 2003). *Language Assessment Principles and Classroom Practices*. San Francisco, California: Longman.
- [5] Burke, A. (2011). *Group Work: How to Use Groups Effectively*. *The Journal of Effective Teaching*, 2.
- [6] *Communicative Approach to The Teaching of English as a second language*. (n.d.).
- [7] *Effective Use of Group Work*. (2010). *Instructional Job Aid*, 2.
- [8] Hamid, B. b. (January 1990). *The Communicative Approach to Language Teaching in the Classroom*. *Akademika* 36, 106.
- [9] Kuivamäki, T. (2015). *LEARNING AND TEACHING ORAL COMMUNICATION IN ENGLISH IN VOCATIONAL SCHOOL*. Jyväskylä.
- [10] Richards, J. C. (2006). *Communicative Language Teaching Today*. United States of America: Cambridge University Press.
- [11] Sreehari, P. (October 19, 2012). *Communicative Language Teaching: Possibilities and Problems*. *Canadian Center of Science and Education*, 88-89.

Interculture; Concept, Use and Ethics between Equality and Difference

Anita Holm Riis

Associate Professor at Aalborg University, Department of Learning and Philosophy,
Centre for Applied Philosophy, Kroghstræde 3, 9220 Aalborg Ø, Denmark

Abstract:

In this article, the concept of 'interculture' is investigated from different angles. We start out with the theme of migration and move on to a discussion of literature as a tool to increase cross-cultural understanding. In the first part of this article, the theoretical perspectives of Salman Rushdie and Richard Rorty are central. Since similarity and difference constitute an underlying issue in both cases this leads to a discussion about equality and difference at the end of the paper, in which ethics represent a key perspective. In this last section, we explore an important point addressed in Charles Taylor's discussion of culture and ethics that can also be seen as a critique of the intercultural project and the way it balances similarity and difference, equality and difference.

Keywords: Interculture; concept, use, ethics, equality, difference

Introduction

In recent years, the term 'interculture' has been increasingly used to describe situations in which people with different cultural backgrounds interact, challenge each other and collaborate. The concept can be connected to a number of theoretical discussions about how a multicultural society is best able to function despite differences. However, because difference has been an important basic premise in multiculturalism, this concept overlooks what one could call a 'fusion of cultures'. Interculturalism differs from multiculturalism by focusing on this latter perspective.

In his book *Interkultur* (2010), the German expert on migration Mark Terkessidis points out that interculture is based on the notion of 'Kultur-im-Zwischen' (Terkessidis, 2010, p.10), which highlights what happens between cultures. Thereby, a difference-oriented concept of culture is diminished in favour of an interest in what people create together, and thus 'interculture' is also interpreted as a practical concept. It refers to the way we do something. For example, at an institutional level, we can strive to establish conditions for participation that ensure that discrimination is avoided: in this way, the individual can function 'barrier-free' within the institution's framework (Terkessidis, 2010, p. 9). The term 'barrier-free' is originally derived from the context of disabled people's access to buildings, but here it more broadly emphasizes the value of providing people with an equal opportunity to participate in societal, organizational and institutional contexts. Thus, in this model, the difference between people does not necessarily disappear, but it fades from focus: the ultimate goal is a future common culture.

The American education researcher James A. Banks, who is primarily known for the development of a multicultural pedagogy, has highlighted that interculture is 'a term used to recognize the desirability of people from different cultures to interact in dynamic and complex ways' (Banks, 2011, p. 14). Therefore, when it comes to intercultural practice, dynamic and complex interaction is, first, an essential part of any intercultural project and, furthermore, it is greatly wanted (desirability). The desire to meet the other through complex interaction must assumably be based on a willingness to obtain mutual understanding. Understanding is also always a process of integration in which new perspectives are integrated into one's own preconceptions of the world. In such a process, the clear lines between 'my' and 'your' culture disappear, because what parties bring into an encounter with voluntary and benevolent interactions becomes a new, common point of departure for further communication (Riis, 2006, p. 105). The concept of 'interculture' thus contains a duality - because the

participants come from different backgrounds, they may start with different viewpoints, but the desire for interaction creates another focus and erases differences.

In this article, we examine how the perspective of interculturality can be promoted. The examples are taken from different theoretical perspectives where themes such as migration, literature and ethics are bound together by a focus on the intercultural project. However, this does not mean that the intercultural project can not be criticized. At the end of the article, we take a closer look at an important aspect of such criticism.

Migration in an intercultural perspective

Institutions around the world must be able to accommodate a large variety of people with different cultural backgrounds. A phenomenon such as migration - in this article defined as changing one's country of usual residence - can concretely exemplify the central importance of the concept of difference in today's societies where the phenomenon has statistically increased. In any case, one must assume that people who are socialized in a different national and therefore generally also a different linguistic and cultural context often experience and represent differences in their ways of thinking and acting.

This highlights the potential difficulties of practicing intercultural values such as involvement and participation where the focus is on creating common human spaces (Kultur-im-Zwischen). Therefore, this approach requires a strong association between the individual and the group. One way of doing this is to look more closely at how individual migration stories can be linked to the universal human experience. The inspiration for this perception of the subject is taken from the Indian-born author Salman Rushdie (b. 1947). Based on the theme of discontinuity, Rushdie shows how the migrant's experience of lack of coherence can be linked to a more general human experience.

In his article *Imaginary Homelands* (1992), Salman Rushdie describes the experience of returning to his childhood city, Bombay, India, after about 20 years away from it. When he was 13 years old, Rushdie was sent to a boarding school in England. A few years later, his parents moved to Pakistan, and an obvious reason for Rushdie to visit Bombay disappeared (this was moreover compounded by the war between India and Pakistan). Nevertheless, the connection to the places we leave - and perhaps in particular one's childhood home - is based on more than a mere geographical affiliation. A recurring theme in Rushdie's writing is immigration and identity. His desire to return to Bombay and the house he grew up in is also an attempt to put his own history and thus identity into perspective. Through this process, Rushdie manages to describe a number of fundamental issues of the migrant, which can resonate in principle with any human being. We all have the ability to associate with the situation of the migrant, even if we have not moved across national borders: we all have experienced situations in which the context is new and our knowledge and our life experience do not seem to be an asset. Rushdie writes, 'It may be argued that the past is a country from which we have all emigrated, which is part of our common humanity' (Rushdie, 1992, p. 12). In other words, based on a personal story, he formulates an experience of universal character - "of universal significance and appeal" (Rushdie, 1992, p. 12).

Here, we must first dwell some more on the experience of discontinuity as a central theme. The experience of fracturing and a lack of coherence goes hand in hand with the need for - and the expectation of - coherence. The German philosopher Hans-Georg Gadamer uses the phrase 'Vorgriff der Vollkommenheit' (anticipation of completeness) to describe this expectation. This anticipation not only accompanies the migrant but also everyone else's attempt to comprehend their universe, and thus it exists in all human beings. In our encounters with the world around us, the new is always interpreted through our preconceptions. We can revise these preconceptions, adjust or confirm them, but the process of understanding always strives to create meaning and coherence (Gadamer, 2004, p. 280). Thus, discontinuity always represents a challenge.

Within social psychology, the term 'cognitive dissonance' is used to describe the experience of inconsistency. Leon Festinger was one of the first to investigate this phenomenon experimentally, and he has, since the 1950s, inspired countless other studies. According to Joel Cooper, everything suggests that cognitive dissonance is actually a common

human trait: we all experience discomfort when we experience dissonance, the discrepancy between knowledge and expectations on the one hand and events and actions on the other (Cooper, 2007, p. 156). For example, the disappointment when something has not turned out as expected prompts a need for explanation. Social psychology here substantiates what is also Gadamer's point with the concept of 'Vorgriff der Vollkommenheit'.

The link between an individual's experience and the common human anticipation of completeness represents an argument in favour of the intercultural project. How this connection is addressed in the daily meetings between people from different backgrounds depends, of course, on the context, but one example is taken from a German day-care institution. It is derived from the book *Midt i en mangfoldighed af børn - Pædagogiske svar på en multikulturel samfundsudvikling* (a Danish book about diversity in multicultural daycare institutions) by Vibe Larsen. In this text, Larsen explains that 'All parents were asked if they wanted to describe, why and how their child got its name'. She notes, 'The stories created a picture of different stories, but also of common stories across ethnicity, culture and social background' (Larsen, 2008, p. 103). The individual stories are here connected through the common human phenomenon, that of parents naming their children. In principle, every narrative has the potential to connect people despite differences in cultural background. In the following section, we explore the potential of literature as another way to connect the individual with the collective.

Literature as an intercultural tool

The above-described experience of and reaction to discontinuity is thus a common human challenge, which the intercultural project can refer to in creating common standpoints or common understanding. However, the likelihood that the migrant has an extraordinary experience of the phenomenon of discontinuity is significant. Rushdie argues that 'the writer who is out-of-country and even out-of-language may experience this in an intensified form' (Rushdie, 1992, p. 12). In so doing, he not only emphasizes the perspective of the migrant but also the migrant writer. This is firstly because he relies on his own story as a migrant and author in *Imaginary Homelands*. At the same time, this text implicitly suggests that authors have an expanded ability to convey their experiences (because they have an audience). Authors can 'meet' their readers in many ways, but some sort of resonance with the latter's own life is an important condition for their interest in the text. Rushdie often uses detailed, individualized accounts, but they are always linked to the common human experience. For example, in describing his novel *Midnight Children* (1981), he formulates his purpose as follows: 'What I was actually doing was a novel of memory and about memory' (Rushdie, 1992, p. 10). Specific memories in this book are connected to the concept of memory as a phenomenon. The narrator in *Midnight Children*, Saleem, struggles to remember things properly and therefore to make sense of his own fragmented story. Thus, the reader is drawn into the construction of a narrative that speaks to the common human expectation of coherence (Gadamer - *Vorgriff der Vollkommenheit*) and subsequently to the experience of discontinuity (Festinger - cognitive dissonance). In this way, readers have the opportunity to link the narrative to their own preconceptions. Rushdie appeals to his readers through implicit references to their own lives, and ideally, they are able to relate to some element that transcends the individual.

This poses the question of whether literature - in contrast to, for example, academic writing - has a special potential to bolster the intercultural project. The American neopragmatist Richard Rorty (1931-2007) was a strong advocate for the view that literature is especially suited to making what at first sight seems strange and foreign understandable and familiar. Rorty highlights that the process of understanding our fellow human beings does not solely concern rational or intellectual activity - this understanding can also arise based on emotions. He provides the example of Charles Dickens (1812-1870), who contributed to an increased social engagement through his portrayals of poor and vulnerable people, their history and their situation. In his writing, readers are moved by his grim stories and realize that people whom they do not know nor think they have anything in common with nonetheless suffer and feel in the same way. In this way, literature can activate what one might call a human sympathy.

This 'access' to insight into other people's lives can also be seen as a critical comment on the purely theoretical approach to interpersonal understanding: 'To say that it [literature] is more fruitful is just to say that, when you weigh the good and

the bad that the social novelists have done against the good and the bad that the social theorists have done, you find yourself wishing that there had been more novels and fewer theories' (Rorty, 1999, p. 120). In other words, literature's ability to touch us emotionally activates empathy for our fellow human beings, even if these fellow human beings are perceived as fundamentally different. Literature provides an insight into our common humanity. As Rorty puts it, 'shared pains and pleasures' (Rorty, 2000, p. 16) are enlightening when it comes to genuine interpersonal relationships. This element is also relevant to the intercultural project when it remains on the outlook for ways to connect people with different cultural backgrounds.

Although Rorty's work addresses the common features of the human experience, his view on cultural difference is different to the one presented in the intercultural project. Unlike in the latter concept, Rorty also finds it important to focus on cultural differences. In a discussion with the Indian-born philosopher Anindita Nyogi Balslev, he notes that in cultural encounters where both parties are seeking to understand each other, they tend to focus on similarities and familiar concepts (Rorty, 1999, p. 110). Rorty suggests that if people stay solely within the framework of similarity, their worldview does not change. In this vein, he views literature as a way to increase cross-cultural understanding, but insists it must first emphasize differences. In institutional and educational contexts where literature is used, it is important to be aware of and reject the natural inclination for similarity. Rorty recommends that we seek out the literature that is most alien to us (Rorty, 1999, p. 112). The goal is primarily to change stereotypical notions of 'the others' by avoiding the tendency to understand otherness through predefined patterns.

From the perspective of the intercultural project, Rorty's arguments can be used to discuss the role of similarity and difference in human thinking in general. The discussion not only concerns different perspectives but also entails a basic ethical evaluation of the role of equality and difference. However, there is no consensus on how to prioritize these two dimensions when different cultures fuse into one in the context of the intercultural project. In the following section, we explore the debate about 'difference blindness' from an ethical perspective.

Equality and difference as ethical categories

In his well-known book *The Politics of Recognition* (1992), Charles Taylor highlights Kantian thinking as one of the more explicit examples of difference blind equality thinking. The philosopher Immanuel Kant (1724-1804) builds his ethics on the fundamental idea that what is right and wrong is based on general criteria, which ensures that everyone are considered equal (Kant, 1965, p. 5). This foundation is formulated through 'the categorical imperative': 'Act only in accordance with that maxim through which you can at the same time will that it become a universal law' (Kant, 2002, p. 56). One example of this notion in practice involves lying: although we can have many reasons to lie, when we do, we contradict the fact that we must trust each other if our society is to function. Therefore, it seems logical to enact a general law stating that one must always tell the truth despite the fact that in some situations it may be tempting, obvious or even right to lie. When we lie, we usually do so because of personal goals - it can be anything from one's own, selfish inclinations to attempting to protect others. However, the categorical imperative always considers individual desires suspicious. Based on this principle, it becomes difficult to be aware of difference as an important element. Kantian thinking suggests that our first interest in other people must be of a more general nature and therefore focus on what we have in common as human beings.

The categorical imperative follows a logical train of thought: for example, it is contradictory to take care of oneself first whilst at the same time claiming that everyone must be treated equally. Thus, the categorical imperative imposes a type of self-control ensuring that all humans are respected as equals. In this way of thinking, ideals such as equality and respect become two sides of the same coin. Seen from a historical perspective, the ideal of equality promoted during the French Revolution, the notion of fraternity and the concept of freedom coincide with Kant's thinking. Nevertheless, Kant describes his moral philosophy as a historically independent principle, which every thinking human should be able to perceive (Kant, 1965, p. 5). However, philosophical thinking as well as thinking in general is never entirely independent of historical circumstances. If the intercultural project is also founded on an ethical concept of equality that is culturally based, it may

be useful to take this point into consideration when it comes to arguments against difference-blind positions. As previously mentioned, the educational theorist Banks states that interaction and the desire for mutual understanding are central to the intercultural project. At the same time, he notes that the concept of 'interculture' is primarily used in Western Europe (Banks, 2009, p. 14). Banks is a prominent representative of multicultural pedagogy, which primarily evolved in an American context. Historical circumstances can be a concrete reason for placing different emphasis on similarity and difference (Rorty) and on equality and difference. One of the critics of a too equality-minded perspective is Taylor. In the final section of this paper, we explore his arguments.

Balancing between equality and difference

When Taylor discusses 'the politics of equal dignity' (Taylor, 1992, p. 44), he highlights Jean-Jacques Rousseau (1712-1778) and Kant as early exponents of this thinking. In his criticism, he does not question equality as a basis for human coexistence, but he is skeptical about the way it is managed: there is a risk that the predominant focus on making everyone equal could lead to a blindness to the differences between people. Sometimes, it is necessary to discriminate in order to respect people's equality.

The concept of identity is the starting point for Taylor's discussion. It is linked to the concept of recognition. The need to be seen as one's true self and respected for it is related to the fact that identity is something that is shaped by interactions with the environment. Being able to maintain a particular identity requires an acceptance from other people. Other people's ideas about who we should be can therefore feel as an attack. It follows that a lack of proper recognition of the peculiarity of individuals and groups can lead to harm (Taylor, 1992, p. 25). Respecting equality can thus necessitate treating people differently. Taylor summarizes the conflict between these two ways of thinking: 'These two modes of politics, then, both based on the notion of equal respect, come into conflict. For one, the principle of equal respect requires that we treat people in a difference-blind fashion. The fundamental intuition that humans command this focus is on what is the same in all. For the other, we have to recognize and even foster particularity' (Taylor, 1992, p. 43).

Concluding remarks

The focus of the intercultural project is to establish equal possibilities for participation in groups, institutions and society. By focusing on similarities, the common features of human beings, the intercultural project can ensure that this is the case. Examples of how this can be achieved despite the many differences between people can be seen in the writings of Rushdie and in Rorty's perspective on literature. However, a more explicit theoretical criticism of the intercultural project can also be brought into the debate, when the balance between similarity and difference points in the direction of an ethical debate of equality and difference. The intercultural project also has its limitations. Even though it appears to be an effective means of connecting people across cultural divisions, it also entails the risk of blind spots.

References

- [1] Banks, James A. 2011. Multicultural education. Dimensions and paradigms. In: Banks, J.A.: *The Routledge International Companion to Multicultural Education*. Routledge: New York, p. 9-33
- [2] Cooper, Joel. 2007. *Cognitive Dissonance. Fifty Years of a Classic Theory*. SAGE: London
- [3] Gadamer, Hans-Georg. 2004. *Sandhed og metode, Grundtræk af en filosofisk hermeneutik*. Systime Akademisk: Viborg
- [4] Kant, Immanuel. 1965. *Grundlegung zur Metaphysik der Sitten*. Felix Meiner Verlag: Hamburg
- [5] Kant, Immanuel. 2002. *Groundwork for the metaphysics of morals*. Yale University Press
- [6] Larsen, Vibe. 2008. *Midt i en mangfoldighed af børn – Pædagogiske svar på en multikulturel samfundsudvikling*. Dafolo: Frederikshavn
- [7] Terkessidis, Mark. 2010. *Interkultur*. Suhrkamp Verlag: Berlin

- [8] Riis, A. H. 2006. *Kulturmødets hermeneutik, en filosofisk analyse af kulturmødets forudsætninger*. Forlaget Univers: Århus
- [9] Rorty, Richard. 2000. Is "Cultural Recognition" a Useful Concept for Leftist Politics? In: *Critical Horizons* 1:1. Koninklijke Brill NV: Leiden, p. 7-18
- [10] Rorty, Richard. 1999. Philosophers, Novelists, and Intercultural Comparisons: Heidegger, Kundera, and Dickens. In: Balslev, Anindita Niyogi: *Cultural Otherness, Correspondence with Richard Rorty*. Scholars Press: Atlanta, p. 103-125
- [11] Rushdie, Salman. 1992. Imaginary Homelands. In: Rushdie, Salman: *Imaginary Homelands. Essays and Criticism 1981-1991*. Granata Books: London
- [12] Taylor, Charles. 1992. The Politics of Recognition. In: Gutmann, Amy, *Multiculturalism*. Princeton University Press: Princeton

The Scope and Limitations of Legal Protection of Chinese Foreign Investments in Lusophone Markets and the Role of Macau Society

M. P. Ramaswamy

Faculty of Law, University of Macau

Abstract

The paper examines the significance of legal protection of Chinese Foreign Investments in Lusophone markets with a specific reference to Bilateral Investment Treaties (BITs) with Cape Verde and Portugal and assesses how Macau SAR as a Lusophone society could play a positive role in facilitation of foreign investments. With the keen Chinese interest on Lusophone markets and its official designation of Macau as a facilitator, most studies have been focused on broader economic relations with them as a group and the present paper investigates the scope of legal protection in certain specific bilateral investment relations. The paper comparatively examines the scope of legal protection of Chinese investments in two sets of Lusophone markets namely those which have no BITs with China and those which have successfully concluded the BITs (particularly Cape Verde and Portugal). Based on the analysis, key limitations and some potential barriers to bilateral investment flows are highlighted. The final part of the paper scrutinizes how Macau SAR could contribute to enhance investment flows between China and Lusophone markets, especially in the light of its legal system with a Portuguese influence. The paper concludes with a discussion on the need and viability of a regional investment protection and facilitation agreement under the auspices of the Forum Macau to address the identified challenges and promote the utility of related legal and other allied services Macau society could offer.¹

Keywords: China-Lusophone bilateral investments, treatment of investments, scope of legal protection, role of Macau society

Introduction

Lusophone countries or Portuguese Speaking Countries have been markets of keen interest for foreign investors. Although the degree of attraction of individual markets differ from each other and the level of foreign investments in each of these markets vary in different years, the general attraction of the group of Lusophone countries as an investment destination is robust. China is no exception and it has indeed demonstrated a conspicuous interest in Lusophone markets as a part of its strong drive towards international economic engagement (Macau Hub, 2018). This is clearly evidenced by two concrete initiatives introduced by China, namely the creation of a permanent ministerial forum to facilitate economic and trade cooperation with Lusophone countries and the creation of a development fund exclusively targeting the Lusophone economies. However, despite the attractiveness of the Lusophone markets and the concrete initiatives made to promote trade and economic relations with the them, the efforts to secure legal protection of bilateral investments between China and Lusophone markets have been quite limited. Out of the eight prominent Lusophone economies, China has only successfully concluded bilateral investment treaties (BITs) with only three of them and the potential effectiveness of those instruments requires a systematic assessment (Salacuse, 2007). The resulting limitations of legal governance of bilateral investments between China and Lusophone markets could create various barriers in tapping the full investment potential offered by these markets for each other (Poulsen, 2010). In the light of this concern, the present paper seeks to identify the scope and limitations of legal protection of China-Lusophone bilateral investments to urge the need to develop relevant

¹ The author would like to acknowledge and thank the support of the University MYRG project grant related to the paper.

remedial measures to promote mutual investments. The paper also briefly explores the potential role Macau SAR could play in facilitating the bilateral investments, as it has been officially designated with such a responsibility by China.

Legal Governance of Chinese Investments in Lusophone Markets

According to the data relating to International Investment agreements provided by the United Nations Commission on Trade and Development (UNCTAD), out of 234 listed economies in the world, China has the second highest number of concluded bilateral investment treaties as well as the third highest number of those treaties in force. As of April 2019, China has signed a total number of 127 bilateral investment treaties, and out of which 109 treaties are in force. Only Germany has a higher number of signed BITs with a total of 131 treaties and Germany as well as Switzerland having a higher number of such treaties in force which are at 128 and 112 respectively (UNCTAD, IAs by Economy, 2019). Since 1998 China's BIT practice is said to have been "marked by a gradual yet decisive shift towards stronger substantive and procedural protection of FDI". (Berger, 2008 October, p.21). These clearly evidences the fact that China attaches a great importance to the legal protection of foreign investments despite being a developing country. Therefore, it is important to assess the Chinese foreign investment relations with any country in the light of this fundamental premise. However, the review of the bilateral legal measures governing investment relations with lusophone economies reveals an unsatisfactory situation. Out of the eight prominent Lusophone economies, China has signed bilateral investment treaties only with three of them. (UNCTAD, China BITs, 2019). While BITs have been signed with Cape Verde, Mozambique and Portugal, China is yet to have such treaties with the remaining five Lusophone economies.

Evidence suggests that the five Lusophone economies, which do not have any BITs with the China generally tend to be reluctant in entering in to BITs with foreign countries. All five of these economies have entered into BITs only with a handful of foreign states and even most of those signed BITs are yet to enter into force. Angola having entered into 13 BITs with different foreign countries, has only 5 of them in force. The experience of Brazil reveals a much worse situation as out of the 22 BITs signed by Brazil only one has entered into force (Campello & Lemos, 2015). Guinea Bissau has 2 BITs to its credit with one enjoying Force. San Tome and Principe, on the other hand, draws a blanc with no BITs in force albeit having two of them signed. Finally, East Timor has 3 BITs with one already entered into force.

Inspite of the general grim picture emerging, a closer introspection of the limited number of BITs concluded by these five economies reveals an interesting finding which signifies the specific importance they attach for establishing legal framework governing foreign investment with other Lusophone economies. All these five countries have signed BITs with atleast one or more Lusophone countries. Angola has signed BITs with Brazil, Cape Verde, Mozambique and Portugal. Out of the four concluded Angolan BITs with Lusophone economies, only two of them have entered into force namely the Angola-Brazil BIT and the Angola-Cape Verde BIT. It is important to note that the Angola-Cape Verde BIT stands out for its most rapid entry into force, which was within a span of four months since it was concluded in September 1997 (emphasis added). However, it is relevant to note that Angola has attempted two BITs with Portugal in 1997 and 2008 respectively but none have entered into force. Similarly, the Angola-Mozambique BIT concluded in 2015 is yet to enter into force.

Brazil has signed BITs with three of the Lusophone economies that includes Angola, Mozambique and Portugal. It is interesting to note that in case of Brazil, the first and the only BIT that has entered into force in its long list of 22 concluded BITs is with a Lusophone economy namely Angola. Out of the two BITs signed by Guinea Bissau, one of them is concluded with Portugal. It is significant to note that the Guinea Bissau-Portugal BIT has already entered into force since 1996. Similarly, San Tome and Principe has signed a BIT with Portugal, which is one of the two total BITs it has signed with foreign countries. However, unlike the earlier example of Guinea Bissau, the San Tome and Principe's BIT with Portugal has not entered force yet, inspite of being concluded way back in 1995. Finally, East Timor has, out of its three BITs concluded, one signed with Portugal. Interestingly, it is the only BIT that has entered into force for Timor. The East Timor-Portugal BIT was signed in May 2002 and entered into force in April 2004.

The number of Chinese BITs signed with Lusophone countries, in spite of being limited, reveals a striking positive feature that all those BITs have already successfully entered into force. Among the three Chinese BITs concluded with Lusophone economies, the China-Mozambique BIT signed in July 2001 was the quickest to enter into force within a span of eight months. In contrast, the China-Cape Verde BIT concluded in April 1998 as well as the China-Portugal BIT concluded in December 2005 took more than two and a half years to enter into force. Although the entering into force of a BIT is crucial, it is important to closely examine the normative characteristics of the individual BITs in order to understand scope and limitation of the legal protection they offer as well as their potential to facilitate and promote bilateral investment flows between contracting states (Salacuse & Sullivan, 2005). To carry out such an assessment in the context of China-Lusophone bilateral investment relations, the next sections closely examine the China-Cape Verde BIT 1998 and the China-Portugal BIT 2005 as they are representative of not only two different periods but also Lusophone economies in two different continents and levels of development. The periodic perspective is particularly relevant as scholars studying Chinese BITs have argued that they have evolved over different periods and possess typical characteristics. Classifying Chinese BITs into different generations of 80s, 90s, and subsequent decades in the 21st century are common and is useful a guide to compare and assess the characteristics of individual BITs involving China (Berger, 2008) and (Kidane, 2016).

Assessment of the Legal Regime Governing China-Cape Verde Bilateral Investments

The China-Cape Verde BIT 1998 in its very title has incorporated the key terms of 'encouragement and reciprocal protection of investment', which signifies the dual objectives of investment promotion and protection. Its Preamble, however, uses the terms 'encouragement and promotion' separately, which arguably could be seen distinctively due to the possibility of tracing specific obligations stemming from these two objectives in the subsequent parts of the BIT. The intention of concluding the BIT is aimed at developing favourable conditions for mutual investments. The Preamble expresses the belief that the encouragement, promotion and protection of reciprocal investments will create a conducive environment to stimulate business initiatives by investors, which in turn will result in mutual prosperity of both countries. Finally, the Preamble proclaims that the principles of 'equality' and 'mutual benefits' as the fundamental basis upon which the desire for the investment cooperation is built and the norms constituting the BIT have been agreed. The scope of the investments covered in the BIT is broad. Although the indicative forms of investment are listed, the BIT for all practical purposes includes every kind of asset legally invested in the host country¹.

Unlike some BITs that narrowly define investments or exclude some specific forms of investments from the definition, the broad narrative of investment in the China-Cape Verde BIT could help avert any potential disputes regarding its scope of application to protect specific forms of investment between the two countries. The definition of the term investor refers to natural and legal persons with certain qualifications. While natural persons could qualify as investors by possessing the nationality of either of the contracting states, the qualification for economic entities requires establishment in accordance with the laws of a contracting state and domicile therein.

The obligations emanating from certain objectives of the BIT discussed earlier include the obligation to 'encourage' investors from the other contracting state, obligation to admit resulting investments, obligation to provide constant protection and security for such investments, obligation to refrain from taking any unreasonable or discriminatory measures against those investments as well as a specific obligation to facilitate the obtaining of visas and working permits to each other's nationals necessary for relevant investment activities².

¹ Interestingly, the indicative list includes investments in the forms of shares, stocks and other company participations as well as certain intellectual properties including know-how and related processes. It is equally important to underscore the fact that the list explicitly includes concessions, particularly "concessions to search for exploit natural resources". See Article 1 (e) of China-Cape Verde BIT, 1998.

² See Article 2, China-Cape Verde BIT, 1998.

The treaty mandates a fair and equitable treatment of investments along with their protection on a most favoured nation (MFN)¹ basis. However, the MFN obligation does not apply to any preferential treatment accorded to the investors of a third State due to obligations arising from regional free trade agreements or avoidance of double taxation agreements. The BIT generally prohibits expropriation, nationalization or similar measures unless they are introduced for the purpose of securing public interest. Even when those acts of the state are justified, they should be carried out according to the established legal procedures and in a non-discriminatory manner. In addition, a payment of fair compensation for the above acts is mandatory. Such compensation should be made in a timely manner and be convertible and freely transferrable by the investor. Moreover, the contracting states are obliged to guarantee the investors, the freedom to repatriate relevant investments and returns at the prevailing exchange rate on the date of transfer². If a contracting state or its agency makes any payment to an investor on the basis of a guarantee granted to an investment made in the territory of the other contracting state, the treaty interestingly obliges the other contracting state to recognize the right of subrogation of the former state (which made the payment)³.

Finally, different means of settling disputes arising out of the treaty are recognized. Two categories of dispute settlement are foreseen, namely disputes between the contracting states to the BIT and dispute between an investor protected under the treaty and a contracting state. Firstly, the disputes between the contracting states related to the interpretation or application of the BIT are required to be settled using consultation through diplomatic channels. Ad hoc arbitration is prescribed as a method if such disputes could not be settled within six months using the diplomatic means⁴.

Secondly, the treaty prescribes a separate set of dispute settlement provisions for investment disputes between an investor and a contracting state. After prescribing negotiations as the preliminary method to be tried for a period of six months for all types of investment disputes, the treaty recognizes two distinct methods for general investment disputes and investment disputes concerning the amount of compensation for expropriation respectively. For general investment disputes between the investor and the host state, the treaty recognizes the entitlement of the investor to submit the disputes to the competent court of the host state. But if such disputes are related to the amount of compensation for expropriation, the treaty recognizes the right of either of the party to the dispute to resort to ad-hoc arbitration⁵.

While the parties to the dispute could nominate their respective arbitrators⁶, either of them could request the Secretary General of the International Center for Settlement of Investment Disputes (ICSID) to make the necessary appointments, if the arbitration panel could not be constituted within a prescribed period. Similarly, the treaty recognizes the freedom of the arbitration tribunal to take guidance from the ICSID Arbitration Rules in determining its own arbitration procedure to resolve the dispute. Moreover the treaty mandates the arbitration tribunal to decide the dispute in accordance with an explicit set of 'sources of law' recognized in the treaty which includes a) the law of host state including its rules on the conflict of laws

¹ The treaty also obliges the contracting states to afford treatment on an MFN basis, whenever they introduce any measures impacting investors who suffer losses owing to war, national emergency, insurrection, riot or other similar events. See Article 5, China-Cape Verde BIT, 1998.

² Investments and returns under this obligation cover a broad range of items explicitly enlisted in the treaty, which not only includes the profits but also various forms of earnings, types of payments and other legitimate income.

³ This arises because of a mandate that the other contracting state must recognize 'the transfer of any right or claim of the investor' (who was paid) to the former contracting state or its agency.

⁴ The BIT also prescribes the procedure for appointment of the arbitrators and how the tribunal could determine the arbitrations procedure. In this context, the possibility of seeking the assistance of a judge of the International Court of Justice to nominate an arbitrator in certain circumstances is also recognized.

⁵ However, these provisions do not apply in cases where the disputing investor has already resorted to the national courts of the host state to resolve the dispute relating to the amount of compensation subsequent to the failure of relevant negotiations mandated by the treaty.

⁶ While the power to select the Chairman of the arbitration panel is jointly conferred on the two arbitrators nominated by the parties to the dispute, the treaty requires the choice of the Chairman to be a national of a third state that has diplomatic relations with both the China and Cape Verde.

(private international law rules of the host state) b) the provisions of the BIT and c) the general principles of (public) international law accepted by both contracting states to the treaty.

Interestingly, the treaty adds that in case of the treatment to be accorded to the relevant investments under the domestic law of a contracting state is more favourable than the treatment recognized in the BIT, the more favourable treatment under the domestic law shall become applicable. This is particularly useful when the domestic law evolves to offer a better protection than a BIT that was concluded quite some time ago. For example, the Chinese investors could seek the benefits offered by the new Investment Code Law of Cape Verde (Law 13/VIII/2012) by virtue of this provision enshrined in the China-Cape Verde BIT (Johnson, 2012). Finally, the BIT obliges the contracting states to hold regular meetings to review its implementation, exchange legal information and investment opportunities, resolve investment disputes, forward proposals on investment promotions and study other investment related issues. This obligation for continuous consultation between the parties to promote the fundamental objectives of the BIT is crucial to keep the investment cooperation alive and meaningful in the long run.

The Distinctive Legal Characteristics of China-Portugal BIT and Perceived Limitations

After the identification of the major scope of Chinese BIT with Cape Verde, it is relevant to discuss the key features of the China-Portugal BIT in order to understand whether there is any distinctive approach in protecting and promoting Chinese investment. This curiosity arises not only because Portugal is a Lusophone state outside Africa and is at a different level of economic development but also because of the succession of a new generation investment treaty replacing the older BIT between the two states. The original BIT signed between China and Portugal in 1992 was replaced by a new generation BIT signed in December 2005 that came into effect in July 2008. Analysing the key distinctive features of this new BIT is crucial to assess the scope of the legal protection afforded to the bilateral investments between the two states.

In comparison with the China-Cape Verde BIT 1998, the title and preamble of the China-Portuguese BIT is similar except the later does not refer to the 'principles of equality and mutual benefit' explicitly in the preamble as the former does. However, the China-Portuguese BIT 2005 provides an expanded definition of key terms. The term investment is defined to include assets that are invested directly or indirectly, and specific types of investments enlisted in the definition also have expanded provisions¹. For example, patents and trade-marks, trade/business secrets and even good will are recognized a part of investments. Similarly, the category of concessions granted by administrative act and concession to cultivate and extract natural resources are added to the definition. Moreover, a new category involving goods under a leasing agreement placed at the disposal of a lessee is also recognized as an investment. The definition of the term investment also clarifies that any change in the form of the invested assets does not affect their character as investments.

In defining the term 'investor', the China-Portuguese BIT takes an interesting approach as it provides a separate definition for investors emanating from each of the two contracting states. While the investors of the both states include natural and legal persons, the latter category is defined differently for the two states. Certain distinctive features, and specific requirements and characteristics could be noted. Especially the investor in the context of China is defined as 'economic entities' not only incorporated and constituted under the Chinese law but also have their seats in China. Moreover, such entities could either be for profit or non-profit and with or without limited liability.

In defining the term 'return', the China-Portuguese BIT adds that any income arising from reinvested returns of the original investments should also be treated as the income related to the original investment. Finally, an additional term namely 'territory' is defined, which interestingly enumerates various spaces that typically fall within the sovereign control of state under international and national laws. This includes the area of sea bed and subsoil adjacent to the outer limit of the territorial sea of the home state. This attempt to add an explicit definition of territory could be seen as an evolution of the modern BITs to

¹ However, some categories have a more restricted definition like the 'claims to performance having an economic value' is now specifically limited to such claims associated with an investment. See Article 1 (1) (c), China-Portugal BIT 2005.

comprehend potential investments in various territorial parts of a home state, where foreign investments were not typical in the past. However, in a more globalized and technologically advanced contemporary world, any part of a state territory could trigger foreign investment interest. Therefore, a comprehensive definition of the term territory is warranted.

With regard to the treatment of investment, the China-Portuguese BIT while containing similar provisions like the China-Cape Verde BIT adds a new principle of national treatment, which mandates the home state to afford treatment no less favourable than it accords to investments and associated activities by its own domestic investors¹. Although the provisions restricting expropriation are prescribed in a similar manner in both BITs, the rules governing compensation arising out of any expropriation are more specific and detailed in China-Portuguese BIT. Firstly, it requires that the compensation should be equivalent to the market value of the expropriated investment at the time immediately before the act of expropriation or at the time when the plan for expropriation become public knowledge, whichever is earlier. It also dictates that generally recognized principles of valuation shall be employed in determining the market value.

In addition, the new BIT also obligates the payment of interest at commercial rates for the period between the expropriation and the payment of compensation. Strikingly, the China-Portuguese BIT recognizes a distinct right of the investor to seek prompt review of its case (including the issue of valuation and payment of compensation) by a judicial or other independent authority of expropriating state based on the relevant principles of the BIT².

On the issue of repatriation of investment and returns, the explicit list of investment and returns to which the host state is required to provide a guarantee of repatriation is different from the parallel provisions in the China-Cape Verde BIT. Moreover, the repatriation should be permitted at the prevailing market rate of exchange applicable in the host state on the date of transfer and the BIT also prescribes the method of determining the rate of exchange in the event if the market rate of exchange does not exist. While providing similar provisions governing the 'right of subrogation' of a contracting state to the treaty, the China-Portuguese BIT adds that any payment received by virtue of the subrogated claims shall also enjoy the right of repatriation according to the relevant principles recognized in the BIT.

The dispute settlement provisions related to disputes between the contracting parties to the treaty are prescribed similarly by the China-Portuguese BIT. However, it provides a fundamentally different set of provisions governing investor-state disputes arising from the BIT. First, the distinction between general investment disputes and the specific dispute relating to the amount of compensation for expropriation found in the China-Cape Verde BIT is done away with. Secondly, the provisions prescribing the obligation to seek amicable settlement between the disputing parties does not explicitly refer to the use of negotiations, which implies an intention to encourage the use of alternative means like conciliation or mediation to reach the desired solution (UNCTAD, 2010). Finally, and most importantly, the China-Portuguese BIT now provides the investor with an exclusive freedom to choose three effective channels of dispute settlement. The dispute could be submitted to either the competent court of the contracting state involved in the investment dispute or the ICSID Arbitration or an ad-hoc arbitral tribunal³. The China-Portuguese BIT also limits the application of its provisions only to those 'disputes' arising subsequent to the entry into force of the BIT albeit recognizing the possibility of its application to 'investments' made prior to the said entry into force of the BIT.

The obligation to hold periodical meetings between the contracting states to promote specific purposes recognized under the China-Cape Verde BIT is found to have been quite diluted under the China-Portuguese BIT. It only recognizes the

¹ In addition, similar national treatment is also warranted in the context when investors suffer losses in the host state due to war or other armed conflict, revolution, national emergency or revolt. See Article 5 of the China-Portugal BIT 2005.

² See Article 4 (3) of the China-Portugal BIT 2005.

³ Such ad-hoc arbitration tribunal could be established either under the Arbitration Rules of the United Nations Commission on International Trade Law (UNCITRAL) or other arbitration rules. See Article 9 (2) (c) of the China-Portugal BIT 2005.

possibility of a state party making a proposal to request consultation for a limited set of purposes¹ and recommends that such a proposal be accorded sympathetic consideration by the other state party.

Apart from various limitations identified while comparatively analysing the China-Portuguese BIT in the above paragraphs, it is important to note that China and Portugal have added a separate protocol attached to the BIT, which further qualifies and narrows the scope of application of the provisions of the BIT². Although the space limits the possibility to discuss the provisions of the protocol one by one, some of the key limitations arising from such provisions must be noted in order to assess the true scope of the China-Portuguese BIT.

The limitations are mainly recognized with regard to the obligations arising for China under the BIT and are specifically related to provisions of the BIT governing potential measures against the management, maintenance, use, enjoyment and disposal of the investments under its Article 2, national treatment to foreign investments under Article 3, repatriation of investments and returns under Article 6 and the right of a Portuguese investor in China to resort to Arbitration under Article 9. As these restrictions mainly pertain to China as a host state, it evidences the growing strength of China to successfully negotiate required carve out provisions with a developed contracting state like Portugal. More importantly, it should also be considered as a sign of positive cooperation between the two contracting states that are willing to recognize domestic sensitivities and providing for necessary flexibilities to ensure the success of the BIT³.

Macau SAR as a Facilitator of Economic Relations between China and Lusophone markets and its Potential Role in Investment Facilitation

Macau is a Special Administrative Region (SAR) of China. Macau enjoys legislative, judicial and other forms of autonomy under the 'one country-two systems' principle and is governed by a distinctive legal system. As a territory, which was under the Portuguese administration for a long period of history, its legal system has a strong influence of Portuguese legal tradition and characteristics. Due to this distinct advantage, China has officially designated Macau with the responsibility of promoting China's economic relations with the Lusophone countries. Macau has traditionally maintained strong ties with different Lusophone territories around the world. To provide a strong impetus to this mission, a Permanent Ministerial Forum for Promoting Trade and Economic Relations between China and Portuguese Speaking Countries (Forum Macau) has been established in Macau SAR since 2003. The Forum Macau has regularly held ministerial level conferences over the years resulting in different strategic planning to promote bilateral trade and economic cooperation in various frontiers including investment and development. Macau has also established strong legal ties with China including a Common Economic Partnership Arrangement (CEPA), an Arrangement on Reciprocal Recognition and Enforcement of Arbitration Awards, a Framework Agreement of Co-operation with Guangdong and an Arrangement on the Mutual Recognition and Enforcement of Civil and Commercial Judgments.

It is important to note that Macau by virtue of its freedom to enter into economic relations with other foreign markets has entered into a BIT with Portugal in 2000, which is in force since May 2002⁴. However, this freedom to independently enter into BITs with foreign markets, could arguably be seen as a cause for the limitation of application or extension of China's BITs to the SAR. In the case of *Sanum Investments Limited v. Government of The Lao People's Democratic Republic*⁵, an investor from Macau SAR who made investment in Laos sought protection under the China-Loas BIT 1993. When the case

¹ The request can be made for the purposes of interpretation, application and implementation of the BIT. See Article 13 of the China-Portugal BIT 2005.

² It is equally relevant to note that some of the provisions of the Protocol clarifying the provisions of the BIT further could be seen as a positive element, which have the effect of facilitating the application of the provisions of the BIT to specific situations that have the potential avert some related disputes. See for example, Ad Article 1 and Ad Article 3 of the Protocol to the China-Portugal BIT 2005.

³ In this context, it is important to note that many of the restrictions recognized under the Protocol are to be gradually phased out by China.

⁴ Macau has also been an independent member of the World Trade Organization (WTO) distinct from the membership of China.

⁵ [2016] SGCA 57

was litigated in Singapore, a question arose whether China's BITs are applicable to the territory of Macau SAR. Although, the Singapore Court of Appeal decided that the BIT is applicable to Macau¹, it was categorically denied by China through diplomatic notes (Mohan & Aziz, 2018). It clearly explained the reasons for the non-application of such treaties based on the legal position enumerated under the Basic Law of Macau SAR as well as other relevant legal instruments and declarations governing the international legal status of the SAR. This recognized limitation should be noted in any assessment of the potential role of Macau SAR as a facilitator of economic relations between China and Lusophone countries. At the same time, the freedom Macau enjoys in entering into international economic relations as a distinct special administrative region of China should be given due credit in such assessments.

Due to the limitation of space in this paper, the specific advantages of Macau SAR that could potentially facilitate promotion of investments between China and Lusophone countries, especially in providing various legal services, could be taken up for discussion during the conference deliberations. However, one key development adding to the potential of Macau to effectively serve in that position merits a special mention. Apart from establishment of the Forum Macau that could serve as a primary platform for investment promotions, China has established the China-Portuguese Speaking Countries Cooperation and Development Fund, which not only serves as a large funding source but also provides for a well developed management system for project development, investment evaluation as well as legal compliance and risk control related to those investments. (CPD Fund, 2013). The Fund provides opportunities for companies from the member states to set up joint venture investments in the Lusophone markets. The Fund also contemplates the inclusion of the process of negotiating and concluding of relevant legal documents with investment partners specifying pertinent investment terms related to the supported investments. Interestingly, the fund that was originally setup in China has been moved to Macau SAR since 2017, which further enhances the potential role of Macau in promoting investments between China and Lusophone economies. This specific advantage of the location of the fund in Macau and related legal issues should also serve as one of the major considerations in any assessment of the investment promotion role of Macau.

Conclusion and Recommendations

The analysis in the paper is aimed at serving as a reference for the deliberations of a range of legal issues relating to investment promotion and protection between China and Lusophone countries. The underlying concerns and potential solutions for improvement resulting from the findings of this paper should be a subject of consideration in the conference deliberations. However, some preliminary concluding remarks and observations could be made here. As evidenced from the discussion, China has not established legal agreements governing bilateral investments with all Lusophone countries. It leaves some key Lusophone states like Brazil and Angola, which should be of a concern. Moreover, given the wider interest of China to establish cooperation with Lusophone states in general, initiatives to establish specific legal framework governing investments with smaller Lusophone economies is also needed to achieve a comprehensive cooperation contemplated under the Forum Macau. The closer analysis in this paper of the scope and limitations of the legal regime governing bilateral instrument between China and Cape Verde as well as China and Portugal clearly indicates the wide range of legal obligations and guarantees that are crucial to ensure smooth and profitable mutual investments. The conspicuous absence of specific agreement on such obligation and guarantees leaves a big lacuna that can raise barriers to investment growth with the five Lusophone states that do not have BITs with China. The resulting situation creates the need to rely on the legal sources of domestic law of the five member states or general principles of international law. (Mouzinho, 2016). But these non exclusive sources may not effectively cater to the future promotion and protection of investment interest of China and other relevant Lusophone states. Even if the lack of initiatives to conclude BITs with the remaining five Lusophone countries in the past could be attributed to some justified reasons, constant review of the need and feasibility of conclusion of missing BITs should be carried out.

¹ However, it is relevant to note that the Singapore High Court previously came to the opposite conclusion before its decision was challenged at the Court of Appeal.

In the absence of the establishment of any concrete legal regime governing investments with the five Lusophone countries, potential solutions could be seen with the Macau SAR assuming an active role. First of all, Macau's advantage of its legal system influenced by the Portuguese legal tradition could be effectively utilized to liaise with the situation of having to rely on the domestic law of the five Lusophone countries for purpose of investment protection. This could range from the possibility of using Macau as a platform to arbitrate investment disputes to more substantial use of Macau legal services. Moreover, the feasibility of concluding a comprehensive regional investment agreement involving all the Lusophone countries based on a set of common minimum standards agreeable to all members could be explored. Such instrument could also be designed to serve as a framework agreement for potential future BITs specifically with the five Lusophone countries. Finally, from the findings of this paper related to the advantages of the second-generation BIT concluded between China and Portugal, it is essential to revisit the need to upgrade the China-Cape Verde BIT (Huang, 2018). Moreover, the measures to address the limitations arising from the Protocol to the China-Portuguese BIT is also required, not only to serve the bilateral investments between the two contracting states better but also to use it as a potential model BIT for concluding investment promotion and protection agreements with other Lusophone countries.

References

- [1] Berger, A. (2008, October). China and the Global Governance of Foreign Direct Investment: The Emerging Liberal Bilateral Investment Treaty Approach. *Discussion Paper*. German Development Institute. Retrieved from https://www.die-gdi.de/uploads/media/DP_10.2008.pdf
- [2] Berger, A. (2008, November). China's New Bilateral Investment Treaty Programme: Substance, Rational and Implications for International Investment Law Making. *Paper Prepared for the Biennial ASIL IELIG Conference, Washington, D.C., November 14-15, 2008* retrieved from https://www.die-gdi.de/uploads/media/Berger_ChineseBITs.pdf
- [3] Campello, D. & Lemos, L. (2015). The Non-ratification of Bilateral Investment Treaties in Brazil: A Story of Conflict in a Land of Cooperation. *Review of International Political Economy*, 22 (5), 1055-1086.
- [4] CPD Fund. (2013, June). *China Portuguese Speaking Countries Cooperation and Development Fund*. First Edition retrieved from <http://www.forumchinapl.org.mo/wp-content/uploads/2014/10/1.1-20cpdfund2013.compressed.pdf>
- [5] Huang, J. (2018). Procedural Models to Upgrade BITs: China's Experience. *Leiden Journal of International Law*, 31 (1), pp. 93-115.
- [6] Johnson, C. (2012, August). Cape Verde: New Investment Code. *Global Legal Monitor*. Retrieved from <http://www.loc.gov/law/foreign-news/article/cape-verde-new-investment-code/>
- [7] Kidane, W. (2016). China's Bilateral Investment Treaties with African States in Comparative Context. *Cornell International Law Journal*, 49 (1), 141-177.
- [8] Macau Hub, (2018, May 28). *China's investment in Portuguese-speaking countries reaches US\$50 billion*. Retrieved from <https://macauhub.com.mo/feature/pt-investimento-da-china-nos-paises-de-lingua-portuguesa-atingiu-50-mil-milhoes-de-dolares/>
- [9] Mohan, M., & Aziz, S. (2018). Construing a Treaty Against State Parties' Expressed Intentions: Sanum Investments Ltd v Government of the Lao People's Democratic Republic. *Singapore Academy of Law Journal*, 30, 384-416.
- [10] Mouzinho, A. (2016, October). Understanding the Angolan FDI Regulatory Landscape, *SALIA Occasional Paper No 238*, pp.1-20.
- [11] Poulsen, L. N. S. (2010). The Importance of BITs for Foreign Direct Investment and Political Risk Insurance: Revisiting the Evidence. In *The Yearbook on International Investment Law and Policy 2009/2010* (pp. 539-574). New York: Oxford University Press.
- [12] Salacuse, J. W., & Sullivan, N. P. (2005). Do BITs Really Work: An Evaluation of Bilateral Investment Treaties and Their Grand Bargain. *Harvard International Law Journal*, 46(1), 67-130.
- [13] Salacuse, J. W. (2007). The Treatification of International Investment Law. *Law and Business Review of the Americas*, 13(1), 155-166.
- [14] UNCTAD (2010). *Investor-State Disputes: Prevention and Alternatives to Arbitration. UNCTAD Series on International Investment Policies for Development*. (PP.1-129) Geneva: United Nations.
- [15] UNCTAD (2019, April 30). IIAs by Economy. *International Investment Agreements (IIA) Navigator*. Retrieved from <https://investmentpolicy.unctad.org/international-investment-agreements/by-economy>

- [16] UNCTAD (2019, May 5). China Bilateral Investment Treaties (BITs). *International Investment Agreements (IIA) Navigator*. Retrieved from <https://investmentpolicy.unctad.org/international-investment-agreements/countries/42/china>

Changes in Attitudes towards Advertising: 2007- 2018 Evidence from the New Generation Bangladeshi Consumers

Mohammed Abdur Razzaque

School of Marketing; UNSW Business School, The University of New South Wales

Abstract

This paper presents a comparison of the attitudes of New Generation Bangladeshi consumers (18 – 24 years old) towards advertisement 10 years apart – in 2007 and 2017. Within five years of gaining independence in 1971, Bangladesh abandoned her socialistic path of economic development to adopt the capitalistic alternative. By the early 2000s, the country experienced substantial economic growth which resulted in the emergence of a “new rich” urban consumer class. To attract these consumers, the then infant advertising industry in Bangladesh started to grow at a fast pace; but neither the marketers nor the advertisers had a clear understanding of the attitudes of these consumers towards advertising. In 2007, I conducted an empirical research that examined the perception of these consumers on various aspects of advertising as well as their media usage behaviour. Bangladesh economy made spectacular progress during the last decade resulting in the fast-paced development of a better organised consumer market and a thriving advertising industry to support the current new generation Bangladeshi consumers who are more affluent, technology savvy and who seek better information. This study examines the perception of these consumers on various aspects of advertising as well as their media usage behaviour and compares them with the responses of their cohorts of 2007. The analyses of the data reveal discernible differences in the attitudes of the two similar groups. The paper tries to explain the reasons for the differences and argues that they have important implications for the consumer marketing and advertising industry in Bangladesh.

Keywords: Bangladesh, Attitude, Advertisement

Introduction

During the last decade, economy of Bangladesh has grown substantially which attracted many international marketers to invest in the country. An increased level of production as well as marketing of goods and services became evident in the country which contributed towards the achievement of higher GNP and per capita income. Bangladesh witnessed the emergence of a new breed of urban consumers who are different from their cohorts of a decade ago in that they are far more sophisticated, technology savvy and more prone to emulate their Western cohorts who tend to have a liking for branded products. In order to promote their respective market offerings to these customers marketers needed to have a better understanding of the needs, wants, habits and behavioral patterns. Consequently, there was a discernible increase in promotional activities, particularly in advertising efforts. It is not surprising that advertising industry of Bangladesh has grown at a reasonably fast pace. In 2008, the estimated total advertising expenditure in the country was 250 million US dollars (Aker, 2008); a recent report by Zenith expects that Bangladesh’s ad market will reach \$1.3 billion in the next three years (2017 - 2020) and experience a robust average annual growth of 15% ranking Bangladesh among the world’s fastest-growing media markets (Dhaka Tribune, 2019). Given this scenario it has become imperative for marketers to understand advertising effectiveness in the Bangladesh market.

The market impact of globalisation of Bangladesh’s captive economy in the mid-1980s became apparent in the late 1990s and early years of the new millennium when a ‘new rich’ segment of consumers comprising teenagers and young adults emerged in the country (Kaynak et al. 2000). Not only they had substantial amount of money to spend for themselves, they

also wielded tremendous influence on the spending behaviour of their respective families. It was essential for marketers in Bangladesh to gain insights into the opinions and attitudes of this new-generation of consumers towards advertising. Keeping this in view, the researcher conducted a study in 2007 (referred to as S1) to get an understanding of the beliefs that underlie the perception of advertising among these consumers. The current research conducted in 2018 (referred to as S2) is a replication of the same investigation a little over ten years after the completion of the first research. It is expected that this research will be helpful to advertisers and marketers seeking to enter the Bangladesh market at a time when it is being dubbed as one of the fastest growing economies of the world. In terms of household final consumption expenditure currently Bangladesh has the 40th-largest consumer market of the world (Dhaka Tribune, 2019).

Advertising and Consumer attitudes

Attitude has been defined in many ways. For this paper attitude has been defined as "a relatively enduring organisation of beliefs, feelings, and behavioural tendencies towards socially significant objects, groups, events or symbols" (Hogg and Vaughan 2005, p.150). The variations in its many definitions notwithstanding, it has generally been agreed that "... the characteristic attribute of attitude is its evaluative dimension" (Ajzen,1993); i.e., positive or negative judgments about an object or phenomenon (Thurstone, 1928) "... in a consistently favourable or unfavourable way (Allport, 1935)". Most attitudes in individuals- which have both direction and strength - are a result of *social learning* from the environment. An individual's attitudes are reflections of his/her evaluative responses following the affect-behavioral change - cognition (ABC) model. This model views attitude formation as a step-wise process starting with a response expressing the individual's preference followed by a verbal indication of the individual's intention leading to a cognitive evaluation of the entity resulting in the formation of an attitude. Since attitudes are learned and built up through experience, they can be changed through persuasion. In the context of marketing, change of attitude can be viewed as a response to a communication by the marketer such as an advertisement message or an ad campaign, or a reaction to unpaid publicity by a media.

The scope of this paper limited to a specific aspect of attitude namely, attitude towards advertising. Extant research has shown that a consumer's attitudes towards advertising are affected by variables such as consumers' personality traits, influences of family and peer group, previous information and experience (Bennett and Kassarian, 1972; Fishbein, 1975; Lutz, 1991; Assael, 1995; Wells, Burneet and Moriarty, 1998). Hence, advertisers may use attitudes to predict consumer behaviour and understand how consumers interpret advertising in developing purchase intention for products and services. While the affective responses reflect consumers' attitudes toward the message which could range from positive to negative; consumers' cognitive responses, i.e., their endorsement of, or opposition to the acceptability of the message contained in an advertisement, are functions of their prior beliefs. While the role, importance and value of advertising as a vehicle of disseminating information to the target audiences cannot be overemphasised, there are studies that indicate a generally negative public attitude towards advertising. (Alwitt and Prabhaker, 1994; Zanot, 1981). For example, consumers find the use of various intrusive tactics by advertisers intended to draw their attention rather annoying and unacceptable (Sandage & Leckenby, 1980; Zhang, 2000).

One of the major issues in the context of advertising a product or service internationally involves the degree of standardization of the message conveyed in the ad. As a form of social communication, advertising is particularly reflective of culture and its norms. Researchers have identified cultural differences and level of socio-economic development as the two main drivers of message adaptation (Abernethy & Franke, 1996; Baack & Singh, 2007). Indeed, advertising appears to be the most culture bound element in the marketing management mix because advertising messages combine language and other communication tools that are very deeply embedded in a given culture of a society. Slater (1997) viewed the study of consumer culture as the study of 'texts and textuality', 'individual choice and consciousness', and 'wants and desires' in the context of social relations, structures, institutions, and systems.

The pervasiveness of the influence of cultural differences on advertising has been empirically established (Berman, 1981; Hong, Muerrisogolu & Zinkhan, 1987). Also, it has been observed (Engel, Blackwell & Miniard 1995) that the ability of advertising to develop positive impression towards a product or service often depends on consumers' attitudes towards the advertisement itself. Today's ever-increasing competition forces businesses to spend huge sums of money for advertising and promotion with the objective of persuading their customers to purchase their products/services. But persuading customers in an unknown overseas market could be quite difficult; it requires marketers to have clear understanding of how to advertise effectively to consumers in a different culture since "...advertising message consists of language and other communication instruments that are themselves very deeply rooted in a given culture of a society. Even within the same language, word connotations can vary extensively from culture to culture" (Schutte and Ciarlante, 1998).

Interest on understanding consumers' attitude towards advertisement is not new. Since early 1970s, many of the studies in this area (e.g., Larkin, 1971, Dunn and Yorke, 1974; Rau and Preble, 1988; Moser and Johns, 1996; Al-Makaty, Tubergen & Whitlow, 1996; Shavitt, Lowtry & Haefner, 1998) have been conducted in the developed Western nations using Bauer and Greyser's (1968) two-dimensional measure of perceived social and economic effects of attitudes towards advertising. Several researchers in the 1980s (e.g., Shimp, 1981; Lutz, Mackenzie and Belch, 1983; Lutz, 1985; MacKenzie, Lutz & Belch, 1986; MacKenzie and Lutz, 1989) have empirically shown that advertising effectiveness, brand attitudes, and purchase intentions are influenced by consumers' attitude towards the advertisement. Most of these studies tended to use. With the exception of a handful of cross-cultural studies (e.g., Andrews, Durvasula & Neemeyer, 1994; O'Donohoe, 1995) and studies on China (e.g., Kwan, Ho & Cragin, 1983; Semenik, Zhao and Muir, 1986; and Semenik and Tao 1993; Pollay, Tse and Wang, 1990, Crellin 1998, Razzaque, 2008) there exists a general paucity of similar studies in the context of developing nations. This research on understanding consumers' attitude towards advertisement in Bangladesh – a developing nation in two different time periods ten-years apart will be a good contribution to the literature. As Bangladesh has undergone rapid economic changes during the last ten years, it is now attracting many international marketers. For all those marketers operating in (or intending to operate) in Bangladesh, it is imperative that they have a clear understanding of how consumers perceive their advertising and how to make their advertising effective in the context of Bangladesh.

Advertising in Bangladesh

Since gaining her independence from Pakistan in 1971, war ravaged Bangladesh adopted a socialist path of economic development until 1975 when a new military government ceased power and adopted a mixed economy leaning more towards capitalism. In the pre-1975 struggling socialist economy of Bangladesh, advertising had virtually no real meaning. However, all the post-1975 economic policies allowed market economy to flourish giving marketers opportunity to promote their market offerings to consumers by opening new channels of promotion. Through the dedication of talented ad makers, the ad industry in Bangladesh started to take shape at a steady pace. Ad regulations, however, were generally restrictive for all types of media and strict censorship policies were in force.

Since about 75% of the Bangladeshis live in rural areas, the broadcast media, particularly the radio, had the highest overall reach, followed by print media. Because of non-availability of electricity in many rural areas, TV ads had very poor reach in rural areas. But in the nation's urban areas TV ads had the most profound impact followed by the print media. The 2002 National Media Survey (NMS) found 25.8% of the population read newspapers. As such use of print media for advertising was a common practice among marketers.

Since the mid-1990s, Bangladesh witnessed a big change in its media landscape; there was, a proliferation of commercial media channels in the country. Bangladesh witnessed the introduction of cable television in 1992, and private television in 1997 bringing an end to the three-decade long domination of the state-owned Bangladesh Television. Over the years, the number of private television channels in Bangladesh increased exponentially driven mostly by massive growth in the telecommunications sector. Bangladeshis were introduced to Internet in the late 1990s which started to gain popularity from the beginning of the new millennium. Several big mobile phone operators have taken active interest in investing in media

advertising and branding. With more than 110 advertising agencies, the media industry has been thriving in Bangladesh (Rahman, 2016, p. 326). According to ACNielsen Media and Demographic Surveys (2015, 2013, 2006), access to television in the urban areas has increased from 69 percent to 96 percent over the last decade. By 2015 access to television surpassed 85 percent nationally.

According to the 2016 National Media Survey (NMS), Print is the second most widespread media in the country with 23.8 percent readership. It is interesting to note that even after the rise of TV and Internet print readership has not diminished that much. There has been a drastic improvement in the quality of print media in Bangladesh. They are now using better quality paper and adding more colour pages with a view to attract more consumers and advertisers. It should be noted that advertisers have not shunned the use of traditional advertisement outlets, such as billboards, store displays, street side shows and other indigenous methods of promoting.

Methodology

Background of respondents

The main objective of this paper is to present a comparison of the attitudes of the new generation Bangladeshi consumers' (between 18 and 24 years old) towards advertising in general and their media usage behaviour studied 10 ten years apart – in 2008 and 2018. In both these studies the respondents were tertiary students from universities and colleges as they represent a homogeneous population of interest and convenient sample. Use of a convenient sample of students is acceptable since earlier studies did not find any considerable difference between students' attitudes towards advertising in general and other cross-sections of the overall population (Ramaprasad and Thurwanger 1998).

While the 2008 study was based on the responses of 132 tertiary students aged between 18 and 24 in Dhaka, the capital city of Bangladesh, the current, 2018 study made use of a much larger sample of 403 students who completed the study between November 2017 and in June 2018. A short questionnaire was administered to the respondents in an informal environment which required between 15 and 20 minutes to complete. Any questionnaire completed by respondents below the age of 18 or above 24 was excluded from analysis. Because of this screening, the total number of usable questionnaires came down to 386 representing 252 or 65.3% male students and 134 or 34.7% female students. Almost two fifths of the respondents (38.6%) were between 18 years and 20 years of age while the remaining 61.4% belonged to the 21 years to 24 years age group. The 2008 study, however, had 54.5% male and 45.5% female participants.

Questionnaire development

Data for both S1 and S2 were collected using a modified version of the two-part questionnaire used by Liu (2002) to study advertising attitude of young Chinese consumers. The statements have been borrowed from the works of earlier researchers (e.g. Larkin, 1971; Kwan et al., 1983; Ho and Sin, 1986; Liu, 2002). Minor modifications were necessary to make the instrument usable in the Bangladesh context. First developed in English, the questionnaire was translated in Bengali, the native language of the Bangladeshi people with the help of an expert translators. To ensure equivalence of the two instruments, the Bengali version of the questionnaire was back-translated into English using a second language expert. The instrument was further modified after pre-testing on a group of 15 students to ensure accuracy. There were no inconsistencies between the original questionnaire and the re-translated version.

The first part of the S2 instrument (second part in S1) sought responses to a set of 34 five-point Likert-type statements (29 in S1) - ranging from strongly agree (1) to strongly disagree (5) regarding attitudes towards advertising in general focusing on five attitudinal areas in advertising, namely (i) individual perception of usefulness of advertising; (ii) importance of advertising for national economy; (iii) social beliefs about advertising; (iv) ethics considerations in advertising; and finally, (v) regulatory concerns in advertising. The second part of the S2 questionnaire (first part in S1) sought demographic information of the respondents. The questionnaire took about 15 - 20 minutes to complete.

Analysis and Findings

To facilitate comparability of the findings of the two studies, data were analysed using simple statistical tools such as frequency and mean tests. Results of the analyses of the two studies are presented below under different sub-headings.

The new generation Bangladeshis' general view on advertising

Analyses of the data reveal that the new generation Bangladeshis participating in the two studies obtain information on products and services from various sources. Respondents of S1 reported Television to be their major source of product information (34.9%) closely followed by word-of-mouth of friends, peers or relatives (29.3%). Other sources include magazines and newspapers (22.7%); radio (5.3%), Internet (4.1%) and others such as billboard, pamphlets, posters (3.7%). For them TV commercials were the most popular vehicles of advertisement followed by print media such as newspapers and magazines. More than half of the S1 respondents (54%) believed that there were too many advertisements in TV whilst about a third (32.7%) of them believed that the number of advertisements in print media is less than what it should have been. The results further indicated that 18% of the new generation customers participating in S1 spent at least seven hours or more per week reading magazines and newspapers; 30% spent between four and seven hours per week; 37% spent between one and three hours per week; while only 15% reported spending less than an hour on reading magazines and newspapers.

Although watching TV was reported to be popular among the S1 participants less than seven percent seemed to spend more than an hour daily watching TV; about 19% reported spending between half and one hour per day. Rest of the respondents reported less than half an hour of TV watching per day. Being students, respondents spent most of their time in the college/university; they could watch TV only at nights or during the weekend. Female respondents reported spending relatively more time in watching TV. This makes sense since in a traditional Muslim country such as Bangladesh women tend to spend more time at home than men. Almost half (47%) of the S1 respondents reported that they did not listen to radio at all; 30% appeared to be occasional listeners while only 13% listened to radio every day. Browsing the Internet – a relatively new phenomenon in those days- was quite popular among these new generation consumers. More than half of them (57%) reported spending an average of half an hour or less per day on Internet; almost a third (31%) reported spending between half and one hour whilst the remaining 15% spent more than an hour per day in browsing the Internet.

Almost half (47.8%) of the S1 respondents expected to see more advertising regarding motorcycles, computers, mobile phones and entertainment; 31.6% of the respondents would prefer more fashion information and 21.4% of the respondents wanted more advertising on watches, books and magazines.

Respondents of S2, however, reported obtaining product information from various sources namely, Internet including online search, social media and Youtube (73%); TV (69.7%); printed media such as newspapers and magazines (64.3%) and word-of-mouth of friends and relatives (37.6%). Other sources include radio (11.2%) as well as billboards, pamphlets and posters (9.1%). For them, Internet appeared to be the most popular vehicle of advertisement (77.9%). Internet browsing comprised online search, social media, LinkedIn and Youtube. About 14.1% of the respondents reported spending 3 hours or more per day on Internet, 19.3% spent between 2 and 3 hours, 35.6% spent between 1 and 2 hours and 31% spent less than 1 hour per day.

Unlike their S1 cohorts, S2 respondents, rated TV commercials as their second most popular vehicle of advertisement. This relatively higher proportion (compared with 34.9% in S1) is not surprising since in 2018, respondents could watch TV programs on Internet (computer/iPad/smart phones) and student dormitories had better access to television viewing. Of all the S2 TV viewers, 16.7% percent seemed to spend more than an hour daily watching TV; about 23.9% reported spending between half and one hour per day. The remaining respondents reported less than half an hour of TV watching per day.

Print media comprising newspaper and magazine was reported as the third most popular vehicle of advertisements. Compared to their S1 cohorts, a much larger proportion of the S2 respondents believed that there were too many TV ads

(74.3%); however, unlike them, about 43.2% of the S2 respondents believed that the number of advertisements in print media is less much more than what it should have been. Most of the respondents reporting reading newspapers and magazines did it online. About two-fifths of them (41.2%) reported spending between half and one hour per day while 22.1% reported spending more than an hour. Given the popularity of smart phones among the S2 respondents, these statistics is acceptable.

Reliance on 'Word-of-Mouth' (WoM - i.e., opinions/views of colleagues, friends and relatives) was rated as the distant fourth major source (37.6%) of gathering product/service information and a factor in influencing purchase decision. Interestingly, almost half of the respondents (41%) reported that they never listened to radio. Only 27% of the respondents reported listening to Radio but not regularly while the remaining respondents (22%) listened to radio regularly.

About two thirds (64.1%) of the S2 respondents wanted to see more advertisements on smart phones, laptops, iPads and similar other hi-tech products and entertainment; 21.3% wanted to see ads on cars, motorcycles and holidays computers, mobile phones and entertainment; 14.6% of the respondents would prefer more fashion information and ads on watches, books and magazines.

The advertisement volume in Bangladesh ranges from US\$250m to US\$300m and television shares two-thirds of it. Of the various types of advertising, the TV commercials appear to be the most popular vehicle of advertising promotion in the country (86%) followed by the print media, i.e., newspapers and magazines (27%). AC Nielsen 2017 survey also revealed TV to be the most viewed media in Bangladesh as viewership rose to 84 percent in 2016 from 74 percent in 2011. However, it saw a little decrease 80 percent in 2017.

Analysis of attitude statements among the new-generation Bangladeshis

Reliability of the attitudinal scales was assessed by calculating Cronbach's coefficient alpha for the multi-item scaled measures ($\alpha = 0.7017_{S1}$ & 0.7269_{S2}) and was found to have acceptable internal consistency according to Nunnally (1978). Table 1 presents the mean score (ms) of each of the statements under each of the five categories of beliefs about advertising computed from the responses of the S1 and S2 participants. Discussion of the responses are presented in the paragraphs below. The subscripts S1 & S2 denote 2008 study and 2018 study, respectively.

Table 1 About here

Perceived personal beliefs about advertising: In both S1 and S2, the new-generation Bangladeshis seemed to have agreed that advertising provided not only useful information ($ms = 2.76_{S1}$ & 2.17_{S2}) but also helped them to make an important purchasing decision ($ms = 2.79_{S1}$ & 1.98_{S2}). They also tended to believe that advertisements have occasionally mislead them ($ms = 2.17_{S1}$ & 1.94_{S2}) and made them buy unwanted things ($ms = 2.64_{S1}$ & 1.59_{S2}). They also felt that there was too much advertising today ($ms = 1.59_{S1}$ & 1.26_{S2}).

The respondents in S2 appeared indifferent ($ms = 2.89$) about the statement '*In this digital age, advertisements are not really necessary*'. However, they expressed strong agreement with the statement '*Repeated advertisements are truly annoying*' ($ms = 1.43$) and "*I do not think celebrities used in ads use the product or service they promote*" ($ms = 1.63$).

Beliefs about the economic dimensions of Advertising: Respondents in S1 as well as S2 seemed to have endorsed the view that advertising plays a vital role in promoting the economic growth of Bangladesh. Respondents seemed to have agreed that advertisement enhanced the overall economic development of Bangladesh ($ms = 1.97_{S1}$ & 1.94_{S2}) and that advertising helped raise the standard of living of the people of Bangladesh ($ms = 2.51_{S1}$ & 2.42_{S2}). They disagreed with the statement "*good products do not require advertisement*" ($ms = 3.12_{S1}$ & 3.43_{S2}) and that advertising is a wasteful exercise ($ms = 2.84_{S1}$ & 4.21_{S2}) However, while the S1 respondents appeared to be rather unsure as to whether advertising results in the development of better products for the public ($ms = 2.92$) the S2 respondents believed that they do ($ms = 2.12$). Both

the S1 & S2 respondents seemed to be unhappy with the fact that advertising was responsible for raising the prices of goods and service ($ms = 2.21_{S1} \& 2.03_{S2}$).

Social beliefs about advertising: The new generation Bangladeshi consumers of 2008 as well as 2018 reflect a mixed attitude towards the social effects of advertising. The general positive attitude towards the social effects of advertising notwithstanding, they appeared to be sensitive to the possible negative social consequences of advertising. While most disagreed that advertising was silly and ridiculous ($ms = 3.73_{S1} \& 2.98_{S2}$.) or it insulted consumer intelligence ($ms = 3.81_{S1} \& 3.03_{S2}$), they

seemed to be aware of the possible negative social consequences of advertising. For example, they felt that advertising affected children adversely by familiarizing them with things that they need not know about as a child ($ms = 2.23_{S1} \& 1.71_{S2}$) and develops in children a sense of false need ($ms = 2.05_{S1} \& 2.19_{S2}$). However, they had different beliefs about the issue 'Advertisements promote materialism' ($ms = 2.12_{S1} \& 3.19_{S2}$), the view that '*many advertisements are insensitive to our culture and tradition*' ($ms = 2.01_{S1} \& 3.12_{S2}$) and advertisements degrade women and corrupt our cultural value' ($ms = 1.98_{S1} \& 3.12_{S2}$).

A new attitude statement in S2 '*Advertisement often control media*' dealing with an emerging social concern in advertising elicited resulted in a mean score of 2.87 implying very weak agreement with the statement.

Ethical concerns in advertising: Respondents in both S1 and S2 seemed to have ethical concerns about the ads. They did not agree with the statement *I really don't care about the ethicality of the advertisement*, albeit, the extent of disagreement varied ($ms = 3.54_{S1} \& 3.01_{S2}$). Perhaps this is reflective of their response to the view that advertisements today promote unethical Western values ($ms = 1.88_{S2} \& 2.39_{S2}$). However, both S1 and S2 respondents seemed to endorse the belief that advertisements are often false and misleading ($ms = 2.17_{S1} \& 2.23_{S2}$); and '*advertisements make exaggerated claims*' ($ms = 2.45_{S1} \& 2.31_{S2}$) and that '*Advertisements do not necessarily present the true picture of the product or service advertised*' ($ms = 2.35_{S1} \& 2.46_{S2}$). There seems to be a general agreement among both S1 and S2 respondents that advertising tend to influence children easily and affects them adversely ($ms = 2.43_{S1} \& 2.31_{S2}$).

Beliefs about regulating advertising: Respondents in both S1 and S2 expressed a positive attitude towards regulating advertising industry; they wanted to see more government regulation on advertising messages ($ms = 1.78_{S1} \& 2.27_{S2}$). They also had agreement on the issue that advertising using children and women should be carefully monitored ($ms = 2.25_{S1} \& 2.41_{S2}$) and advertisements aimed at children should be strictly regulated ($ms = 2.29_{S1} \& 2.13_{S2}$). They wanted banning of advertisements of harmful and dangerous products ($ms = 2.17_{S1} \& 2.33_{S2}$). Although S1 and S2 participants represented two distinctly different new-generation Bangladeshi consumers of two different time periods, interestingly, their responses to the statement '*Advertisements should not contain sexual suggestions*' were very similar in terms of strength as well as direction ($ms = 2.21_{S1} \& 2.29_{S2}$).

Discussions of Findings

Analyses of the two exploratory studies of the new generation Bangladeshis on attitude towards advertising obtained from two separate studies conducted ten years apart using the same instrument reveal interesting results and provide food for thought for marketers and advertisers. It seems that the overall attitude of the young, new-generation consumers of Bangladesh towards five different sets of beliefs did not significantly change over the last ten years. It appears that the new breed of consumers tends to agree with the need for advertising to provide information as an effective guide for them in making their purchase decisions. They also seem to be aware of the role and importance of advertisement toward economic growth and development. However, at the same time, they are also concerned about the social and ethical impact of advertising and the importance of regulating the ad industry. In both S1 and S2, the overall attitude towards advertising is somewhat mixed attitude towards advertising. Apart from 8 of the 29 items common in both S1 and S2 (see Table 2) all the

beliefs (statements/issues) have very similar responses in terms of their direction (positive or negative) although the relative strength of the responses somewhat varied.

When the study S1 was undertaken in 2007, consumers in Bangladesh were much less affluent than they are now, product availability was rather limited, marketing practices were based on product and selling concepts and advertising did not have much impact on consumers. But the situation has changed now. Because of globalization, adoption of market economy and rapid technological development many companies, both domestic and international, have been adopting marketing orientation. This has been instrumental in the development of advertisement industry in Bangladesh. Yet, attitude of the new generation consumers towards advertising has not changed much, the changes in mean scores are not statistically significant. One would like to think that given the wide range of choices of products/services available to them, the new generation consumers would represent a more informed, socially and ethically concerned but less traditional generation. But the results do not seem to support this; the responses were found to be significantly different in 8 of the 29 items as can be seen in Table 2.

Table 2 About here

One way to analyse the differences would be to look at the beliefs themselves. It may be argued that the new generation of Bangladeshi consumers of 2018 are better educated than their 2008 cohorts, they have been exposed to more liberal ideas and are slowly trying to come out of the traditional, more conservative mindset and mode of thinking; they are perhaps viewing themselves as the trendsetters for the future and the differences in their responses reflect these realities. Dave McCaughan, strategic planning director of McCann World group, a leading marketing communication solution provider believes "...Bangladesh would be the next emerging market in the advertising sector in Asia after Indonesia and Vietnam" (Saha, 2012). It is imperative that marketers and advertisers understand the attitude of this group of consumers towards advertising and undertake research to determine what constitutes effective advertising campaigns in the context of Bangladesh and develop advertising campaigns that are likely to work better.

Reference

- [1] Abernethy, A.M. & Franke, G.R. (1996). The information content of advertising: A meta-analysis. *Journal of Advertising*, 25(2): 1-17.
- [2] ACNielsen (2006). *Bangladesh mass media and demographic survey 2006*. Dhaka: ACNielsen.
- [3] ACNielsen (2013). *National mass media and demographic survey 2013*. Dhaka: ACNielsen.
- [4] ACNielsen (2015). *National mass media and demographic survey 2015*. Dhaka: ACNielsen. Unpublished.
- [5] Akter, Syeda 2008. "Telecom operators battle fuel increase in advertising spend." *The Daily Star*. March 11, Dhaka.
- [6] Al-Makaty, S.S., Tubergen, G.N.V., Whitlow, S.S. and Boyd, D.A. (1996), "Attitudes toward advertising in Islam", *Journal of Advertising Research*, May/June: 16-26.
- [7] Alwitt, L.F. and P. R. Prabhaker, P. R. (1994), "Identifying Who Dislikes Television Advertising: Not By Demographics Alone," *Journal of Advertising Research* 34 (6):17-29.
- [8] Allport, G.W. (1935), "Attitudes", in Murchinson, C.A. (Ed.), *A Handbook of Social Psychology*, Clark University Press, Worcester, MA, pp. 798-844.
- [9] Andrews, J.C., Durvasula, S. and Neemeyer, R.G. (1994), "Testing the cross-national applicability of US and Russian advertising belief and attitude measures", *Journal of Advertising*, 23 (10): 71-82.
- [10] Assael H. (1995), *Consumer Behavior and Marketing Action*, 5th ed., International Thomson Publishing.
- [11] Baack, Daniel W. & Singh, Nitish, 2007. "Culture and Web Communications," *Journal of Business Research*, 60 (3):181-188.

- [12] Bangladesh National Media Survey (2016).
- [13] Bauer, R.A. and Greyser, S.A. (1968), *Advertising in America: The Consumer View*, Harvard University, Boston, MA.
- [14] Bennett, P.D. and Kassarijan, H.H. (1972), *Consumer Behavior*, Prentice-Hall, Englewood Cliffs, NJ.
- [15] Berman, R. (1981). *Advertisement ad Social Change*. Beverly Hills, CA: Sage 1981. p.13
- [16] Crellin, M. (1998), "Young China welcomes west", *Marketing Week*, 16 July, London.
- [17] Dhaka Tribune, Bangladesh among fastest-growing ad markets, May 3, 2019.
- [18] Dunn, S.W. and Yorke, D.A. (1974), "European look at advertising", *The Columbia Journal of World Business*, 9 (4): 54-60.
- [19] (The) Economist (1996), January.
- [20] Engel, J.F., Blackwell, R.D. and Miniard, P.M. (1995), *Consumer Behavior*, 8th ed., The Dryden Press, New York, NY.
- [21] Fishbein, M. (1975), "Attitude, attitude change, and behavior: a theoretical overview", in Levine, P. (Ed.), *Attitude Research Bridges the Atlantic*, American Marketing Association, Chicago, IL, pp. 3-15.
- [22] Ho, S.C. and Sin, Y.M. (1986), "Advertising in China: looking back at looking forward", *International Journal of Advertising*, 5: 307-16.
- [23] Hogg, M. & Vaughan, G. (2005) *Social Psychology* (4th Edition) Prentice Hall: London - chapter 5
- [24] Hong, J.W., Muderrisoglu, A. and Zinkhan, G. (1987), "Cultural differences and advertising expression: a comparative content analysis of Japanese and US magazine advertising", *Journal of Advertising*, Vol. 16 No. 1, pp. 55-62.
- [25] Kaynak, E., Kucukemiroglu, O. and Hyder, A. S. (2000) Consumers' country-of-origin (COO) perceptions of imported products in a homogenous less-developed country *European Journal of Marketing*, Volume 34 Number 9/10 2000 pp. 1221-1241
- [26] Kwan, Y.K., Ho, Y.N. and Cragin, J.P. (1983), "Contemporary advertising attitudes and practices among executives in the People's Republic of China", *Journal of the Marketing Research Society*, 25 (January): 59-71.
- [27] Larkin, E. (1971), "A Q-analysis of values and attitudes toward advertising", *Journalism Quarterly*, 48(Spring): 68-72.
- [28] Liu, Wen-Ling, (2002) "Advertising in China: product branding and beyond", *Corporate Communications: An International Journal*, 7(2):117-125.
- [29] Lutz, R. (1985), "Affective and cognitive antecedents of attitude toward the ad: a conceptual framework", in Alwitt, L. and Mitchell, A. (Eds), *Psychological Processes and Advertising Effects*, Erlbaum, Mahwah, NJ, pp. 45-63.
- [30] Lutz, R. (1991), "The role of attitude theory in marketing", in Kassarijan, H.H. and Robertson, T.S. (Eds), *Perspectives in Consumer Behavior*, 4th ed., Prentice-Hall, Englewood Cliffs, NJ, pp. 317-39.
- [31] Lutz, R., MacKenzie, S. and Belch, G. (1983), "Attitude toward the Ad as a mediator of advertising effectiveness: determinants and consequences", in Bagozzi, R. and Tybout, A. (Eds), *Advances in Consumer Research*, Vol. 10, Association for Consumer Research, Ann Arbor, MI, pp. 532-9.
- [32] MacKenzie, S. and Lutz, R. (1989), "An empirical examination of the structural antecedents of attitude-- toward-the-Ad in an advertising pretesting context", *Journal of Marketing*, 53(April): 48-65.
- [33] Moser, H.R. and Johns, H.E. (1996), "An empirical analysis of consumers' attitudes toward attorney advertising", *Journal of Professional Services Marketing*, 15 (1): 85-104.
- [34] Nunnally, J.C. (1978), *Psychometric Theory*, 2nd ed., McGraw-Hill, New York, NY.
- [35] O'Donohoe, S. (1995), "Attitudes to advertising: a review of British and American research", *International Journal of Advertising*, 14(3):245-61.

- [36] Pollay, R.W., Tse, D.K. and Wang, Z.Y. (1990), "Advertising, propaganda, and value change in economic development", *Journal of Business Research*, 20: 83-95.
- [37] Rahman, A. (2016). Print and electronic media. In A. Riaz & M. S. Rahman (Eds.), *Routledge handbook of contemporary Bangladesh* (p. 325-339). London: Routledge.
- [38] Ramaprasad, J. and Thurwanger, M.L. (1998), "South Asian students' attitudes toward and beliefs about advertising: measuring across cultures", International Communication Division, 1998 AEJMC Annual Conference, Baltimore, MD.
- [39] Rau, P.A. and Preble, J.F. (1988), "Corporate public issue advertising: analysis of the attitudes of chief executives", *International Journal of Advertising*, 7(4): 293-306.
- [40] Razzaque, M.A. (2008), Attitude Toward Advertising; An Exploratory Study of the New Generation Consumers in Bangladesh, *Proceedings of the 2008 Academy of Marketing Science (AMS) Annual Conference*, pp. 104-108.
- [41] Saha, S. (2019), Bangladesh: the next hotspot in ad business, *Daily Star*, May 3, 2019
<https://www.thedailystar.net/news-detail-238817>
- [42] Sandage C. H. and J.D. Leckenby.1980. "Student Attitudes toward Advertising: Institution vs. Instrument." *Journal of Advertising* 9 (2):29-32.
- [43] Schutte, H. and Ciarlante D. (1998), *Consumer Behaviour in Asia*, Macmillan Press Ltd, London.
- [44] Semenik, R.J. and Tao, D. (1993), "Chinese managers' attitudes towards advertising: before and after the Tiananmen Square incident", *International Journal of Advertising*, 13:243-55.
- [45] Semenik, R.J., Zhou, N. and Moor, W.L. (1986), "Chinese managers' attitudes toward advertising in general", *Journal of Advertising*, 15 (4): 56-62.
- [46] Shavitt, S., Lowtry, P. and Haefner, J. (1998), "Public attitudes toward advertising: more favorable than you might think", *Journal of Advertising Research*, 38 (4): 7-22.
- [47] Shimp, T.A. (1981), "Attitude toward the ad as a mediator of consumer brand choice", *Journal of Advertising*, 10(2): 9-15.
- [48] Slater, Don (1997) *Consumer Culture and Modernity*. Cambridge: Polity Press.
- [49] Thurstone, T. T. (1928), Attitudes can be measured, *American Journal of Sociology*. 33: 529 – 554
- [50] Wells, W., Burneet, J. and Moriarty, S. (1998), *Advertising: Principles & Practice*, 4th ed., Prentice-Hall, Englewood Cliffs, NJ.
- [51] Zano, E. 1981. "Public Attitudes toward Advertising." In H. Keith Hunt (Ed). *Advertising in a New Age*. Provo, Utah: American Academy of Advertising.
- [52] Zhang, P. 2000. "The Effect of Animation on Information Seeking Performance on the World Wide Web: Securing Attention or Interfering with Primary Tasks." *Journal of Association for Information Systems* 1(1).

Table 1: Mean Score on statements showing attitude of new generation Bangladesh consumers towards advertising in 2008 and 2018

Statements reflecting respondents' attitude towards various aspects of advertisements		Mean Score (ms)	
		2008	2018
Perceived personal beliefs about Advertising			
1.	Advertisements provide useful information for me to make purchase decisions.	2.76	2.17
2.	Advertisements made me buy unwanted things	2.64	1.59
3.	I have often been misled by ad messages	2.17	1.94
4.	Advertisements have helped me make important purchase decisions.	2.79	1.98
5.	There are too many advertisements these days.	1.59	1.26
N1	In this digital age, advertisements are not necessary.		2.81
N2	Repeated advertisements are truly annoying		1.43
N3	I do not think celebrities used in ads use the product or service they promote.		1.63

Beliefs about the economic dimensions of Advertising			
6.	Advertising is essential for the economy of Bangladesh.	1.97	1.94
7.	Advertisement helps raise people's standard of living.	2.51	2.42
8.	Advertising results in the development of better products for the public	2.92	2.12
9.	Because of advertisements prices of products/services go up.	2.21	2.3
10.	Advertising is a wasteful exercise.	2.84	4.21
11.	Good products do not require advertisements to sell.	3.12	3.43
Social beliefs about Advertising			
12.	Most advertisements are insult to consumers' intelligence.	3.81	3.03
13.	Most advertisements are silly and ridiculous	3.73	2.98
14..	Advertisements tends to degrade women and corrupt our cultural value	1.98	3.12
15.	Many advertisements are insensitive to our culture and tradition	2.01	3.12
16.	Advertising familiarises children with things that they need not know about	2.23	1.71
17.	Advertisements promote materialism	2.12	3.19
18.	Advertisement develops in children a sense of false need	2.05	2.19
N4	Advertisements often control the media		2.71
Ethical beliefs about Advertising			
19.	Advertising tend to influence children easily and affect them adversely	2.43	2.31
20.	Advertisements today promote unethical Western values	1.88	2.39
21.	Advertisements do not necessarily present the true picture of the product or the service being advertised.	2.35	2.46
22.	I really don 't care about the ethicality of the advertisement	3.54	3.01
23.	Advertisements are often false and misleading	2.17	2.23
24.	Advertisements tend to make exaggerated claims	2.45	2.31
N5	Advertisements create and perpetuate stereotyping through its portrayal of various groups (e.g., women, minorities etc.)		3.16
Beliefs about regulating advertising			
25.	Advertisements aimed at children should be strictly regulated.	2.29	2.13
26.	Government should strictly regulate advertisement messages.	1.78	2.27
27.	Advertisements should not contain sexual suggestions	2.21	2.29
28.	Advertising using children and women should be carefully monitored	2.25	2.41
29.	Advertisements of harmful and dangerous products must be banned	2.17	2.33

Table 2: Attitude towards advertisement: Items with opposite responses in S1 and S2

Statements reflecting respondents' attitude towards various aspects of advertisements		Mean Score (ms)	
		2008	2018
Perceived personal beliefs about Advertising			
2	Advertisements make me buy unwanted things	2.64	1.59
4	Advertisements have helped me make important purchase decisions.	2.79	1.98
Beliefs about the economic dimensions of Advertising			
10	Advertising is a wasteful exercise.	2.84	4.21
Social beliefs about Advertising			
13	Most advertisements are silly and ridiculous	3.73	2.98
14	Advertisements tends to degrade women and corrupt our cultural value	1.98	3.12
15	Many advertisements are insensitive to our culture and tradition	2.01	3.12
17	Advertisements promote materialism	2.12	3.19
Ethical beliefs about Advertising			
20	Advertisements today promote unethical Western values	1.88/2.39	2.39

Integrating Knowledge Society: A Survey Led in Three Universities

Azzedine Bouderbane

Teboura Benkaid Kesba

Nadjia Gamouh

Abstract

Knowledge is considered as a general basic principle for managing the individual's tasks and activities and for organizing society. This precious resource is so important that its acquisition is able to provide strength and wealth to its holder. The environment in which we interact now is known as 'Knowledge Society'. One can notice from this terminology that knowledge is pre-requisite for people who wish to live in this modern space. However, knowledge alone is no longer sufficient to integrate this complex society. Several other factors are now needed to integrate 'Knowledge society'. A lot of people are interested in getting a place in this new society, but they do not really know about the parameters required by 'Knowledge society'. A problem is stated and some questions are raised: What are the fundamental factors that people should acquire to be able to integrate this new complex society? Is it easy to acquire these factors? We attempted to answer these questions through a survey that we led with a sample of university teachers from three universities in the city of Constantine. We adopted the descriptive approach and used the interview as an instrument for collecting data. Significant results were obtained. The main result consisted in the acquisition of digital literacy.

Keywords: Knowledge society; complex society; prerequisite factors; integration; survey; university teachers; Constantine.

Introduction

Progress generates an unprecedented upheaval in all fields. The acquisition of information and knowledge by citizens gives new dimensions to learning and development. Technology has disseminated a variety of products that enable people to have access to information and knowledge rapidly and efficiently in a moving society. Information resources are available in a variety of shapes. Knowledge has become a valuable resource that provides strength and wealth. On the one hand, this resource helps individuals in their daily activities, and, on the other hand, it helps in organizing society. Though a lot of people endeavor to integrate this new modern knowledge society, most of them fail in achieving their goal. The reason is that a lot of people do not first make efforts to know about the parameters required by this society that can allow people to integrate this new environment. A problem is stated and some questions are raised: What are the fundamental factors that people should acquire to be able to integrate this new complex knowledge society? Is it easy to acquire these factors? We attempted to answer these questions through a survey that we led in the city of Constantine. Three universities were concerned by the survey. A sample of university teachers constituted our population of study.

Information and knowledge

Nowadays, It is not sufficient to know how to read. We should also be able to know how to use the new means of communication in order to be able to have access easily to the needed information. In this new society, our future relies on our capacities in using and exploiting our knowledge which has become pre-requisite for any progress and for any success. The writer Blanquet said: "The future belongs to those who master knowledge" (Blanquet, 1999). Libraries and information sources have become a fundamental means for all citizens. They are the main keys that help to open the doors of knowledge society (Candallot, 2005). It is hard to acquire knowledge in this new society, where information knows a real explosion. The rapid development of technology has led to the emergence of a variety of new information products and services that permit an efficient access to information. These technological products are found in all areas. They help in filtering a great quantity of information and in processing it at a very high speed.

In this economic world that is hostile to social and economic activities through the ever-increasing diversity of events and products that have to be managed. To know how to manage, we need to know how to use information and produce knowledge. It is even emphasized that the educated man is the one who "has acquired a method of research and work to be able to form an idea by himself" (Pochet, Thirion, 1999). In this frightful context, only the intelligent person armed with the right information, remains competitive (Bouderbane, 2004). Thus, the appropriation of information becomes strategic to stimulate innovation and creation, in order to anticipate competition or to contract new projects. All this must be accompanied by the mastery of the use of new technologies. Information is therefore the leverage to drive business success, performance and prosperity, when it is new and appropriately addressed so that it can act effectively when needed. This is about the transformation of this information into a useful and exploitable knowledge to follow the pace of development.

Knowledge society

The evolution of knowledge, as a product of human intelligence, generates a real mutation within society. The day-to-day work of individuals and institutions is increasingly based on access to information and knowledge. This information is so abundant, so useful that it has pushed people to develop communication networks that are forming at a blazing speed (Goulding, 2001). The introduction of ICT in this shifting society has given a new dimension to the explosion of information sources and communication systems. Men have understood that access to information is rewarding. Institutions are also experiencing growing development. They need knowledge to achieve efficiency and to be able to occupy a nice position in an increasingly complex and highly competitive environment known as knowledge society. The integration in this new society is very hard for individuals who have not acquired some specific characteristics required by knowledge society (Bouderbane, 2013). Furthermore, these individuals do not care about these requirements. Developed societies have generated knowledge societies that are able to produce knowledge, to handle it, to access to it, to produce the instruments that permit the access to this precious resource. These societies assure training and encourage their institutions to train citizens, so that they will be familiar with knowledge and understand how to learn by handling information and knowledge (Rigot, 2006).

Methodology

We led a survey at the three Universities of Constantine 1, 2 and 3. A sample of sixty (60) university teachers, randomly selected, accepted to respond to our questions in an interview that we arranged at the central university libraries. Thirty males and thirty females, in addition to twenty teachers from each university constituted our sample. We wanted, on the one hand, to identify to which extent university teacher were aware of the fundamental factors that they should acquire to be able to integrate knowledge society, and, on the other hand, to check whether it was easy for them to acquire these factors. We adopted a qualitative study. In our interview, we showed a list of ten factors (see the appendix) that may help in integrating knowledge society. We asked our respondents to select the most appropriate factors. It was possible for them to include any other factor of their choice.

The survey's results

Competence

All the respondents (100 %) selected this factor in the first position. They mentioned that competence meant having the theoretical and the practical knowledge of a specific discipline, in addition to a method of work that facilitates the pedagogical interaction with people in general and learners in particular.

Autonomy

In the second position, 54 respondents attested that they needed independence in order to integrate knowledge society explaining that teachers had to rely on themselves in any project they undertook. The new society requires individuals who are able to take decisions, to lead projects and to think independently.

Flexibility

In the third position, 50 university teachers showed the importance of flexibility. They mentioned that society is open to a variety of aspects, so teachers had to be its image. They added that they could not imagine a stubborn teacher integrating

an open environment. Several new things had to be accepted in order to be accepted by the members of knowledge society. Flexibility requires making efforts to be open – minded.

Information literate

As a fourth position, 45 respondents underlined the importance of acquiring information literacy as a basic human right in knowledge society that promoted social inclusion in it. Information literacy meant for them handling efficiently the techniques of information search (.Hinchliffe, 2005) They also mentioned that it was important for individuals to have a spirit of ethics when using and exploiting information and that they should understand that information had economic, social and legal dimensions. They added that teachers should understand the importance of making efforts to produce information, not just to consume it. They affirmed that information literacy should be acquired by all people: It could help them to integrate this new complex society (Baltz, 1998). Their social and professional position and statute would be preserved. They should know that their future relied on their capacities in using and exploiting knowledge, the source of any progress and any success. Updating our knowledge has become a constant process and getting the ability to know how to search information is learned in all disciplines; this has become a necessary universal competence (Duspaire, 2004).

Technology literate

The fifth position was taken by 45 respondents who showed the necessity of handling efficiently the techniques of information search via technological devices. They added that this competence could allow them to overcome anxiety that was felt in front of new machines, and to avoid 'techno-stress' (Van Wallace, 2013). They affirmed that the mastery of technology has become indispensable; "it has given rise to new paradigms of services and new roles for the staff" (Curran, 2006). They were convinced that when well handled, these technological instruments would become very useful: "technology changes and the better trained a staff is, the better they can handle those changes" (Childers, 2003).

Accepting change and coping with it

40 respondents took the sixth position while stressing the factor of change which became inevitable. They added that knowledge society was facing a rapid and a constant change that educators should take into account in their daily activities. They affirmed the necessity of being able to adapt yourself to the new situations, to the new changing environment, and to the modeling of human behaviors. Darwin was convinced that the species that survive were neither the strongest ones nor the most intelligent ones, but rather those that know how to adapt themselves.

Accepting life-long learning

30 university teachers selected life-long learning in the seventh position. They emphasized the factor of updating our knowledge that became a constant process. For our respondents, refusing continuous training meant to be on the margin of knowledge society. "We do not want to be excluded from the new society", they affirm. Training has become an obligation for every educator. "Training has become a necessity, not a luxury" (Childer, 2003).

To be operational

26 respondents selected in the eighth position the factor of being operational. "The new society does not accept individuals who are lazy, late or tired", they stressed. They explained that this complex society was not social or emotional. "That new environment is materialistic, harsh and concrete", they added. They concluded that knowledge society rejected individuals who were non operational or no longer able to respond to society strict orders. Either you are present when they need you or you are absent and no longer useful.

Handling foreign languages

25 university teachers opted for this factor as a ninth issue. They recognized the importance of handling at least two foreign languages in this competitive space. They added that it was very hard for individuals who use just their mother tongue to occupy a position in knowledge society. Our respondents underlined the high position of English in this new environment. "It has become a must", they said.

An individual with multiple competencies

In the tenth position, 24 university teachers mentioned the fact that being good in just one unique discipline was no longer sufficient. "Knowledge society requires individuals with several an multiple competencies", they said. They underlined the importance of mastering foreign languages, of handling technology, in addition to your expertise in your selected discipline. They added that you were able to collect knowledge about others disciplines, it would be suitable.

To be innovative

In the eleventh position, 21 respondents underlined the factor of innovation. They explained that knowledge society preferred individuals who believed in innovation, who were motivated for launching innovative projects and for creating new services. They added that these individuals had to be imaginative and ready to learn and get informed about innovation as a subject of interest. At last, they explained that they had to encourage the other people to be creative.

To care about sustainable development and environment

The twelfth position went to 12 respondents who wanted to explain that all teachers should put in their mind that society needed them, and that they had to participate in developing it in a positive way. Protecting the environment was a factor that attracted their attention. They mentioned that progress should not be anarchical, but should rather rely on preserving our natural space for the benefit of the next generations. They added that we should not accept the destruction of our environment. "Knowledge society had to endeavor for the sake of protecting nature", they affirmed.

Able to work in networks

The thirtieth position concerned 10 respondents who believed in the importance of group work. They mentioned that knowledge society required persons who were able to work collectively in projects. These persons could be separated geographically and would work on multidisciplinary projects. In this way, they thought, the results would be more satisfactory.

To accept to be visible

Five university teachers took the fortieth position and emphasized the factor related to visibility. They mentioned that knowledge society was a space of digital activities in which you could no longer feel free in your daily work. They explained that the electronic supports that we used made us visible in the digital world. They also added that our group – work outcomes and our inclusion in network activities would not remain invisible. They concluded that knowledge was shared and disseminated through open access and visibility.

General comments

Teachers who answered our questions come from a variety of disciplines that require information skills and knowledge. The respondents, in general, seem to be prepared to assume their future responsibilities in knowledge society. They underline the importance of acquiring information and technological literacy stressing the necessity of handling digital supports (Massou; Morelli, 2012). The survey shows that teachers know that they will not succeed in integrating the new complex society if they do not give importance to information and knowledge, in addition to some other specific factors discussed in the interview (Chevillote, 2005). They recognize the importance of continuous training and life-long learning in order to be independent in their activities. They also highlight the factor of flexibility which helps a lot in interacting with the other people. As competence "is a set of knowledge and behaviors" (Praderie, Plasse, 1995), teachers insist on acquiring multiple competences and on being operational all the time to avoid being on the borders of knowledge society. They show the development of networking as a new expanding method of work (Serres, 2008). They also believe in change and accept it in order to be able to cope with all that is new. Our respondents emphasize the importance of mastering foreign languages in knowledge society. Some of the university teachers mention the new living style which renders everything visible. Sustainable development and innovation have also attracted the attention of our respondents. They know that they have an outstanding mission to accomplish: they should prepare the young generation for knowledge society.

Conclusion

In the era of knowledge society, the environment has a new shape.. The comprehension of change, its assimilation and acceptance throughout the world should incite individuals to be more conscious than before, to be alert and perspicacious in order to be able to cope with change and with its impacts. We have to be present in these new spaces to be able to have a place, a position... a status. We should not be frightened by this complex environment. The handling of multiple competences, the mastery of information and communication technologies can be a suitable issue to face change and to manage it adequately. Literacy suggests understanding and the ability to adapt and increase that understanding (Childers, 2003). Learning and acquiring knowledge can cure us from ignorance, failure and distress. The developed world moves forward very rapidly, but reforms in developing countries are often very slow, and human's behavior is often inflexible. Governments should help their citizens by reducing their difficulties and anxiety when being in front of projects that require information search and technology use (Mebarki, 2003) The University has a vital and strategic mission: it should stand as a strong supporting pillar in enhancing development and innovation in all levels (Robles, 2006). Educators and authorities should reconsider the potential of information literacy that should be adopted as a global approach for educating citizens who can be able to develop their own identity in knowledge society. We should stop speaking just about food; it is high time we gave a priority to integrating this new complex society.

References

- [1] Baltz, C. (1998) . « Une culture pour la société de l'information ? Position théorique, définition, enjeux », *Documentaliste – Sciences de l'information*, 35,1
- [2] Blanquet, M.F. (1999). S'approprier l'information électronique, *Bulletin des Bibliothèques de France*, 44(3), p. 8-16
- [3] Bouderbane, A., 2013. Information Literacy: A Key for Getting in Knowledge Society. In *Revue Madjelet El Maktabet Wa El Maaloumat*. Vol. 4, no. 2, p. 1-6.
- [4] Bouderbane, A., (2004), « La formation des utilisateurs à l'ère de l'intégration des NTIC dans les systèmes d'information », p.60-72.in :Arab, A.dir. , *Unification des techniques documentaires dans les bibliothèques algériennes*, Alger, Dar El Malakia.
- [5] Candallot, C. (2005). La formation à la recherche documentaire, *Documentation et Bibliothèques*, Oct.-Déc., 231-23
- [6] Chevillotte, S., (2005). *Bibliothèques et Information literacy : un état de l'art* . BBF, 2005, n° 2, p. 42-48
- [7] Childers, S. (2003). Computer literacy : necessity or buzz work ?, *Information and Libraries*, 22(3), p.102-109
- [8] Curran, M. (2006). « The 8'R's and training needs », *ARGOS*, 35,2.
- [9] Duspaire, J.L. (2004). La documentation : une fonction essentielle du système éducatif. *Argos*, 36, p.53-56
- [10] Goulding, A. (2001). Information poverty or overload? *Journal of Librarianship and Information Science*.Vol.33,n.3,p.109-111
- [11] Hinchliffe, L.J. (2005). Nouveaux développements en maîtrise de l'information, *Bulletin des Bibliothèques de France*, 50(6), p.56-63
- [12] Massou, L., Morelli, P., (2012). Usagers et non-usagers des TIC..., Villes et territoires numériques, Colloque international, 6-7 fev., Paris.
- [13] Mebarki, M. (2003). *Sauver l'université*. Oran : Dar-El-Gharb.
- [14] Pocher, B. et Thirion, P. (1999). « Formation documentaire et projets pédagogiques », *Bulletin des Bibliothèques de France*, 44,1.
- [15] Praderie, M. et Plasse, D. (1995). Les enjeux de la formation. Paris : Retz.
- [16] Rigot, H. (2006). L'agir informationnel ou comment former l'homme de la société de l'information ?, *Documentation et Bibliothèques*, 52(3), 201-207.
- [17] Robles, G. C. (2006). Management de l'innovation technologique et des connaissances. Sarrebruck : Éditions Universitaires Européennes.
- [18] Serres, A. (2008). « Éducatons aux médias, à l'information et aux TIC : ce qui nous unit est ce qui nous sépare », *Colloque international de l'ERTÉ, L'éducation à la culture informationnelle, Lille, 16-17-18 octobre 2008*.

Appendix

Select from the list below according to your preference and in a chronological order the factors required for integrating knowledge society:

Competence	Accepting life-long learning
To be innovative	To accept to be visible
Handling foreign languages	Able to work in networks
Flexibility	Technology literate
Information literate	Accepting change and coping with it
Autonomy	An individual with multiple competencies

The Pragmatic Functions of Vague Expressions in Hillary Clinton's Debating Discourse on Iraq

Huda H. Khalil

Department of English, College of Education for Women, University of Baghdad, Jadiriya, Baghdad, Iraq.

Abstract

After 2003, the political, social and economic situation in Iraq has changed dramatically. The United States of America has the major role in that change which has raised a lot of controversy around the world. In April 2014, ISIS militants have seized large Iraqi territories leading to chaotic, insecure and dangerous status in Iraq as a whole. In 2016, the Iraqi government has lost hope of any foreign positive intervention in Iraq. Therefore, the Iraqi authority decided to face the crisis and try to send ISIS out of the occupied lands. Assisted and encouraged by the Fatwa against ISIS launched by the Shiite community chief in Iraq, the Iraqis started fighting the most vicious and brutal force that history has ever witnessed. This brave confrontation has synchronized with the American presidential elections of 2016. Three American presidential debates have been held all between Hillary Clinton and Donald Trump who have mainly exchanged mutual accusations about Iraq to gain public acceptance. However, Trump was more powerful in directing accusations of mistaken American foreign policy in Iraq because Clinton was a Secretary of State at that time. When defending herself against these accusations, Clinton has resorted to vague language in the three debates. The present paper has tried to detect the vague expressions employed by Clinton in her defend language in order to investigate the pragmatic functions performed by vagueness. The paper has come up with a number of conclusions concerning the pragmatic functions of vague language proposed by Sabet & Zhang (2015).

Keywords: American debates, debating discourse, Iraq, pragmatic functions, vague language

1. Introduction

Since the 1990s, the United States of America has played a capable role in Iraq. The effect of the American stand in shaping the unsteady security, political and social situation in Iraq goes without definition. Although the American foreign policy towards Iraq seems to be relatively harmonious no matter who the president is, the current affairs in Iraq have always imposed disparities in the political American tendencies towards Iraq. Thus, though the American presidential elections represent an American interior affair, it definitely casts a shadow on how political and social matters are managed in Iraq.

The last American presidential elections of October 2016 have synchronized with one of the most critical periods in the Iraqi history, the invasion of ISIS for large and main Iraqi cities. This serious issue has caused the Iraqis to realize the kind of impact that America has left in Iraq after the withdrawal of the American military forces in 2011.

Before the 2016 American presidential elections, The Commission on Presidential Debates (CPD) had organized three American presidential debates all between the Republican nominee Donald Trump and the Democratic nominee Hillary Clinton. According to Khalil and Abbas (2018) the discourse of the American presidential debates in general, and these three debates in particular, represent a rich discourse that provides a good chance for researchers to investigate and identify linguistically aided political facts. In the three debates of 2016, Trump has adopted an accusative tone in his speech towards Clinton accusing her, as an effective member in the Democratic Party, of taking the wrong decisions of overthrowing Saddam's regime in Iraq and then withdrawing the American military forces leaving Iraq easily accessible by terrorists (Khalil and Abbas, 2018). Trump's accusations represent the trump card against the Democrats foreign policies as a presidential campaign in the US presidential elections of 2016. As a natural reaction from a presidential nominee, Clinton has adopted a defensive tone to justify the Democratic Party decisions made about Iraq (Khalil and Abbas, 2018).

Generally speaking, people usually adopt a vague language as a safe haven when confronted with confusing and embarrassing question or when put into difficult situations to avoid inauthenticity (Khalil, 2017: 333). Thus, the present paper intends to investigate the vague expressions in the defensive debating discourse of Clinton. More specifically, the paper aims at investigating and finding out the pragmatic functions of the vague expressions appeared in Clinton's speech in response to Trump's accusations of creating chaos in Iraq and dragging Iraq into civil war and disasters. These three debates represent the corpus analyzed in the present paper. The issue focused on in the paper is Iraq, in one of its most critical periods of history, as directed by a future president of America as one of the most influential nations on the situation in Iraq.

In the three debates, many political, social, economic, etc. affairs have been presented for discussion and debating concerning America, in particular, and other countries in underlining the American foreign policy towards the world. The parts of the debates exposed for the pragmatic analysis of vague language are only those that have Iraq as a main theme. These parts have been extracted depending on two linguistic tools: semantic macrostructures and semantic microstructures. The former is concerned with certain theoretical concepts which render a particular theme in discourse explicit and leads to grasping the gist of that discourse. This process can be done through identifying the propositions (as independent meaning units of language and thought) indicated by the clauses which represent the basic structure of texts in general (van Dijk, 1980; Brown & Yule, 1983; van Dijk, 1988: 31). Semantic macrostructures are actually implicit, but are possible to be identified depending on three rules: generalization (in which superordinate topics replace minor ones), deletion (unrelated propositions are deleted) and construction (where new macropropositions are formed on the bases of both generalization and deletion) (van Dijk, 1980: 46- 49).

As for the semantic microstructures, they are simply the words and modes of expression that raise the stylistic and strategical mode of discourse. It represents the lexicalization picked out to create discourse with controlled meaning (van Dijk, 1995).

2. Methodology

In verbal and written discourse, language producers are generally committed to using clear and precise language for attaining successful communication. However, deliberately or not, interlocutors overrule clarity and precision and produce incomplete communicative information. For a period of time, vague language is considered as a communicative deficiency and an indication of insufficient knowledge of the discourse producer (Williamson, 1994). From a pure linguistic viewpoint, vagueness represents a deep-rooted essential language trait since vague language enhances linguistic creativity and innovation through creating blur ranges of meaning and reference (Raffman, 2014: 2). Vagueness here is not to be confused with the other related but different language unclarity concepts of "underspecificity", "ambiguity" and "indeterminacy" (Raffman, 2014: 2- 4).

The present paper mainly aims at identifying the pragmatic functions of the vague language that Hillary Clinton has resorted to in her debating discourse as a defense attempt when confronted with accusations of committing foreign policy mistakes in Iraq. The approach followed for this purpose is Sabet & Zhang (2015) approach of vague language since it investigates vague language in a direct, comprehensive and pervasive manner. In this approach, vague language is managed on two levels: lexical level and pragmatic level. On the lexical level of vague language realization, there are five lexical categories for vague expressions: "subjectivizers, possibility indicators, vague quantifiers, vague intensifiers, and placeholders". On the pragmatic level of vague language realization, there are three pragmatic functions for the adaptation of vague expressions: "mitigation, giving the right amount of information, and discourse management" (Sabet & Zhang, 2015: 44- 45). Each of these pragmatic functions is further subclassified into further specific pragmatic functions. In the present paper, the analysis is limited to the pragmatic functions of the vague language.

The first pragmatic function for vague expressions is **mitigation**; a strategy used by language producers to reduce the impact of their language in order to protect themselves from "interactional risks" (Caffi, 2009: 645). Sabet & Zhang (2015) classify mitigation into three subcategories as follows:

Self- protection (self- defensive): the use of vague language here is for the protection of the speaker's, the listener's or the third party's face and, in this case, it overlaps with politeness. An example is:

Professor: The achievement of your assignment is not up to the standards.

Student: **Maybe** I didn't do enough practical analysis.

The employee used the word maybe as a vague word to mitigate the situation and protect the reliability of his report.

Politeness: the theory of politeness, mainly credited to Brown and Levinson (1978) is concerned with the concept of face which was first produced by Goffman (1967: 5). The notion of face is based on the positive social value that a person tries to gain through the role he performs in a particular linguistic interaction. Thus, the participants in interaction are careful about each other's face. As a concept, face is of two divisions; the first is positive face, which represents the person's desire to be approved and appreciated by others and the negative face that is the person's desire of freedom from imposition. Positive politeness tends to satisfy the other's positive face by confirming the interlocutors' status and showing interest in what they want and need. Negative politeness tends to satisfy others' negative face by confirming to the interlocutors' reluctance to stay free from imposition (Nikula, 1996: 93). A face-threatening act occurs when interaction goes against the participant's face desire (Brown & Levinson, 1978: 70). In the following example, mitigation has been achieved by politeness:

Son: *Did you like my painting, Dad?*

Dad: **I think** you need to make it more colorful.

The boundaries between self- protection and politeness are, in many cases, blur. Thus, in the practical part of the present paper, there will be a slight deviation from Sabet & Zhang's (2015) approach; self- protection will be dealt with as limited to protecting the speaker's face only and politeness will be limited to protecting the hearer's and the third party's face.

Downtoning: it is achieved by the use of words which are also called *detensifiers* or *adaptors* and these are propositional modifiers which modulate the impact of the speaker's request on the hearer (Sabet & Zhang, 2015: 123). Downtoners can occur in the form of quantifiers (as *a little*, *a little bit* and *a bit*), adverbials (as *just* and *hardly*), modal auxiliaries, non- factive predicators (as *one way of defining a ... is*, *kind of...*, and *sort of ...*) and mitigators (as *probably*, *maybe* and *I think*).

The second pragmatic function is giving the right amount of information. This function is mainly attributed to Grice's maxim of quantity which states:

Make your contribution as informative as is required (for the current purposes of exchange)

Do not make your contribution more informative than is required.

(Grice, 1975:45).

It is subcategorized as:

Quantification: it is achieved through quantifiers as *some*, *many*, *much*, *few*, *little*, *several*, *large amount of*, *a lot of*, *plenty of*, etc.

Emphasizing: it is mostly performed by intensifiers (also referred to as boosters which are mostly compared to hedges as *clearly*, *obviously* and *of course* which express conviction and solidarity), repetition of the same quantifier (*lots and lots*) "or placing an intensifying premodifier (*really*) in front of a quantifier" (Hyland, 2000: 179 & Ruzaitè, 2007 as cited in Sabet & Zhang, 2015: 129- 130).

Possibility: achieved by approximators (*almost*, *a little bit*, *sort of*, *kind of*, *somewhat*, *really*, *to some extent*, *around*, *nearly*, *about*, *between*, *approximately*, *roughly*, etc.) and shields (as *I think*, *I suppose*, *I am afraid*, *probably*, *as far as I can tell*, *seem*, *I'm afraid*, *according to*, *it is said that*, *it seems to*, *presumably*, *...says that...*, *as is well known*, *the possibility would be*, etc.)

Uncertainty: it stems from information absence, temporal displacement, absence of knowledge and asymmetric relationship between participants. It is associated with Grice's quality maxim which states as:

[T]ry to make your contribution one that is true

1. Do not say what you believe to be false,
2. Do not say that for which you lack adequate evidence.

(Grice, 1975:46)

The discourse management is the third pragmatic function of vague language where there is structural fulfillment for the communicative discourse management which could be in the form of:

Repair: it is derived from the work of Schegloff et al. (1977: 364- 368) who introduce a repair sequence consisting of four types of repair as follows:

Self- initiated self- repair: when the producer of the trouble both initiates and performs repair;

Other- initiated self- repair: when the recipient initiates a repair which is performed later on by the producer of the trouble;

Self- initiated other- repair: when the producer makes the trouble and initiates the repair which comes later on by the recipient;

Other- initiated other- repair: when the recipient both initiates and repairs the producer's trouble.

Speakers can sometimes make a false start and the repair, regardless of its source, occurs with vague expressions initiating a new start that continues until the end of the exchange.

Hesitation: when a communicative problem occurs, hesitation is generated through markers (rants, corrections, repetitions and filled pauses like *uh* and *mhm*) that are employed for the overcoming of that communicative problem by providing the speaker with time for the management of his turn. When vague expressions act as hesitation markers (*I think, I guess, as far as I know*), the speaker is, then, figured out as having hard time for choosing suitable expressions to express himself (Wiese, 1984 cited in Sabet & Zhang, 2015: 143).

Turn management: it is the exchange of input among the participants of an interaction leading to a steady interactional exchange (Taboada, 2006: 329). Gaps and overlaps do occur between participants but they last for a short time (Raux, 2008: 13). Vague expressions (*I think, It could be* and *according to my knowledge*) often serve the turn management among participants (Sabet & Zhang, 2015: 149).

Finally, to make the results as objective and valid as possible, the analysis in the present paper is both qualitative and quantitative (manual calculations). Such an integrative analysis allows for thorough use and exposition of the discourse under analysis.

3. Analysis and Discussion

The scripts of three presidential debates of the 2016 American presidential elections have been downloaded from the internet. After carefully reading the three debates, the parts which tackle the issue of Iraq have been identified depending on the linguistic tools of semantic macrostructures and semantic microstructures discussed above. The analysis conducted is a two- fold one; first, the debates were subjected to precise investigation and identification of the vague expressions and, second, the pragmatic functions of the vague expressions have been assigned depending on the co- text surrounding the vague expressions utilized. Manual statistics have accompanied this two- fold analysis and, accordingly, the following table has resulted:

Table (1): The frequencies of occurrence and percentages of each pragmatic function and their subcategories

The pragmatic function	Frequency of occurrence	Percentage	Subcategories	Frequency of occurrence	Percentage
Mitigation	1	2%	self- protection	1	100%
			politeness	0	0%
			downtoning	0	0%
Giving the right amount of information	37	74%	approximation and quantification	11	30%
			emphasizing	12	32%
			possibility	12	32%
			uncertainty	2	6%
Discourse management	12	24%	repair	0	0%

Total	50	hesitation	8	67%
		turn management	4	33%

Obviously, vague expressions have been more utilized to perform the function of giving the right amount of information. As for the subcategories of this function, both emphasizing and possibility are symmetrical in their percentages. An example extract of the former is:

*I hope the fact-checkers are turning up the volume and **really** working hard. Donald supported the invasion of Iraq....That is **absolutely** proved over and over again.... He **actually** advocated for the actions we took in Libya and urged that Gadhafi be taken out, after **actually** doing some business with him one time....* (<https://www.washingtonpost.com/news/the-fix/wp/2016/09/26/the-first-trump-clinton-presidential-debate-transcript-annotated/>).

An example extract of the latter is:

*I am encouraged that there is an effort led by the Iraqi army, supported by Kurdish forces, and also given the help and advice from the number of special forces and other Americans on the ground. But I will not support putting American soldiers into Iraq as an occupying force. I **don't think** that is in our interest, and I **don't think** that would be smart to do. In fact, Chris, I **think** that would be a big red flag waving for ISIS to reconstitute itself* (https://www.washingtonpost.com/news/the-fix/wp/2016/10/19/the-final-trump-clinton-debate-transcript-annotated/?utm_term=.e2563fba4f20).

Approximation and quantification is almost equivalent in occurrence to both emphasizing and possibility. Consider the following example extract in which Clinton is stating some seemingly American positive actions performed in Iraq to restore security and stability:

*There are **a lot of** very important planning going on, and **some** of it is to signal to the Sunnis in the area, as well as Kurdish Peshmerga fighters, that we all need to be in this. And that takes **a lot of** planning and preparation* (https://www.washingtonpost.com/news/the-fix/wp/2016/09/26/the-first-trump-clinton-presidential-debate-transcript-annotated/?utm_term=.92e98be5d56b).

Uncertainty seems to be rare in Clinton's speech as there is a mind rooted notion that Presidential nominees are supposed to present inescapable statements, especially in such a critical stance when an American Democratic member is justifying how their deeds in Iraq has led to disasters:

I would go after Baghdadi. I would specifically target Baghdadi, because I think our targeting of Al Qaida leaders — and I was involved in a lot of those operations, highly classified ones — made a difference. So I think that could help (https://www.washingtonpost.com/news/the-fix/wp/2016/09/26/the-first-trump-clinton-presidential-debate-transcript-annotated/?utm_term=.92e98be5d56b).

The second rank goes to the function of discourse management where hesitation has occupied the highest percentage in comparison with the other subcategories of repair (with zero percentage) and turn management. Hesitation could trigger Clinton's attempt to discomfit Trump's degrading confrontation that has not aimed at blaming Clinton or to sympathizing with Iraq, but to lead his presidential rival (Clinton) to podium and point figures and stoke public opposition against her. An example extract is the following:

***Well, you know, once again,** Donald is implying that he didn't support the invasion of Iraq.... [B]efore the invasion, he supported it. And, **you know,** I just want everybody to go Google it.... **Now,** why does that matter? **Well,** it matters because he has not told the truth about that position. I guess he believes it makes him look better now to contrast with me because I did vote for it* (https://www.washingtonpost.com/news/the-fix/wp/2016/10/19/the-final-trump-clinton-debate-transcript-annotated/?utm_term=.e2563fba4f20).

The pragmatic function that is minimally performed through vague language is mitigation that seems not to be within the range of the associative meanings that Clinton has utilized to defend her stance concerning the American deeds in Iraq. This function has been detected once with the subcategory of self- protection when Clinton has supported the previous government's decision (with her being a Secretary of State) of withdrawing the American military troops from Iraq justifying

that decision with the Iraqi government resentment from the American military existence in Iraq and the ingenuity of the Iraqis in general for sovereignty. The only case found is the following:

*And the only way that American troops **could** have stayed in Iraq is to get an agreement from the then-Iraqi government that would have protected our troops, and the Iraqi government would not give that* (<https://www.washingtonpost.com/news/the-fix/wp/2016/09/26/the-first-trump-clinton-presidential-debate-transcript-annotated/>).

Conclusions

1. The pragmatic function most frequently achieved by vague language in Clinton's debating discourse is giving the right amount of information. This is an indication of Clinton trying to be as objective as possible in stating facts about the Democratic party's achievements in Iraq, but, at the same time, trying to be as careful as possible in approaching these fact through vague language in order not to be confronted any further by Trump who seemed to be well equipped with multi-facet information about the Democrats' acts (whether positive or negative) in Iraq. Thus, the subcategories of approximation and quantification, emphasizing and possibility are almost asymmetric in representing the pragmatic function in question in comparison with uncertainty which has the lowest frequency of occurrence as an attempt from Clinton to appear quite positive and confident in front of the public in general. As for uncertainty, it has hardly been detected in Clinton's debating discourse. This stems from Clinton's quest for getting the public satisfaction through showing a strong personality that is authentic and unquestionable in stating facts that people have always longed for concerning the previous American role in Iraq.

2. As for turn management, Clinton has sometimes faced difficulty in figuring out what to say or how to communicate something in reply to the moderator's questions or to Trump's accusations about Iraq. There could be two interpretations for that. The first is that she has tried to be so cautious as a politician in a presidential nominee stance who is directing her plans, viewpoints and previous achievements to nations. The second is the bewilderment that ensued from Trump's consistent and competitive indictments of Clinton's (as a Democratic representative) iniquitous foreign policy in Iraq.

3. Mitigation is the least detected pragmatic function. Putting its subcategories (self-protection, politeness, downtoning) into consideration, it becomes apparent that Clinton has not intended to defend her stance towards Iraq, show politeness towards Trump (as an attempt to conciliate him) or soothe the misfortunes that afflicted Iraq due to wrong American policy in the country.

4. Mostly, Clinton has, probably unconsciously, employed vague language for producing the right amount of information about how the previous American government tried to fix the situation in Iraq. In addition, many of the vague expressions used have emphasized the American efforts to restore peace and stability and to show Clinton's insistence that Trump has already supported the war of Iraq.

Regardless of percentage variation among the three pragmatic functions, the vague expressions did not miss any pragmatic function. This reflects the usability and expressive linguistic role of vague language in discourse in general and Clinton's debating discourse in particular. It supports the modern linguists' views about the eloquent nature of vague language, the profundity it grants the text with and the focus that this kind of language creates in the addressees' minds.

References

- [1] Brown, G., & Yule, G. (1983). *Discourse analysis*. Cambridge: Cambridge University Press.
- [2] Brown, P., & Levinson, S. C. (1987). *Politeness: Some Universals in Language Usage*. Cambridge: Cambridge University Press.
- [3] Caffi, C. (2009) Mitigation. In Mey, J. L. (ed.) *Concise Encyclopedia of Pragmatics* (Second Edition). Oxford: Elsevier Ltd.
- [4] Goffman, E. (1967). *Interaction ritual: Essays on Face-to-Face Behavior*. New York: Anchor.
- [5] Grice, H. P. (1975). Logic and Conversation. In Cole, P. & Morgan, J. L. (eds.), *Syntax and Semantics*. New York: Academic Press. 41-58.
- [6] Khalil, H. H. (2017). A pragmatic analysis of vague language in the news articles on the Iraqi security crisis. *Theory and Practice in Language Studies*, 7(5), 327-335. <https://doi.org/10.17507/tpls.0705.01>.

- [7] Khalil, H. H. & Abbas, N. F. (2018). Iraq in the American presidential Ddebate discourse: A critical discourse analysis. *International Journal of English Linguistics*, 8 (2), 260- 278. doi:10.5539/ijel.v8n2p260.
- [8] Nikula, T. (1996). *Pragmatic Force Modifiers: A Study in Interlanguage Pragmatics*. Jyvaskyla: University of Jyvaskyla.
- [9] Raffman, D. (2014) *Unruly Words: A Study of Vague Language*. New York: Oxford University Press.
- [10] Raux, A. (2008) *Flexible Turn-Taking for Spoken Dialog Systems*. Pittsburgh: Carnegie Mellon University.
- [11] Taboada, M. (2006). Spontaneous and Non-Spontaneous Turn-Taking. *Journal of Pragmatics*, 16, pp. (329-360).
- [12] Van Dijk, T.(1980).*Macrostructures: An interdisciplinary study of global structures in discourse, interaction, and cognition*. New Jersey, U.S.:LEA.
- [13] Van Dijk T. (1988).*News as discourse*. New York: Lawrence Erlbaum.
- [14] Van Dijk, T. A. (1995). Discourse analysis as ideology analysis. In C. Schaffner & A. L. Wenden (Eds.), *Language and Peace* (pp. 17-33). Dartmouth: Aldershot.
- [15] Williamson, T. (1994). Vagueness. In Asher, R. and Simpson, J. (eds.), *The Encyclopedia of Language and Linguistics*. Oxford: Pergamon Press. 4869–4871.
- [16] <https://www.washingtonpost.com/news/the-fix/wp/2016/09/26/the-first-trump-clinton-presidential-debate-transcript-annotated/>
- [17] https://www.washingtonpost.com/news/the-fix/wp/2016/09/26/the-first-trump-clinton-presidential-debate-transcript-annotated/?utm_term=.92e98be5d56b
- [18] https://www.washingtonpost.com/news/the-fix/wp/2016/10/19/the-final-trump-clinton-debate-transcript-annotated/?utm_term=.e2563fba4f20

The Need of Professional Social Work in Overcoming Social Problems and Social Exclusion of Children in the Process of Education

Svetlana Trbojevik

Ss. Cyril and Methodius University, Skopje, Faculty of Philosophy, Institute of Social work and Social policy

Sunchica Dimitrijoska

Ss. Cyril and Methodius University, Skopje, Faculty of Philosophy, Institute of Social work and Social policy

Vladimir Ilievski

Ss. Cyril and Methodius University, Skopje, Faculty of Philosophy, Institute of Social work and Social policy

Abstract

School going children face numerous social problems such as peer violence, a social behavior, educational neglect, dropout from regular education, committed crimes, and social exclusion. Inevitably, these problems can have devastating effects on adequate social functioning and personal development of children and can hinder their future potentials and wellbeing. Findings presented in this article are generated from two separate researches related to social exclusion and social problems encountered by children in primary and secondary schools in the Republic of North Macedonia. In general, prevalent problems of children are related to bullying, addictions, and conflicts with caregivers and social surrounding, whereas, social exclusion is more prevalent among Roma children. Problems of such nature require appropriate professional assistance and support. The school teams for professional support of children are mainly composed of psychologist and pedagogues. Nonetheless, the above mentioned problems require involvement of other team members such as social workers and special educators. Equipping professional school teams with adequate staff is enabled by the Law on primary education, whereas the Law on secondary education requires additional amendments in order to ensure possibilities for employment of social worker in the secondary schools. Their main role is to provide professional assistance and support to children and their parents on how to utilize the available community services for mitigating prevailing socioeconomic difficulties and for improvement of learning capacities and results of children coping with different problems.

Keywords: social problems, social exclusion, school going children, social work

Child and the right to education

Education is an issue that is at the center of public interest and is the result of the transitional processes which society passes through. The period of transformation of the socio-political and economic system imposed a need for changes in the field of education, as a result of which a number of reform activities were undertaken. After three decades of transitional processes in all spheres of human life, accompanied by changes in the values system, education remains a key area that faces a number of problems. The right of the child to primary education in the Republic of Northern Macedonia is regulated by the Law on Primary Education ("Official Gazette of the Republic of Macedonia" No. 103/2008, 33/2010, 116/2010, 156/2010, 18/2011, 42/2011, 51/2011, 6/2012, 100/2012, 24/2013, 41/2014, 116/2014, 135/2014, 10/2015, 98/2015 and 145/2015). In contemporary life, education is a fundamental human right. It is a prerequisite for the individual development of human capital, creates opportunities for getting out of the closed circle of poverty and at the same time provides creative potential for the development of society.

Primary education is free, compulsory and lasts for nine years (6-14 old years). It is organized in three educational periods, from first to third, from fourth to sixth, and from seventh to ninth grade. Education is offered in four languages in primary schools (Macedonian, Albanian, Turkish and Serbian) and three languages of instruction in secondary education (Macedonian, Albanian, and Turkish). Around 29% of primary schools and 34% of secondary schools are two/three lingual schools. There are total of 347 primary schools with approximately 1.100 satellite schools. Literacy levels are high, 98.8%

for male and 96.8% for female (2015) (State Statistical Office, 2019). The gross enrolment rates is 63%, and net enrolment rate is 91%. However, a number of children (mainly Roma children without personal identification number), are not reflected in this statistics as they are not registered in any official system. Thus, the actual enrolment rate is lower (Ministry of Education, 2018). In 2016/17 there were 194 classes within 45 special primary schools, with total of 809 pupils as well as 725 pupils with special educational needs included in regular classes in primary education (ibid.). There were total of 483 pupils, that repeated the class in school year 2017/18, of whom 218 female (State Statistical office, 2018).

Primary education is realized in a primary school that can be municipal or state. Funds are provided from the Budget of the Republic of Northern Macedonia through block grants and earmarked grants, as well as from own sources of income. The concept of primary education and education is determined by the Ministry of Education and Science. Educational work in the primary school is accomplished by: teachers, professional associates (pedagogue, psychologist, sociologist, social worker, special educator, and librarian) and educators. The school year, as a rule, starts on September 1 and ends on August 31 of the following year and lasts 180 school days. Teaching can be carried out in a shortened duration, but not less than 100 instruction days, upon received consent from the Ministry. Primary school is obliged to encompass pupils from the district of residence.

By leaving the primary school, the child acquires the status of a pupil. When registering the child at school, the parent is obliged to submit a receipt for the mandatory vaccine for the child. The parent is obliged to enable his child to fulfill the obligation for compulsory primary education. For each absence of the pupil from the instruction, he/she is obliged to inform the class master about the reasons for the absence. The pupil may be absent from the teaching if his absence was announced by the parent in advance in the school, but not more than five days in the school year. The school principal upon a written request of the parents for justified reasons may allow the pupil longer absence from the instruction, but not more than 30 days. Primary school is obliged to inform the authorized municipal inspector of the municipality about the children who are not enrolled, that is, the pupils who do not visit the elementary school unjustly for more than 30 days. As a rule, the pupil from the first until the fifth grade cannot repeat the grade. The pupil who has failed to master the teaching contents by the end of the school year, as a consequence of a longer absence from teaching due to illness, resettlement and other justified reasons, may, in accordance with the parent, remain in the same grade for which the decision is made by the school's school council. The departmental teacher, or the class master, is obliged to inform the parent about the success of the pupil at least twice in every semester.

Physical and psychological harassment of the pupil is prohibited. The following pedagogical measures are applied to the pupil who does not fulfill the obligations and violates the rules of the educational work: reprimand, oral warning, written warning, transfer of the pupil to another class and transfer the pupil to another primary school.

The Law on Primary Education also has provisions concerning the counseling of parents. Namely, the parent or guardian is referred to counseling if the pupil: during the school year, has a negative grade for three or more subjects; has done more than ten unjustified or 100 justified absences; is undisciplined; insulted the teacher; participates in fights or other forms of violence; shows an associative or antisocial behavior; behaves immorally or unethically; and in a short period of time, the pupil has a significant decline in its educational achievements. If parents were called to school about the pupil's antisocial behavior, that is, the immoral or unethical behavior of the pupil, the expert opinion from the pedagogical service is required before the invitation is sent. The consultation is done in groups according to the weekly and monthly plan. The number of parents in the groups cannot be greater than 20. The counseling is conducted in two terms for 60 minutes. At the counseling of the parent or the guardian, the pedagogue or the psychologist is obliged to act in accordance with the Parents' Advisory Program, which is adopted by the Minister on the proposal of the Pedagogical Service. If the parent or guardian does not appear at the counseling and after the third invitation, the Center for Social Work is notified.

Also, secondary education is compulsory and free, lasts for three or four years, and is divided into four streams: general secondary education (gymnasium), secondary vocational education, art schools, and education for pupils with special educational needs. Students with attained 3-year vocational education can take a final exam, without a right for university entrance. Graduates of the 4-year secondary education are allowed to choose between the final exams and state or school matriculation depending on whether they wish to continue education, while the gymnasium graduates have to take state or school matriculation exams. There are 124 secondary schools, 108 are public and 16 are private. Out of the secondary public schools, 23 are general education schools, 43 are vocational schools, 33 offer both general and vocational education, 4 schools are for pupils with special educational needs and 5 are art schools. In the school year of 2017/2018 there were total of 71458 pupils of whom 34059 female and 37399 male (State Statistical Office, 2019).

Prevailing problems that pupils face in the educational process

In circumstances of high rates of unemployment and poverty, faced by the families in the Republic of Northern Macedonia, and which produce numerous other related social problems whose consequences are reflected on children (peer and domestic violence, addiction diseases, etc), the role of social workers in schools to deal with these social problems and mitigate the consequences of them is irreplaceable. Of particular importance is the contribution that social workers can give in the domain of social prevention, ie the timely prevention of the emergence of social problems, which not only reflect on the success of pupils, but also endanger their opportunities for development and adequate social inclusion. For pupils with special educational needs, the role of the social worker in securing social inclusion through professional work with pupils, teachers, the family and the social network of these pupils is crucial.

In this context, the importance and role of social workers as part of the professional services in primary and secondary schools are indisputable. For the engagement of social workers in educational institutions, there is a legal basis in the Law on Primary Education (Official Gazette 103/08), which in Article 77 foresees the educational work in the elementary school to be performed by the professional associates: pedagogue, psychologist, sociologist, social worker, special educator and librarian. The Law on Secondary Education of 2002 (Official Gazette 52/02) stipulates in Article 70 that the educational work in the secondary education should be carried out by the professional associates: pedagogue, psychologist, special educator, sociologist, social worker, laboratory technician, librarian, etc.). However, with the amendments and supplements from 2004 (Official Gazette 67/04), the expert associate - social worker was unjustifiably deleted from the legal provisions for the composition of the professional service in the secondary schools.

Research conducted by Dimitrijoska, Bornarova and Ilievski in 2017 had a sample of 1037 pupils was included in the research. It is a stratified representative sample by nationality. The survey was conducted in 4 primary and 4 secondary schools on the territory of the City of Skopje, where in the primary schools the survey was conducted only with the pupils from the higher grades (eighth and ninth) due to the content of the questions.

The results show that there is a difference according to the gender of the respondents regarding the most dominant problems that pupils face. The most visible is the difference regarding regular attendance, with 14% of male choosing it as a problem, compared to just under 9% of female. Although male pupils in large percentage have a problem with disagreement with teachers (24%) female pupils have similar percentage (22%). A similar difference occurs in the problem of learning and achievement, that is, 29% of male and almost 28% female pupils pointed out this problem. What is noted is that disagreement with classmates is a more "female" problem. Namely, 22% of the pupils answered this question, as opposed to almost 15% male pupils.

The survey shows that primary and secondary school pupils face significant problems of varying nature for which they need help and support. Among the problems of day-to-day functioning in the school, the most pronounced are those related to achievement and learning, emphasized by 363 pupils or 35% of the total number of pupils, followed by disagreements with teachers pointed out by 296 pupils (28.5%) and disagreements with classmates by 227 pupils (21.8%). Of the stated problems, the smallest numbers of pupils perceive the problem as unacceptability in the school environment (71 or 6.8% of the total number of pupils included in the research). These findings point to the need for expert assistance and support for resolving conflicts in teacher-pupil relations, as well as in pupil-to-pupil relationships, for which crisis interventions that are applied in social work are particularly appropriate.

One should not underestimate the material difficulties that pupils face, reflecting the general situation in the state associated with a low standard of living. The pupils point out the lack of tangible assets to meet more of their needs. The most significant shortage of tangible assets is recorded for covering the costs of extra-curricular activities, indicated by 30% of the surveyed pupils. They are followed by the lack of funds for excursions represented by 26%, as well as the lack of funds for school equipment and gear with 18%. In fact, pupils justly, as the greatest material difficulties, point out those who need significant financial means, which pupils provide paying for privately.

Of particular interest in the research was gaining the knowledge about presenting more serious social problems in the life of pupils, for whose overcoming social work is necessary. The results obtained on this issue are alarming. As many as 233 pupils or 22.5% of pupils in the research had physical conflicts with their classmate during schooling. This point out peer violence as the most common problem in schools, followed by conflicts with the parents stated by 141 pupils (13.6%), which points to the necessity of interventions for improving the pupil-pupils relationship. What certainly attracts attention and signals the need for urgent action is the prevalence of alcohol abuse problems (96 pupils or 9.2%), gambling (in 85 pupils or 8.2%), theft (75 pupils or 7.2%), as well as drug consumption (in 62 or 6% of surveyed pupils).

No less worrying is the presence of social problems in the families of pupils who indisputably reflect on their social development and maturity, but also on educational achievements. Pupils as the most common problem in the families in which they live pointed out the problem of unemployment of a family member (192 pupils or 18.5% of the surveyed pupils), which corresponds to the representation of this social problem at the national level. Poverty expressed through a lack of livelihood is a second major social problem present in families, pointed out by 141 pupils or 13.6% of the total number of pupils. Conflicts between parents were pointed out in 126 cases (12.1%), pointing to the need for expert assistance to improve relations in dysfunctional families. One should not underestimate the following social problems that, although are highlighted in less than 10% of pupils, are still among the more serious and more complex to overcome: poor housing conditions, addictions in other family members, presence of crime in an adult member in the family or a gambling problem.

Pupils were also asked to answer the question whether they needed expert support in solving the social problems they face. Despite the fact that high percent of pupils' had low trust in professional services, as well as insufficient information about the nature, place and role of social work in educational institutions, a large number of pupils gave a positive answer to this question. Namely, 21% of the surveyed pupils stressed that they need professional help and support in cases when they face some social problem.

Regarding the use of the social network as support, pupils often talk to family members or peers when they face a problem. Namely, 52.4% of the respondents stated that they always refer to support from the family, and 30.5% of the respondents said that they always call for support and conversation with their peers. It should be noted that 36.7% of the pupils answered that they never required support to teachers, and a high 66.7% of the pupils answered that they never required support or talk with the professional service expert. Such knowledge is disappointing because they indicate the mistrust that the pupils have in the teachers and the professional team when they need to share problems with them. The obtained results indicate that teachers and the professional team members are not a resource of social network of pupils to whom they are refer and from whom they expect help and support.

In support of the basic research of the social difficulties and problems of the pupils, a survey was conducted with 144 teachers and expert associates for their knowledge related to the social situation of the pupils. On the question of which problems in day-to-day functioning are most commonly faced by pupils, their answers differ from those of pupils. Most of the teaching and professional staff as the dominant problem point out the problem related to learning and achievement (105 persons or 75% of the total number of respondents). The following most frequent problems are problems with school attendance (91 persons or 63.2%) and problems with the discipline (87 persons or 60.4%). What is obvious when comparing the results of the research between the two groups of respondents (pupils and teaching and professional staff) is that the teaching and professional staff is more focused on pedagogical problems than on social ones, as was the case with pupils in whom in addition to learning problems and success, problems related to disagreements with classmates and teachers were dominant.

Regarding which problems in day-to-day functioning are most commonly faced by pupils, their answers differ from those of pupils. Most of the teaching and professional staff as the dominant problem point out the problem related to learning and achievement (105 persons or 75% of the total number of respondents). The following most frequent problems are problems with school attendance (91 persons or 63.2%) and problems with the discipline (87 persons or 60.4%). What is obvious when comparing the results of the research between the two groups of respondents (pupils and teaching and professional staff) is that the teaching and professional staff is more focused on pedagogical problems than on social ones, as was the case with pupils in whom in addition to learning problems and success, problems related to disagreements with classmates and teachers were dominant.

The most frequent social problems among pupils, in the opinion of teachers and professional staff, are physical calculations with classmates (noted in 25% of respondents), followed by the problem of gambling (19%), which as a problem is significantly more pronounced by teachers and professional associates, than that was the case with pupils, indicating the degree of its presence and visibility. It is worth keeping in mind that teachers and professional services, unlike pupils, consider that the expressed social problems among pupils are also health problems and conflicts with the environment, with 14% of the respondents highlighted. For other social problems that are more serious, with teachers and professional associates there is awareness of their presence, which is not insignificant. These are the problems associated with deviant behavior among pupils, ie thefts (8%), alcohol consumption (6%), and drug use (5%).

In terms of family social problems, according to the teaching and professional staff, the expected dominant problems are unemployment (indicated by 107 persons or 74.3%) and poverty (98 persons or 68% of the respondents). They are followed

by poor housing conditions (80 persons or 55.5%) and conflicts between parents (66 persons or 45.8% of respondents). Basically, there is a similarity in the answers to this question between the pupils and the teaching and professional staff, with the difference that the teachers pointed out in a significantly larger number as a family problem alcoholism in a family member (in 36 cases or 25%) and health problems - chronic diseases (in 33 cases or 23%).

Unlike pupils with insufficient information and/or developed awareness of the importance and benefits of a social worker as part of the professional team, the teaching and professional staff unambiguously recognizes, acknowledged and demanded satisfaction of the need to strengthen the professional team of the schools with the profile social worker. The majority of teachers and professional associates consider that such a need exists (87% of the total number of surveyed teachers and professional associates).

Case study: Prevailing problems Roma children in the educational process

The second research conducted by Donevska, Bogoevska, and Trbojevik (2010) is related to the issue of dropping out of regular education which was and still is a serious problem in the Republic of Northern Macedonia. This problem is in the focus of attention of all relevant actors involved in the processes of planning, development, implementation and support of educational policies. Although this phenomenon is present in all ethnic groups in our society, the rate of drop outs from regular education is the highest within the Roma ethnic community. Linking this problem with a particular ethnic group indicates the existence of social exclusion based on social, religious, cultural, linguistic and gender background. The situation with the educational exclusion of Roma children can be defined as very serious. A number of children are not included in the education system of the Republic of North Macedonia at all, or many of the children who start formal education do not finish, although, according to the legislation, primary education is obligatory. The following are stated as the most frequent reasons for this state: insufficient knowledge of the Macedonian language, low degree of education of parents and poor socio-economic status.

According to the data from the Census in 2002, 23% of Roma did not attend primary education, 28.6% were with incomplete primary education, 37.4% had primary education, 9.7% secondary education, 0.2% higher education, and 0.2% masters and doctors of science (SSO, 2002, Population Census data, Book XIII). In 2002, more than half (51.8%) of Roma adults did not have an education or did not complete primary education in contrast to the percentage of 18% of the total population. Roma children have a lower literacy rate and still low inclusion rates, attendance and completion of primary (61%) and secondary education (17%) (Commission of the European Communities, 2009). However, it is evident that the number of Roma in all levels of education has increased in recent years. Namely, the representation of Roma in the total number of pupils who completed primary education in 1997/1998 was 1.3%, in 2002/2003 it was 2.1%, while in 2007/2008 it increased to 2.5%. The representation of Roma who completed secondary education points also to a tendency of growth, from 0.4% in the academic year 1997/1998, 0.6% in 2002/2003 and 1.2% in 2007/2008. Also, the number of Roma attending higher education is increasing (National Strategy for Reduction of Poverty and Social Exclusion in the Republic of Macedonia, 2010).

This instigates the need to study the causes that led to this situation and determine the measures to overcome the problem. Data from the State Statistical Office on the coverage of pupils in primary education show that not all children are included in the regular educational process, ie in 2008/2009 only 91% of the total number of school-age children enrolled in school, whereas in the school year 2018/2019 the enrolment rate increased to 93.72%, an increase of 2.72%. This data indicates that there is insufficient representation of children from vulnerable categories (children with disabilities, children from socially endangered families, Roma children, children from remote rural settlements, etc.) in educational processes. The high level of dropout of pupils after the completion of lower primary education is very often attributed to the very low inclusion of children in pre-school institutions. The coverage of children aged three to six in kindergartens is only around 12.5% (Source: State Statistical Office. Statistical overview 2.4.9.02/614, Public institutions for child care and kindergartens, 2008). In 2016, there were 33,238 children up to 6 years old enrolled in 64 public and 19 private pre-school institutions, 4 kindergartens within private schools in the capacity of legal entities, 1 early child development centre in the capacity of a public entity, 6 early child development centers in the capacity of private legal entities, 1 public kindergarten within a legal entity established for the needs of its employees, 1 private kindergarten within a legal entity established for the needs of its employees (Statistical bulletin no. 2.4.17.03/871 for 2016 by the State Statistical Office). Out of the total number of children, 16,796 are female children. Out of them, there were 840 Roma children and only 174 were children with disabilities (or with special educational needs)(Statistical bulletin no. 2.4.16.01/842 for 2015 by the State Statistical Office).

In that context, in the period 1998/1999 in the Republic of North Macedonia there were only 48 Roma pupils, while in the year 2000/2001 108 pupils were enrolled at higher education institutions. In the last two decades, a number of strategic activities, programs and projects have been realized, aimed at developing the capacities of the Roma community, utilizing human capital and reducing social exclusion. The focus is generally on the processes of strengthening the Roma community through the implementation of programs to support Roma in the educational process. Beginning in 1994, the role of the non-governmental sector in addressing Roma-related issues proved to be particularly significant. The high degree of exclusion of the Roma population from the main social flows caused intense interventions by the civil society, with the emphasis on building internal capacities. In that direction, nongovernmental sector, especially Open Society Institute-Macedonia played a key role in developing and strengthening the potentials of the Roma population, primarily through the development of its own branches. Their work with the Roma was based on a strategic approach focused on developing programs, creating a structure, equipping for independent work and ensuring sustainability. In spite of the significant progress, there is an evident need for evaluation of the effects of the implemented programs. Identification of the strengths and weaknesses of the implemented programs will contribute to their further improvement and adaptation to the needs of the Roma community. Hence, the realization of this research emerges as a result of the need to identify the reasons related to leaving the regular education of Roma children, and developing additional measures and activities for improving enrollment, attendance and stay in the educational process. For this purpose it was necessary to determine the knowledge of the relevant stakeholders involved in the planning, development, implementation and support of the Roma educational processes. Co-operation between local authorities, social services, school boards, professional school services, educational centers and partners was also examined. The survey was conducted in Skopje, Prilep and Kumanovo, cities where "121 Roma educational project" is being implemented.

The survey included representatives from local self-governments, Roma educational centers, teachers, professional services in schools, school councils, local leaders, as well as parents and children who use the services of Roma education centers. The survey employed exploratory research method with the following instruments: an expert interview for local government officials involved in creating local education policies and representatives of school boards; semi-structured interview for teachers, professionals from the professional services in the schools and representatives of the Roma educational centers; and focus groups for parents, local leaders and pupils.

The sample of the research consists of 240 research units selected according to several criteria. I. The first criterion for selection is: professionals and volunteers involved in educational processes at the local level. According to this criterion, the sample consist of: 1. Relevant local self-government representatives engaged in jobs related to educational processes (8 representatives/2 from each municipality) 2. Educational Roma centers (25 representatives/5 from each educational center) 3. School boards, teachers and professional services; 12 professionals from professional services in schools (2 professionals from each school); 12 members of the school boards (two members from each school); 36 teachers (6 teachers from each school). II. The second criterion for selection is: parents, local leaders and pupils included in the educational centers. 5 local leaders (1 from each educational center); 30 parents (6 from each educational center); 120 pupils (24 from each educational center / 8 in each focus group).

The results showed that local self-government experts from all three municipalities point out that there are problems in educational processes that are characteristic of the Roma population. The key problems are the following: the coverage of Roma children in educational processes, average achievement and regular attendance at schools. The reasons for this are mostly located in the family, the poor socio-economic situation, the tradition and the system of values. It can be noted that experts identify the causes of the problem mainly within the framework of Roma culture and community. From their attitudes, it can be noted that they do not take into account structural factors such as: long-term discrimination against Roma, their economic, social, political and cultural exclusion in society, as well as the long-standing state's passivity in terms of taking measures to overcome this situation. Local authorities are involved in a range of activities to improve the situation of Roma in general and to reduce the obstacles for involving children in regular educational processes. As a result of such activities, there is a certain degree of progress in the coverage of Roma children in educational processes.

Some experts note that there is a need to undertake future activities at the local level in order to improve the educational inclusion of Roma children. In the first place, the need for holding educations, tribunes, workshops for raising awareness about the importance of education, changing the ways in which the Roma mobilize resources and use the opportunities, as well as using the advantages offered by the pre-qualification and retraining are emphasized.

The poor financial situation of the households stands out as a reason for engaging children in seasonal work, which is why they are missing from the regular educational process. Experts, point out: poverty, tradition, childhood, begging, early

marriage and family formation, lack of interest of parents and transferring patterns of behavior from generation to generation. As can be noted, the members of the school boards as the most common problems point out: the rash of Roma students, the irregular visit to the school and the difficulties in mastering the teaching material. The root causes of these problems are several reasons related to the family: poverty, child poverty, tradition, parents' ignorance and lack of interest in their children's education. Successful inclusion in the educational processes of Roma children is limited by the insufficient knowledge of the Macedonian language as a language of instruction.

The data obtained through the realization of a semi-structured interview with the teachers, professionals from the professional services in the schools and representatives from the Roma educational centers are presented in a cumulative manner. They emphasize that the issue is related to the existential needs, the need for help and support the family, need to improve housing conditions and hygiene needs. It is particularly important for successful inclusion in the educational process is the insufficient knowledge of the teaching language and the lack of didactic material. Due to the large number of juvenile marriages, teachers emphasize the need to introduce sexuality education. It is important to note that representatives of Roma education centers especially stress the need for help and support from teachers.

Attempts to determine the reasons for the problems of Roma children in educational processes have imposed a need to identify the main factors that have influence the adequate growth and development and the realization of their potentials. Professionals working directly with Roma children locate the main causes of problems in children, the family, the school, the state, and the system. Most respondents consider that the family is the main generator of problems related to the Roma children's education. They also point out that some of the reasons are derived from the children themselves, and in particular they emphasize: the lack of motivation, the absence of positive goals and negative comradeships. School as a problem generator is also an important factor for the rash of students. School-related problems are generally associated with the Ministry of Education's policy, inflexibility, and the inadequacy of the educational process. The last large group of answers addresses the lack of systemic measures, the financial sustainability of programs to support Roma education, and the lack of positive examples of employment for educated Roma.

Respondents point out different aspects of the living of Roma families that influence the level of attendance and the success of children in the school. The most significant reasons that limit the children for successful inclusion in the educational processes are the socioeconomic status of families, the tradition, the way of living and communication, as well as the lack of understanding of the importance of education in the Roma family. When combing some of the stated reasons, the results show that Roma families have greatly disturbed family relationships and educational disadvantage of children.

Some of the respondents find the reasons for the educational problems of Roma children in the school. Respondents from all profiles think that children are facing school problems as a result of certain didactic reasons, high passage of mobility from lower to higher classes without adequate adopted knowledge, inadequate and inflexible educational process, and failure to attend preschool education.

Didactic problems are identified as the most significant cause of children's educational problems. In the statements of most of the respondents from all profiles, issues related to the scope, weight and content of the teaching material are highlighted. It is also stated that many of the children do not speak the Macedonian language as a learning language, which is why there are problems in following lectures. It is not about absolute ignorance of the language, but about a limited fund of words and the inability to understand and use abstract and complex language constructs that are immanent to master the teaching content in the higher grades. An additional problem is the lack of didactic material. It is important to note the problem related to the great passage of students in the first five years of primary education. This problem is highlighted by all professionals because this practice allows children who have not mastered the elementary knowledge reading and writing, as well as basic mathematical operations, to get to higher school year. That is why children repeat the higher classes several times and lose interest in further education.

Teachers have divided opinions regarding workload with Roma children. Most of them consider that additional efforts for education, motivation and animation are necessary. Some of them emphasize that it is necessary to repeat the teaching material many times, as well as greater engagement due to poor discipline, poor literacy and lack of feedback.

Most of the teachers think that Roma children can achieve the same results as other children, but most of them (52%) point out that school success is conditional and above all depends on improving living conditions, family support and the change of stereotypical understanding of education. A small number of teachers (2%) think that Roma children cannot achieve equal results like other children.

The analysis of the statements of the respondents from all profiles shows that the level of cooperation of the parents with the school is assessed as relatively low. In 43% of the statements it is estimated that there is no cooperation at all, in 44% it is assessed as weak, and only in 13% it is estimated that the parents cooperate with the school. It is commonly estimated that a small number of parents have co-operation with teachers, usually parents of children with salutary success, and the rest comes only when there is a problem involving their children. It is basically estimated that parents are not interested in the success of their children, which in some cases is the result of their preoccupation in securing their existence. One part of the respondents indicated that the low level of cooperation with the parents is due to their exclusion and lack of knowledge of Macedonian language. Unlike the cooperation between parents and the school that is generally assessed as weak, cooperation between parents and Roma education centers is assessed as generally good. Namely, in 75% of the statements, the respondents consider that there is good cooperation, in 15% it is assessed as satisfactory, and only in 10% of the statements it is assessed as poor. A general remark is that parents send their children to Roma educational centers, but they themselves rarely engage in their activities.

The role of social workers in professional services in primary schools

The role of the social worker as a professional worker in primary education is perceived through his professional work with students, families and teachers. The main activities undertaken by the social worker are in the domain of psychosocial support of students in the area of social prevention, in discovering social problems among students and their families, identifying the social needs of students and their families, advising with students in social risk and their families, advisory work in the non-violent resolution of conflicts between students and the wider community.

The work of the social worker takes place through direct monitoring of the educational process, through advisory, consultative and educational work with the teaching staff and the other expert team in the school, which reveals the reasons for the problems of the students and offers suggestions for their overcoming.

After detecting a certain social risk among students and developing an individual work plan with the student, the main activity of the social worker is to provide direct social support to the families of the students and to connect them with the social protection system, utilizing the resources in the community until finally overcoming the risk and their re-social inclusion.

Having in mind the fact which is unambiguously confirmed by the results of the survey that the pupils and families in which they live face numerous social difficulties and problems and in order to overcome them expertise from social workers is necessary. There for in order to meet these conditions in the system of education, it is necessary to:

Increase the number of employed social workers in all primary schools in the Republic of North Macedonia in accordance with the Law on Primary Education.

Amendments to the Law on Secondary Education and adding the profile "social worker" as part of the professional team, as well as the subsequent employment of social workers in all secondary schools in the Republic of Northern Macedonia.

Conducting education for social workers already employed in primary schools, as well as for those who will be employed in the future for the area of social work in education.

Due to early prevention and timely detection of social difficulties and problems in children and their families, it is necessary to employ social workers in pre-school institutions - kindergartens and early childhood development centers.

Creation of conditions for conducting professional social work in schools, by applying methods and techniques for:

Professional social work with pupils on the primary prevention of social problems, focusing on social problems, typical of children (peer violence, drug addiction, alcohol addiction, gambling, asocial behavior, juvenile delinquency, etc.).

Professional social work with parents for primary prevention of social problems among pupils, as well as promotion of parent-child relationships, successful parenting, family life, etc.

Professional social work with pupils and parents who experience social difficulties and initial signs of social problems at the level of secondary prevention, in order to prevent deepening of difficulties and problems and their complete overcoming.

Professional social work with pupils and parents who already face social problems at the level of tertiary prevention, and for mitigating the consequences of the problems that have arisen.

Develop the cooperation among all local stakeholders that can contribute to the promotion and development of the area of social work in education (NGOs, municipalities, centers for social work, etc.).

References

- [1] Bornarova S. (2014). Social Work in Education ALMA, Skopje
- [2] Dimitrijoska S., Bornarova S., Ilievski V., (2019) Social difficulties and problems of pupils in primary and secondary schools in the context of need of social work in education: Empirical research, Faculty of Philosophy, Skopje
- [3] Donevska M., Bogoevska N., Trbojevik S., 2010. Research for establishing the reasons for Roma children's irregular attendance of elementary education". Skopje: FOSI Macedonia.
- [4] Ministry on Education and Science (2018) Education STRATEGY 2018-2015 and Action Plan. - Skopje : Ministry of Education and Science of the Republic of Macedonia, Skopje
- [5] Ministry on Education and Science (2016) Rulebook on basic professional competences by sector of professional workers in primary and secondary schools
- [6] State Statistical office, (2018) Primary, lower, secondary and upper secondary schools at the beginning of the school year 2017/2018
- [7] MakState database of State Statistical Office, 2019
- [8] Accessed on 15.04.2019
- [9] http://makstat.stat.gov.mk/PXWeb/pxweb/en/MakStat/MakStat__ObrazovanieNauka__SrednoObrazovanie/
- [10] Law on Primary Education ("Official Gazette of the Republic of Macedonia" No. 103/2008, 33/2010, 116/2010, 156/2010, 18/2011, 42/2011, 51/2011, 6/2012, 100/2012, 24/2013, 41/2014, 116/2014, 135/2014, 10/2015, 98/2015 and 145/2015
- [11] Law for Secondary Education Consolidated Text ("Official Gazette of the Republic of Macedonia" No. 44/1995, 24/1996, 34/1996, 35/1997,
- [12] 82/1999, 29/2002, 40/2003, 42/2003, 67/2004, 55/2005, 113/2005, 35/2006, 30/2007, 49/2007, 81/2008, 92/2008, 33/2010, 116/2010, 156/2010, 18/2011, 42/2011, 51/2011, 6/2012, 100/2012, 24/2013, 41/2014, 116/2014, 135/2014, 10/2015, 98/2015 and 145/2015)
- [13] Law on Child Protection ("Official Gazette of the Republic of Macedonia" No.21/2018)
- [14] Law on Justice on Children, ("Official Gazette of the Republic of Macedonia" No 148/2013)
- [15] Law on Social Protection ("Official Gazette of the Republic of Macedonia" No 163/2017)

Misconceptions About Indigenous African Music and Culture: the Case of Indigenous Bapedi Music, Oral Tradition and Culture

Morakeng Edward Kenneth Lebaka

Department of Art and Music, College of Human Sciences,
University of South Africa (Unisa), Pretoria, South Africa

Abstract

Indigenous Bapedi music and oral tradition have been dismissed as myth, superstition and primitive stories. Such dismissal has been based on the misconception and assumption that indigenous Bapedi music and oral tradition are proletarian, steeped in evil religious experiences and unacceptable for worship. In Bapedi society, indigenous music and traditional oral stories are utilized to buttress and demonstrate the collective wisdom of Bapedi people, as well as to transmit Bapedi culture, values, beliefs and history from generation to generation. This article examines misconceptions about indigenous Bapedi music and traditional oral stories. It argues that indigenous Bapedi music and oral tradition should not be dismissed at face value as practices overtaken by circumstances and hence irrelevant to the present Bapedi community developmental needs. The findings of the present study faithfully reflect that indigenous Bapedi songs and traditional oral stories resonate in people's personal lives, in religious rituals and in society at large. These findings suggest that Bapedi people should keep and perpetuate their valuable heritage, which is still needed for survival and for the welfare of our next generation. The main question the study addressed is: What role do indigenous Bapedi music and oral tradition play in Bapedi culture?

Keywords: Indigenous Bapedi music; oral tradition; culture; misconceptions; heritage.

Introduction

Bapedi people are a Southern African people living mostly in South Africa in Limpopo province, but a large percentage is found in Sekhukhune district (**see figure 1**). They speak the language called Sepedi. It is one of the 11 official South African languages. Bapedi people have always managed to retain their cultural heritage. A little percentage of Bapedi people converted to Christianity under colonialism and missionary influence. However, although there are a few Christian converts, indigenous Bapedi music, oral tradition and culture have not disappeared, instead, there has been a mixture of traditional beliefs and Christianity. Cultural and religious beliefs are important in the Bapedi way of life.



Figure 1: Geographical Location Map of South Africa

Source: <https://www.google.co.za/search?q=Latest=map+of+south+Africa=showing=Limpopo+Province&tbm=isch&source>

Date: 11 April 2019

★ = shows where Sekhukhune district is situated in Limpopo Province.

Cultures across the globe seem to perform indigenous music and create stories as an effective, suitable and appropriate way of mediating and transmitting knowledge and information from generation to generation (Achebe 1958; Vambe 2001). Indigenous Bapedi music and the narration of stories are vocal form and not instrumental, though accompanied by handclapping, dancing, percussion instruments, ululating, drumming and singing. The main object of this study was to examine misconceptions about indigenous Bapedi music and oral tradition; to investigate the poems, proverbs, parables and narratives that form the basis of the Bapedi songs which contain a good deal of interesting material that can contribute to a greater understanding of what indigenous Bapedi songs mean to the Bapedi people; and the discussion will move to highlight the role played by indigenous Bapedi music and oral tradition in Bapedi culture.

This research study precipitates questions such as a) What role do indigenous Bapedi music, and oral tradition play in Bapedi culture?; and b) What is the emphasis on indigenous knowledge meant to achieve? Further questions are: c) Is the study of indigenous knowledge relevant in terms of enriching African philosophy and bridging the gap between Western mindset and African mindset?; d) What impact does Western culture have on indigenous notions of conceptions and oral tradition of Bapedi people; and e) How much of indigenous ways of knowing and knowledge still exists, and will this knowledge cease to exist when elders pass-on.

Following next is the theoretical framework of the study, discussing a link between Ontology theory and African theory of knowledge. This is followed by a review of previous related studies, research design and methodology. An analysis of misconceptions about indigenous Bapedi music and traditional oral stories is conducted, followed by discussion of the role

played by indigenous Bapedi music and oral tradition in Bapedi culture. The article concludes with a reflection on the implications arising from the results.

Theoretical Framework

This study is underpinned by African theory of knowledge and Ontology theory. Onyewuenyi (1976:525) argues that African theory of knowledge resonates well with theory of Ontology. Like in this study, the investigation of the misconceptions about indigenous Bapedi music, oral tradition and culture follows closely upon ontology. Another contribution to the literature on African philosophy¹ is Udefi (2014:109), who asserts that African mode of knowledge should pay due attention to the background of African spiritualistic and dynamic metaphysics. Udefi further argues that there are different mindsets, namely; Western mindset and African mindset, and it would be presumptuous to assess African thought on the criteria developed within the context of Western cultures (Udefi 2014:109). Furthermore, Udefi emphasizes how each culture interprets experiences can be explained by uncovering those assumptions and concepts which underlie its experience and world-view (Udefi 2014:112). Udefi's approach has strengths of being contextual and interrogating relevant questions challenging Western mindset. He seeks to destabilize the hegemony of Western approaches, while at the same time he re-appraises African theological thought and spirituality. Udefi's approach enriches African philosophy as it bridges the gap between previously marginalized communities and Western scholarship, as well as Western mindset and African mindset. The present study complies with this endeavor because it is making an attempt to examine misconceptions about indigenous Bapedi music and traditional oral stories by Christianity, Westernization and colonization; b) challenge Western mindset; c) enrich African philosophy; and d) bridge the gap between Western mindset and African mindset.

Attesting to the observations above, Narh (2013:2) writes that Ontology is basic to all meaning in reality and knowledge construction. Narh asserts that Ontology refers to what is out there to know. According to him, it has to do with whether something exists as real (realism) or as perceived (subjectivism), (Narh 2013:2). Narh's views are in consonance with Lee's advocacy that Ontology is thus a theory of existence concerned with the nature of reality and that of human beings (Lee 2012). Narh (2013:7) gives a concise elaboration on the theory of Ontology and African theory of knowledge. Writing on *'The quality of ancestry in knowing'*, he states that, "in Africa, and for Africans, existence is made of past, present, and future generations as epistemic communities linked together as a community". He argues that, "the individual knowing person is a community that includes ancestors and future unborn generations (Narh 2013:7). The investigation of misconceptions about indigenous Bapedi music, oral tradition and culture in Bapedi cultural context is ideal for both theories because a large percentage of Bapedi people survived acculturation and continue to observe their culture, keep and perpetuate their valuable heritage, which is still needed for survival and for the welfare of our next generation. What will follow in the next section is a look at previous related studies.

Previous Related Studies

In line with the perspectives of several other scholars (Mbaegbu 2015, Yoloye 1986, Nompula 2011, Dryness 1990, Bediako 1995, Nzewi 1999, Kwenda 2002), in this article the author upholds the thesis that many of the cultural traditions of African countries had been suppressed in colonial days and sufficient attention has not been given to the philosophy and latent human objectives that prescribed mass, informal music education in African cultures, and which determine the pedagogical strategies for music education, formal and otherwise because indigenous African music, oral tradition and culture were said to be manifestations of paganism.

Celestine Chukwuemeka Mbaegbu, for his part, argues that "undoubtedly, Africa has its own indigenous systems that deal with the metaphysical and the epistemological aspects of their existence" (Mbaegbu 2015:2012). Mbaegbu (2015:2012) correctly observes that despite the threat of epistemicide, these systems have persisted while coded in orality. Nzewi (1999:73-74) corroborates the above finding when he opines that "any human group that has a distinctive body of music knowledge and practice which is passed on from one generation to another as a process, has an operative system of music education, irrespective of its pedagogical manifestations". Furthermore, Nzewi argues that "in African traditions, opportunities for active participation in music making are abundant and certain philosophies guide the method of induction into the discipline and knowledge of formal ensemble performance".

The misconceptions that indigenous Bapedi music is regarded as proletarian, pagan, primitive, uncivilised, evil, and not sufficiently artistic and spiritual, has been challenged by scholars such as Nompula (2011:4), Bediako (1995:25), Hiebert

¹ Ekanem (2012:54) describes philosophy as a discipline whose quest is to understand life which is common to all humans though with different approach and method.

(1994:55-57), La Roche (1968:289) and Tracey (1961:16). In particular, Nompula (2011:2) writes that in music and arts education in South Africa, there are still strong voices that stereotype indigenous knowledge as backward and proletarian. In similar vein, Mkabela (2005:178) observes that "since colonial invasions, African indigenous culture has weathered rapid change". Mkabela further elaborates that "many researchers made real attempts to get inside the African culture, but even so, there was a tendency to see culture in terms of the coloniser's precepts and to assess educational needs in terms of the coloniser's agenda". According to her "when establishing formal education, there was no adequate reference to the indigenous education that Africans already had or to the depth of the ancestral opinions that influenced African thinking" (Mkabela 2005:178). In the light of the above observations, Mkabela (2005:178) is concerned that as an African in South Africa, she has received education in a country that has openly marginalized African indigenous knowledge. Similar to what obtains in South Africa, Bapedi society in particular, Amlor (2016:63) highlights the impact of Western culture in Ghana, by stating that "unfortunately Western culture in contemporary Ghana, is speedily competing with, and almost stunting the growth and survival of African indigenous knowledge systems". According to Amlor, "this unpleasant situation has led to re-awakening among the Ewe ethnic society to go back to her roots to revive indigenous entertainment forms like play games to promote the teaching, learning and preservation of indigenous education" (Amlor 2016:63).

Within the African context, there have been several studies that have considered the impact of Christianity, westernization and colonization (Mkabela 2005:178, Nompula 2011:4, Amlor 2016:63). These studies have focused mainly on acculturation and the demise of indigenous African music, culture and oral tradition. It is worthwhile to mention here Hellberg's (2010:24) view on the impact of acculturation. According to him, in pre-colonial times, music making was embedded in the local way of life and related to the total cosmology of the people. Furthermore, Hellberg (2010:17) writes that many of the churches that were founded in Africa, Asia and Latin America through the global spreading of Christian mission during the colonial era have experienced considerable music-cultural change during the post-colonial period. According to him, in their early years the music cultures of churches founded by Western missionaries were often more or less dominated by spiritual music imported from, or modelled on, the Western art music tradition (Hellberg 2010:17).

Some studies reveal that the colonial powers used brutal policies and devious methods to subjugate the African people in order to acquire full control over their lands and resources (Adamo 2001, Aleaz 2003, Moila 1988, Mugambi 1994, Ukpong 1995). A number of studies have examined this, highlighting that these policies and methods included consistent inferiorization of indigenous cultures, and concerted efforts to erase existing systems of knowledge and their replacement with Western-driven belief and knowledge systems (Adamo 2001, Proglor 1999:1; Eyong 2007:131). In what follows, I will discuss the research design and methodology utilized in this study.

Research design and methodology

The study utilized conversational¹ and storytelling methodology within an indigenous research framework on the experiences of selected Bapedi people on indigenous-settler and the powerful social relationships that marginalize indigenous Bapedi people, but also adopted the contextual approach as it considers the local context (Bapedi culture). Data from this contextual approach were analyzed guided by the research questions and objectives of the study. My contextual approach has led to the achievement of research objectives. All the subjects selected for this study live in Sekhukhune district, Limpopo Province in South Africa. During the course of the research for and the preparation of this article, I received assistance of many people. I am indebted to these people who permitted me to photograph them, their divination bones and their traditional medicines without reservation. The following procedures were followed in collecting data. Secondary evidence includes written sources like Masters and Doctoral theses, journal articles and books. The fieldwork involved participant observation on the part of the researcher. This means first hand observation of the role played by indigenous Bapedi songs and traditional oral stories in Bapedi culture. Ten (10) of the most knowledgeable and experienced traditional musicians and poets were purposively identified to participate in the research study because of their knowledgeable and informative qualities. Both personal and group interviews were conducted with the participants. The aim was to ascertain the conceptions about indigenous Bapedi music and traditional oral stories and the role played by indigenous Bapedi music and oral tradition in Bapedi culture. During my association with the participants, they corroborated my data on the required information. Most of the interviews took approximately one hour each, and an initial as well as a follow-up interview was held with each participant. All personal and group interviews with the participants, as well as

¹ Kovack (2010:44) describes conversational method as dialogic approach to gathering knowledge that is built upon an indigenous relational tradition. According to Kovach, it utilizes open-ended, semi-structured interview questions to prompt conversation where participant and researcher co-create knowledge.

observations, were captured with video and photo cameras. The poem and information on videotapes were translated into English. In the discussion that follows, I will concentrate primarily on the research findings of the study.

Results

The results were obtained from all phases that is, interviews, direct observations and literature review. The commonly held misconceptions can be widely categorized into religious, spiritual, social and cultural misconceptions. The results of analyzing the misconceptions about indigenous Bapedi music and traditional oral stories, as well as the vital role played by indigenous Bapedi songs and oral tradition in Bapedi culture, are described below.

Misconceptions

The **first** misconception and the basis for this article is that indigenous Bapedi music is regarded as proletarian, evil and unacceptable for worship. In pre-democratic South Africa, indigenous African music and culture were thought of as proletarian, evil and unacceptable for worship (Nompula 2011:4). Consequently, they were excluded from school curricula. Instead, European music and instruments were introduced and promoted through churches and missionary schools. Thus, from the time of nineteenth-century colonialism, European music dominated the educational system in the “black” schools. Through the exclusive focus on western European music, learners came to believe that there is only one music system in the world, i.e. European music. African students were denied the opportunity to learn more about their own indigenous music and to recognize the values of their own culture.

The **second** misconception is that indigenous Bapedi oral tradition and culture are dismissed as myth, superstition and steeped in evil religious experiences. In the quest to convert the Africans, certain cultural practices were discouraged or ultimately prohibited by the early missionaries (Dryness 1990:11; Kwenda 2002:160). Traditional local customs and institutions such as indigenous music, circumcision, veneration of ancestors, tribal ceremonies, authority systems and polygamy, among others, were opposed and denigrated (Bediako 1995:25). It was reckoned that such practices are steeped in evil religious experiences, thus, they must be repudiated (Hiebert 1994:55-57). The result of these restrictions included Westernisation of converts. In some of these cases, converts were ostracised by their own people. Obviously, this negative impact resulted in disorientation of the converts. In other cases, due to the foreignness of the new religion, some Africans resisted, as they were not ready to break away from their aged practices (Kwenda 2002:169). However, conversion to Christianity needs not imply rejection of traditional culture (La Roche 1968:289). Another common phenomenon concerns the failure of Christian missionaries to address some of the cultural problems faced by their converts adequately.

The **third** misconception relates to indigenous Bapedi music, oral tradition and culture condemned as pagan, primitive, uncivilised, evil, and not sufficiently artistic and spiritual, that had to be dealt with, and an inferior system that had to be done away with. The attitude of early missionaries showed an unwitting ignorance of the positive values of the Bapedi way of life. Their actions were an unwarranted attempt to control the social situation and an unfounded attack upon the fundamental institutions of the traditional Bapedi society. Without first trying to understand the significance of traditional rituals, missionaries condemned most rites of passage and social ceremonies as pagan, whether they were contrary to the teachings of the scriptures or not. Bapedi people like dancing (movement), and dancing had no place in European church worship. As Bapedi people began to respond to the Gospel, they were forced to abandon their ancient customs, rites, cultural identities and even their names because all of these were regarded as ‘pagan’. In these crucial initial encounters with powerful Western missionaries, the Bapedi people were made to feel inferior. Their previous way of life was condemned as totally unacceptable, wicked and pagan. This observation concurs with what Fabella (2003:105) and Lebaka (2017:117) similarly observe about the impact of Western culture on indigenous way of life of the African people. They concur with Yoloye (1986:164) who observes that indigenous African music, oral tradition and culture were systematically suppressed and repressed during centuries of Christianization, westernization and colonization.

The government’s neglect of indigenous music was added to the historical influence of Christian missionaries on religious music in Bapedi society. Missionaries regarded drumming (see photo 1) as woven into the fabric of pagan life, so they were determined to exorcise it. Despite the scarcity of instruments, the Bapedi people refused to forsake their musical traditions and an outstanding vocal musical culture evolved over time.



Photo 1. Traditional healers-to-be; trainees (*mathasana*) playing drums. From left to right; Mavis Motha, Tshegofatšo Shai, Tshepo Magaela, Nogane Sete & Lekoba Masha (Kotsiri village; Sekhukhune district, Limpopo Province, 22.03.2019), Photographer: Morakeng Edward Kenneth Lebaka.

Historical evidence strongly indicates that ample indigenous African knowledge in music has been systematically suppressed and repressed during centuries of Christianization, westernization and colonization of indigenous Bapedi music (Yoloye 1986:164). This was predicated on the myth that the masses of African people and their progenitors had accomplished little or nothing musically worthwhile, that they could never become exemplars in the advancement of society, and that in the best interest of all, teaching about Western musical cultures to the exclusion of African musical legacy should be a unique role of the imported western school systems in South Africa. Fifty years ago, African schools started from the wrong end and instead of insisting upon a solid foundation of local traditional songs, educators recommended that promising African musicians should be taught European music only (Tracey 1961:16). The above views and observations are in consonant with Yoloye (1986:164) who observes that, "many of the cultural traditions of African countries had been suppressed in colonial days because they were said to be manifestations of paganism". According to him, since early formal education was largely in the hands of the missionaries, songs, dances, drama and poetry associated with traditional African festivals or religions were forbidden in the schools. Yoloye (1986:151) further suggests that for the content of education in Africa to be relevant, the curricula, textbooks and methods must take into account the African environment, the African child's development, the African cultural heritage and the demands of technological progress and economic development.

The **fourth** misconception is that the mainline churches used to hold a very negative view of traditional medical practices and practitioners (many still do so today), and tried to discourage the use of traditional medicines (**see photo 2**) as much as possible. They did so for a number of reasons. Firstly, because it was felt that traditional healers encouraged the belief in witchcraft, which was considered one of the greatest hindrances to Christian missionary work (Yoloye 1986:164). Secondly, because early missionaries tended to regard the traditional healer as a rogue and a deceiver (Pawloková-Vilhanová 2007:25). Moreover, the traditional beliefs of the people were discarded as pagan and superstitious, in accordance with the Western prejudices of the time. Christian education and mission hospitals had the effect of weakening these traditional beliefs (Strayer 1976:10). They proved effective instruments for conversion to Christianity.



Photo 2. Traditional medicines (Kotsiri village; Sekhukhune district, Limpopo Province, 22.03.2019), Photographer: Morakeng Edward Kenneth Lebaka

The role played by indigenous Bapedi music and oral tradition in Bapedi culture

Indigenous Bapedi music and traditional oral stories as a communal participatory experience.

Literary evidence has shown that in the Bapedi society, indigenous songs and traditional oral stories are a social practice and cannot be enjoyed in isolation (Lebaka 2001:131). According to Lebaka (2001:133), they bring people together for different purposes, and with their ancestors, but also spur members of a group towards achieving a corporative objective in a community. With regard to 'music as a communal experience' Lebaka further mentions that "music as a direct agency for social intervention helps expressing and exposing corporate truth, communal or personal views, agitations, as well as aspirations (Lebaka 2001:133). These observations are vividly corroborated by Lidskog (2017:25) who states that music provides an opportunity for the expression of identity, and it can facilitate the reproduction and transformation of established social identities. He observes that music can be used as a symbolic identifier of a social group, both by the group's members but also by the surroundings (its non-members (Lidskog 2017:25). In the same vein, Rice (2007:35) observes that Music has the ability to index different aspects of multiple identities through the multiplicity of its formal properties (melody, harmony, rhythm, timbre and so forth). He argues that musical performance provides the opportunity for communities sharing an identity to see themselves in action and to imagine others who might share the same style of performance. In consonance with the above views, Joseph (2007:102) confirms that "learning from each other impacts on and influences one's identity". Furthermore, Joseph affirms that "music making is, therefore, an index of a living community, and a measure of the degree of social cohesion among its respective units" (2007:103). This is in line with the finding of Amlor (2016:63) who writes that "indigenous knowledge, perceived as cultural norms and values that collectively inform, educate and give identity to people in a society, still remains an African cultural legacy".

Indigenous Bapedi music is characterized by song, text, speech and poetry¹, and it is difficult to have one of these characteristics and not the rest. In Bapedi music performances for instance, the performers sometimes open a performance with an introductory speech. The information in this speech is usually not sung to any melody, but spoken directly. It informs the audience about the background of the song to be performed and prepares them toward the experience. This is evident in the Bapedi reed pipes' music ensemble (*kiba*) performances.

¹ Lebaka (2008:189) describes poetry as an organized form of communication whereby, words are skillfully knitted together in manners where only few words cleverly express a body of ideas.

Moral lessons behind indigenous Bapedi songs and traditional oral stories.

In my fieldwork in Sekhukhune district, it was interesting and encouraging to observe how Bapedi people employ 'fable'¹ to teach some moral lessons. Informal discussions have revealed that the characters of the story are often animals or birds, which converse like human beings. With regard to the role played by indigenous Bapedi music and traditional oral stories in the Bapedi society, it was found that indigenous Bapedi music and traditional oral stories serve several functions in the Bapedi society, ranging from social to moral, and religious to political. Furthermore, it was found that they function so much in entertainment as most members of the society are normally intrigued to watch the performances, but also serve the purpose of correction, education, counselling and enlightenment. These observations are in consonance with Idang (2015:103) who observes that African culture is embedded in strong moral considerations and has a system of various beliefs and customs which every individual ought to keep in order to live long and to avoid bringing curses on them and others. We observe in the present study that indigenous Bapedi music does not give momentary joy that makes people forget about realities of life, and does not aim at providing just temporary happiness in entertainment; but rather presents issues of the moment and provides stimulus to re-thinking about behaviours that are contrary to the norms of the society and such vice that could even be dangerous to those who indulge in them and the society. Oral accounts and observations have also shown that Indigenous Bapedi music and traditional oral stories prompt members of the society to examine and address facts about reality. These findings imply that indigenous Bapedi music and traditional oral stories deal with frank issues of life, and there is no hiding in their practice. For example, when the composer-performer means to criticize, he/she does so directly and when it becomes necessary to praise he/she does so frankly. These findings also support Lidskog's (2017:33) assertion of music and identity. In his view, "music has an important role in identity formation in diasporic situations". He maintains that "music can serve both to stabilize and maintain identities and belongings – but also to destabilize them, providing new material and resources for identity formation (Lidskog 2017:33).

The utilization of cultural proverbs and parables in indigenous Bapedi songs and narratives

It has become evident through interviews and observations that indigenous Bapedi music is vocal and word-based. Closer investigation has shown that it presents its symbols in skilled language that employs figures of speech, imagery and other poetic elements. Using videos, it was recorded that it is the use of these language techniques put together in tones and tunes that assist in conveying the messages that make the songs symbolic. During interviews it was also established that Bapedi people employ a personification in a proverbial manner and metaphorical descriptions using animals, birds and this physical world as well as the spiritual world to discredit the being of the assailed subjects. When analyzing the data material, it becomes evident that indigenous Bapedi music and traditional oral stories play significant roles in educating and enlightening Bapedi people through their musical performances. Furthermore, it was found that indigenous Bapedi songs are characterized by proverbial and metaphorical expressions. Along similar lines, it is worthwhile to mention here Hlupi's view. In a personal interview with Makgoga Hlupi Nkwana (28th of September 2018) at Kotsiri village, Sekhukhune district in Limpopo Province, it was pointed out that "the Bapedi culture is richly vast in the use of proverbs both in speech and songs". According to her, "in proverbs issues are raised and a multitude of counsel is given in brevity". Ekanem (2012:57) emphasizes the above observations when he writes that proverbs are seen as the oil with which words are eaten. He further elaborates that proverbs are the most important aspect of language and it is in proverbs that we find the remains of the oldest forms of African religions and philosophical wisdom, thus proverbs are the defining features of African languages. All the interviewed persons feel that in Bapedi society, many traditional stories, poems and indigenous songs are associated with animals and birds. Effective teaching in these stories, poems and songs is realized by employing imagery² of birds and animals (Lebaka 2008:155). The following poem (**table 1**) based on divination bones is an illustration of this feature. The poem as translated into English is shown below.

¹ Idamoyibo (2006:6-168) describes 'fable' as a very brief story to teach some moral lessons.

² Imagery is a technique in poetry adopted to create pictures in the minds of the audience in order to stimulate their imagination of the objects and subjects described and represented, and to arouse their responses (Idamoyibo 2006:169).

Name of the poem of divination bones: Lewa la Hlapadima (a holotorous personality)

Poem text and translation

Sepedi	English
<p>Ngwana tladi hlalefa, ge o ka se hlalefe o tla wela sefung. Ke hlapadima e leme la maka, Ga go kubu, ga go kwena, ga go selomi se metseng, Hlapa o tšwe, madiba ga se eno, ke a bo kwena.</p>	<p>My child, please take care, and be on the alert. In case you are negligent and ignorant, you will suffer the consequences of what you are attempting to do, You will be confronted by hlapadima (a holotorous personality), a liar, and unreliable. It is not advisable to associate yourself with this type of a personality/character. The most dangerous, prominent and popular animals such as the crocodile and the hippopotamus, have failed to establish friendship with this character/personality. Take a bath, and get out of the water, you don't belong there, that's where the crocodile belongs.</p>

Table 1: Interview, Lesufi (17 March 2019).

Explanation of the symbolism

There is much wisdom in the above poem and divination bones (**photo 3**). The poem is a warning to the person diagnosed, either the female or male partner who is intending to cohabit with his/her partner. The message put across is that 'please ensure your safety before any action could be taken'. This simply implies that one of the partners is sick or has a sexual transmitted disease. In the case of a female partner, this may also apply to menstruation cycle/period. In the case of a male partner, this serves as a warning that he should be cautious and guard against being socially excited of the newly established relationship, as the female partner might be sick or experiencing a menstruation cycle or period. According to Tshogofatšo Shai; a traditional healer-to-be (personal communication, 22 May 2019), the divination bones serve as a warning that fornication before consulting with the traditional healer for the utilization of the divination bones is health risk if not life risk. Tshogofatšo further mentioned that in Bapedi culture there is a general belief that *mosadi o hwetšwa dikgagareng*, meaning, the rightful woman or prospective wife is found in the divination bones. This simply implies that after a man has proposed love to a woman of his choice, and the consensus has been reached, he should not be socially excited and inform his parents about the new relationship before consulting with the traditional healer for the utilization of the divination bones to find out whether the woman is the rightful partner for the bright future and happy marriage. This enlightenment is significant to the diagnosed person and other people in the Bapedi society because it is true that *mosadi o hwetšwa dikgagareng* (the rightful woman is confirmed by the divination bones). Since generally oral poetry in Bapedi society does not exist as mere recitation, it is performed by various traditional poets and musicians in different parts of Sekhukhune district without distortion of coherence and meaning in the messages communicated through the songs and poems. However, divination poems¹ do not exist for listening pleasure, but are intended to warn the diagnosed with frank issues of life. Sometimes the messages are presented proverbially or in parables and wide gaps are left for the diagnosed person to fill.

Message

In the above poem, the traditional healer's (poet) tone is very essential to the understanding of divination bones. The tone and diction suggest the meaning of what the traditional healer (poet) intends to communicate to the diagnosed person. The findings from this research correlates with the assertion by Lebaka (2001:64) who states that various methods of divination are used by Bapedi traditional healers (*dingaka*), and the most common method is the utilization of a set of divination bones (*dikgagara*). Lebaka (2001:65) further writes that the answer from the patient or whoever diagnosed is either 'Yes' or 'No' as a response to the question, 'Do you agree?' The question is asked by the traditional healer. Following next is the utilization of a set of divination bones (*dikgagara*) by Tshogofatšo Shai (**see photo 3**), interpreted by

¹ Whether short or long, the poems are memorable.

the poem in **table 1**. According to Tshegofatso Shai (a traditional healer-to-be; trainee), the four divination bones he is pointing are associated with *hlapadima* (a holotorous personality).



Photo 3/ Utilization of a set of divination bones; Tshegofatšo Shai – Traditional healer-to-be; trainee (Kotsiri village; Sekhukhune district, Limpopo Province, 22.03.2019), Photographer: Morakeng Edward Kenneth Lebaka

The pedagogical significance of indigenous Bapedi music.

The body of evidence based inquiry and research have revealed that indigenous Bapedi music and traditional oral stories, more than being the processes of social communication, are the products of the art themselves. As products, they exist to provide certain functions and as well serve as reference source in the Bapedi society. So far in this study, we have found that there is a clear indication that informal music education and traditional oral stories in Bapedi culture show remarkable interrelatedness of fields of learning such as literature, religion, sociology, history, philosophy and music, where they meet and unite to fulfil certain functions in the society. The exposition of this study has also shown that these fields of social, moral and spiritual experiences influence the philosophical thought processes of indigenous Bapedi music practitioners as they take cognizance of the cohesive art of communication. Attesting to the observations above, Nzewi (1999:73) observes that “sufficient attention has not been given to the philosophy and latent human objectives that prescribed mass, informal music education in African cultures, and which determine the pedagogical strategies for music education, formal and otherwise. Observations from Nzewi (1999:73) indicate that most researchers and analysts have often assumed that a systematic approach is non-existent simply because there is no unnecessarily verbal theorization or written tradition. Nzewi further argues that “to introduce Africans to modern music learning and appreciation of European music thoughts, contents, practices and pedagogy is a radical, de-culturating process which continues to produce the crises of cultural inferiority, mental inadequacy, and pervasive, perverse cultural-human identity characterizing the modern African person in modern social, political, educational and cultural pursuits”.

Discussion

Several significant findings have emerged from this study. It was established that indigenous Bapedi songs and traditional oral stories resonate in people’s personal lives, in cultural and religious rituals and in society at large. Based on the findings of this study, common misconceptions about indigenous Bapedi music, oral tradition and culture include the ideas that indigenous Bapedi religious and cultural practices are condemned as proletarian, myth, superstition, pagan, steeped in evil religious experiences and unacceptable for worship, primitive, uncivilized, not sufficiently artistic and spiritual, that had to be dealt with, and an inferior system that had to be done away with.

Data analysis shows that Indigenous Knowledge Systems (IKS) of Bapedi people is quite rich in cultural heritage. The truth is that these misconceptions are rooted in misinformation, lack of knowledge and stereotypes. Another truth is that some

traditional Bapedi musicians are unemployed, live a hand to mouth existence and lack access to education and resources, but they make the most of what they have. While education and resources are often lacking, innovation and creativity are in abundance and plentiful supply. Closer investigation has shown that they are undoubtedly resourceful and innovative. Based on my experience and the findings of this study, while acknowledging the contribution of Western knowledge systems to the development of modern Africa, it is deeply regretted to realize that indigenous Bapedi oral tradition and culture are dismissed as myth, superstition and steeped in evil religious experiences. The findings of this study have revealed that in Bapedi society, indigenous music and traditional oral stories are utilized to buttress and demonstrate the collective wisdom of Bapedi people, as well as to transmit Bapedi culture, values, beliefs and history from generation to generation.

What has emerged thus far in this study, is that with so many fallacies about indigenous Bapedi music, oral tradition and culture, it is not true that indigenous Bapedi music is proletarian and not sufficiently artistic and spiritual. The truth, however is that indigenous songs and traditional oral stories have traditionally played (and still play) an important role in Bapedi culture. The findings also imply that most people who have never visited Sekhukhune district in Limpopo Province, are susceptible to fall prey to the widespread misconceptions about indigenous Bapedi music, oral tradition and culture. The results yielded thus far contribute to the notion that it is also a great religious misconception to assume that indigenous Bapedi music is pagan and steeped in evil religious experiences. This is another fact that is misconceived. It is a misleading misconception because indigenous Bapedi music and traditional oral stories are utilized to buttress and demonstrate the collective wisdom of Bapedi people, as well as to transmit Bapedi culture, values, beliefs and history from generation to generation.

From an identity perspective, the results of this study have shown that Bapedi people seem to maintain and perpetuate their social cohesion, cultural identity, personal and social identity. This finding implies that Bapedi people must have control over their own knowledge and its belief system. It also emerged during the study that in Bapedi society, indigenous songs and traditional oral stories are a social practice and bring people together for different purposes. Based on the literary sources consulted, observations, interviews and using videos, I am firmly of the opinion that indigenous Bapedi music, oral tradition and culture are in consonant with African theory of knowledge and Ontology theory and should not be dismissed at face value as practices overtaken by circumstances and hence irrelevant to the present Bapedi community developmental needs. Findings from the interviews also indicate that communal music making in Bapedi culture is more common than individual performance. Generally, what remains factual ground for this study is that indigenous Bapedi songs and traditional oral stories resonate in people's personal lives, in religious rituals and in society at large, and the performance of indigenous Bapedi songs incorporates several aspects of artistic-aesthetic communication such as song, dance, various visual and verbal arts that are integrated.

Conclusion

The purpose of the investigation was threefold: a) to examine misconceptions about indigenous Bapedi music and oral tradition; b) to investigate the proverbs, parables and narratives that form the basis of the Bapedi songs which contain a good deal of interesting material that can contribute to a greater understanding of what indigenous Bapedi songs mean to the Bapedi people; and c) to highlight the role played by indigenous Bapedi music and oral tradition in Bapedi culture. This study described the missionary influence on the cultural impact of indigenous music and oral tradition, but also reflected on the demise of indigenous Bapedi music, culture and oral tradition. The findings of the study suggest that Bapedi people should keep and perpetuate their valuable heritage, which is still needed for survival and for the welfare of our next generation.

References

- [1] Achebe, C. 1958. *Things Fall Apart*: https://en.wikipedia.org/wiki/Things_Fall_Apart. Nigeria: William Heinemann Ltd.
- [2] Adamo, D. T. 2001. *African American heritage*. Abraka: Wipf and Stock Publishers.
- [3] Aleaz, K. P. 2003. Introducing theologies of religions. *Asia Journal of Theology* 17(2), 442-459.

- [4] Amlor, M. Q. 2016. Imparting Indigenous Knowledge through Traditional Forms of Entertainment: The Role of Ewe Play Games. *World Journal of Social Science*. Volume 3, No. 2, pp. 63-74.
- [5] Bediako, K. 1995. *Christianity in Africa. The renewal of a non-Western religion*. Edinburgh: Edinburgh University Press.
- [6] Dryness, W. A. 1990. *Learning about Theology from the Third World*. Grand Rapids MI: Academie Books.
- [7] Ekanem, F. E. 2012. On the Ontology of African Philosophy. *International Journal of Humanities and Social Science Invention*, Volume 1, Issue 1, pp.54-58.
- [8] Eyong, C. T. 2005. Indigenous Knowledge and Sustainable Development in Africa: Case Study on Central Africa. In Emmanuel, K. Boon and Luc Hens (eds): *Indigenous Knowledge Systems and Sustainable Development: Relevance for Africa*. Published in *Tribes and Tribals*. Special Volume No.1, pp. 121-139.
- [9] Fabella, V. 2003. *The SCM Dictionary of Third World Theologies*. London: SCM Press.
- [10] Hellberg, J. 2010. To worship God in our way: disaffection and localisation in the music culture of the Evangelical Lutheran church in Namibia. *Journal of the musical arts in Africa*, volume 7, pp. 17-50.
- [11] Hiebert, P. G. 1994. *Anthropological reflections on missiological issues*. Grand Rapids MI: Baker Books.
- [12] Idamoyibo, I. O. 2006. *Igoru Music in Okpeland: A Study of its functions and compositional techniques*. Unpublished Doctoral thesis. Pretoria: University of Pretoria.
- [13] Idang, G. E. 2015. African culture and values. *Phronimon*, Volume 16, Number 2, pp. 97-111.
- [14] Joseph, D. 2007. Encountering South African music from an Australian perspective: A kaleidoscope voyage of discovery, in *Music and Identity: transformation and negotiation*, Sun Press, Stellenbosch, Africa, pp. 99-112.
- [15] Kovack, M. 2010. Conversational method in indigenous research. *First peoples child & family review*, volume 5, Number 1, pp. 40-48.
- [16] Kwenda, C. V. 2002. Does Africa need Theology in the twenty-first century? In: Holness, L & Wusternger, R. K. (eds.), *Theology in dialogue. The impact of the arts, humanities and science on contemporary religious thought: essays in honour of John W de Gruchy*, 151-174. Michigan: W. B. Eerdmans.
- [17] La Roche, R. 1968. Some traditional African religions and Christianity, In: CG Baeta (ed.), *Christianity in tropical Africa*, 289-307. London: Oxford University Press.
- [18] Lebaka, M.E.K. 2001. *The ritual use of music in indigenous African Religion: A Pedi Perspective*. Pretoria: University of Pretoria (MA thesis).
- [19] Lebaka, M.E.K. 2009. *Psalm-Like Texts in African Culture: A Pedi Perspective*. Pretoria: University of Pretoria (PhD thesis).
- [20] Lebaka, M.E.K. 2017. *Transmission Processes of indigenous Pedi music*. Jyväskylä, Finland: University Library of Jyväskylä.
- [21] Lee, C. J. G. 2012. 'Reconsidering construction in qualitative research', *Educational philosophy and theory* 44, pp. 403-412.
- [22] Lidskog, R. 2017. The role of music in ethnic identity formation in diaspora: a research review. *International Social Science Journal*, Volume 66, Issue 2, pp. 23-38.
- [23] Mbaegbu, C. C. 2015. The effective Power of Music in Africa. *Open Journal of Philosophy*, Volume 5, pp. 176-183.
- [24] Mkabela, Q. 2005. Using the Afrocentric method in researching indigenous African culture. *The Qualitative Report*, Volume 10, No. 1, pp. 178-189.
- [25] Moila, M. P. 1988. *Toward an Anthropologically Informed Theology: The Kingdom of God Theology, Christian Presence, and Conflict in Pedi society*. PhD thesis (U.M.I. Dissertation Information service). Chicago: Lutheran school of Theology.
- [26] Mugambi, J. N. K. 1994. *African Christian Theology*. Nairobi: East African Educational Publishers.
- [27] Narh, P. 2013. Philosophical Foundation of knowledge creation on Africa. *Farafina Institute's Discussion Series*, No. 3, June 2013, pp. 1-2.
- [28] Nompula, Y. 2011. Valorising the voice of the marginalized: exploring the value of African music in education. *South African Journal of Education*, Volume 31, Number 3, pp. 1-10.

- [29] Nzewi, M. 1999. Strategies for music education in Africa: towards a meaningful progression from tradition to modern. *International Journal of Music Education*, Volume 33, pp. 72-87.
- [30] Onyewuanyi, I. 1976. Is there an African philosophy? *Journal of African Studies*, Volume 3, Number 4, pp. 513-528.
- [31] Pawliková-Vilhanová, V. 2007. Christian Missions in Africa and their role in the transformation of African societies. *Asian and African studies* 16(2), pp. 249-260.
- [32] Proglar, Y. 1999. Towards defining Western research on Indigenous Knowledge. *Muslimedia*. (December issue), pp. 1-15.
- [33] Rice, T. 2007. Reflections on music and identity in Ethnomusicology. *Musicology*, Volume 7, pp. 17-38.
- [34] Strayer, R. 1976. Mission history in Africa: New perspectives on an encounter. *African Studies Review*, Vol.19, No.1, pp. 1-15.
- [35] Tracey, H. 1961. *The evolution of African music and its function in the present day*. The institute for the study of man in Africa. Johannesburg: Institute for the study of man in Africa (ISMA).
- [36] Udefi, A. 2014. The Rationale for an African Epistemology: A Critical Examination of the Igbo views on Knowledge, Belief and Justification. *Canadian Social Science*, Volume 10, No. 3, 2014, pp. 108-117.
- [37] Ukpong, J. S. 1995. 'Re-reading the Bible with African eyes'. *Journal of Theology for Southern Africa* 91, 3-14.
- [38] Yoloye, E. A. 1972. A problems approach to foundation studies in teacher education. *Report of the curriculum innovation*. Workshop held at the University of Ibadan, July 16-29, 1972, Ibadan, 1972 (Mimeo).
- [39] Yoloye, E. A. 1986. The relevance of educational content to national needs in Africa. *International Review of Education*, XXXII, pp. 149-172, Dordrecht: Hamburg and Martinus Nijhoff Publishers.
- [40] Yoloye, E. A. 1987. Relationship between the work of teachers in nonformal settings and in schools. *International Review of Education*, XXXIII, pp. 339-350, Dordrecht: Hamburg and Martinus Nijhoff Publishers.
- [41] Vambe, M. T. 2001. *Orality and Cultural Identities in Zimbabwe*:
<http://www.africanbookscollective.com/books/orality-and-cultural-identities-in-zimbabwean-novel-in-english/oclc/59004609&refer=brief> results.

Quality at Newly Established Private Universities: New Strategies for Leadership Management

Skender Bruçaj

Phd candidate, European University of Tirana, Albania

Abstract

Nowadays, the demand for quality in higher education is increasing. The process of massification and internalization of universities require better performance in quality of teaching, academic research and other educational related activities. In this context universities in order to be competitive and successful in market they have to rethink their strategies and to be open to new leadership management approaches. Well established universities due to their institutional culture may face some barriers when they try to make changes on their managerial strategies. In addition newly established universities have a significant chance on designing and implementing new fruitful strategies regarding students enrolment, academic activities and education management. Those strategies will contribute to enhance quality in higher education in short periods and to be more capable of overcoming new challenges. Therefore, the role of leadership management is very significant regarding designing and implementing the most appropriate strategies for their institutions. The aim of study is providing a managerial framework for leadership management of newly established universities by promoting a total quality educational approach. This study will focus on challenges of newly established universities in Albanian higher education system

Keywords: newly established university, quality, leadership management, higher education, total quality

Introduction

Today's students have more opportunities regarding selecting an appropriate university for their academic and professional development and they have the tendency to search for universities that provide a high quality of teaching, and the best student services along with affordable costs. They want to be sure when making important investment on their life such as choosing the right university for undergraduate studies. Therefore, many HEI's are developing different managerial strategies in order to increase their organizational performance and quality in education. Albania is a rapidly evolving country that witnesses a continual shift in educational needs for its society both higher education enrolments and the numbers of institutions expanded dramatically during the last decade. Rapidly growing youth education; in the period after collapse of communism 1991 increased in number of high school students. Already in the last 20 years, Albanian higher educational system was characterized by expanding, which means not only the large number of students who study at the university, but also the opening and operation of private higher institutions. Since 2000 Albanian government has decided to start a policy of expansion in private higher education that has resulted in new universities across the country. Today, there are 14 state universities and 42 private higher institutions in Albania (APAAL, 2013). The main reasons after promoting establishment of new universities throughout the new developing countries are increasing access to higher education and to achieve a wider distribution of qualified and more educated individuals among different regions of society (Saarivirta & Consoli, 2008)

This expansion of private higher education has raised questions regarding the quality of private universities. This fact has increased the expectations of society from higher education institutions as the main institutions that have the duty to prepare the next generation for the challenges of future (Bruçaj, 2013). The aim of study is providing a managerial framework for leadership management of newly established universities by promoting a total quality educational approach. This study will focus on challenges of newly established universities in Albanian higher education system

Literature Review

Leadership as traditional concept may be considered as the process (act) of influencing the activities of an organized group in its efforts toward goal setting and goal achievement' (Stogdill, 1950). Nowadays the concept of leadership embraces a variety of approaches including transformative, charismatic and visionary leadership, which they treat leaders as 'managing meaning' rather than goal achievement, and motivating followers through a variety of symbolic activities. According to Kotter "Leadership defines what the future should look like, aligns people with that vision, and inspires them to make it happen despite the obstacles." (Kotter, 1996). It is very important to understand the perception of university staff for leadership management responsibilities regarding positively improvement of staff working climate. In education system, leadership management is defined as "as responsible for learning outcomes and measures the improvement of quality of education".

Leadership management is seen as one of the key factors for the advancement of newly established small private higher education institutions. According to Bryman the characteristics of leadership at both departmental and institutional levels:

Providing direction

Creating a structure to support the direction

Fostering a supportive and collaborative environment

Establishing trustworthiness as a leader

Having personal integrity

Having credibility to act as a role model

Facilitating participation in decision-making; consultation

Providing communication about developments

Representing the department/institution to advance its cause(s) and networking on its behalf

Respecting existing culture while seeking to instill values through a vision for the department/institution

Protecting staff autonomy (Bryman, 2007)

The role of the leadership management in universities, is to increase the overall organizational performance by using all human resources effectively taking into consideration that newly established universities have a limited number of staff therefore recruiting and retaining the quality of staff is very important for the future of institution

Quality in higher education

The recent development on massification and internationalism of higher education have contributed significantly to raise the awareness of the main actors in this field to the importance and role that of quality in higher education has on achieving success of private universities in this competitive environment. Defining quality in the field of services is not easy but becomes even more difficult to define quality in higher education. It is very difficult to have single unique definition of quality in higher education in addition there is no universal consensus on which the best methodology regarding of implementation of quality within higher education quality can be defined in terms of perfection, excellence, and value for money, fitness to purpose, or transformation. According to some researchers the most important definitions of "quality" in higher educational system as the following (Harvey, 2005; Leckey & Neill, 2001; Mahmut Ozer, 2010; Quinn, Lemay, Larsen, & Johnson, 2009):

Quality is fulfilling and exceeding customer needs.

Quality is everyone's job.

Quality is continuous improvement.

Quality is leadership.

Quality is human resource development.

Quality is in the system.

Quality is fear reduction.

Quality is recognition and reward.

Quality is teamwork.

Quality is measurement

Establishment of internal quality system and outcomes of quality processes generally differs in the newly established universities in comparison with early developed and well-established ones.

To many researchers well established universities had difficulties regarding same changing paradigms on educational philosophy because of old culture (Youssef, 1998).

Therefore is very important to make clear the strategy which universities will follow in order to implement quality standards. It is also very important for promoting quality education at higher education institutions the way which leadership in higher education is quotient and responds to the demands and needs for organizational learning (Forest, 2002).

Therefore the role of effective leadership is considered to be the main factor regarding the promotion and implementation of quality in higher education system (Sila & Ebrahimpour, 2002)

Many studies done on perception of university staff regarding responsibilities and challenges of leadership management of universities have identified many common characteristics faced on different university environments.

The most important responsibilities and challenges of leadership management of universities according of results of those studies done on perception of academic and administrative staff are listed below (Lewis, 1994) (Owlia, 1996) (Flores-Molina, 2011; Owlia, 1996) (Sallis, 2002) (Brucaj, 2013)

Expected responsibilities of leadership management in higher education

A proactive approach to pursuing the university's mission and vision

An emphasis on a visionary and strategic approach that guides and provides focus for what the leader seeks to achieve for the institution.

Being internally focused, being well connected in the institution

Being externally focused, good partnership collaboration, implementing appropriate benchmarks examples

Being flexible in approach to leadership, in coordination with staff motivation climate

Challenges of leadership management in higher education

Offering high quality academic programs and a total quality education with limited resources

Emphasizing research and fostering the quality of teaching

Enhancing student learning experience and outcome

Achieving national ranking. Becoming a national university is the grand and long-term vision for several small private universities which were evaluated and ranked as successful universities.

Methodology

The aim of this study was to understand the styles of or approaches of leadership which are associated with effective leadership in higher education, especially at newly established Albanian private higher education institutions

For the purpose of this study, the results from a staff climate survey with 127 participants who were currently working in different newly established private universities in Albania and results from a SWOT analysis contacted by 15 private universities were analysed in order to obtain university staff perceptions of the factors that contribute to institutional total quality and effective leadership strategies that have been used to promote a high-quality education.

Study Results

Promoting a high-quality education has been a great challenge for key leaders at newly established private universities. Conclusions from staff climate survey completed by 127 individuals working as university staff pointed out that newly established small private universities are striving for quality in their work with a tendency to a focused mission, an effective strategic plan with a solid commitment.

Table 1: Descriptive statistics for the most important areas which university staff see leadership as a key factor

	N	Mean	Std. Deviation
organizational climate	127	4.58	.556
supervisory leadership	126	4.51	.701
staff motivation	127	4.54	.664
institutional loyalty	127	4.69	.530
Valid N (list wise)	126		

	N	Mean	Std. Deviation
organizational climate	127	4.58	.556
supervisory leadership	126	4.51	.701
staff motivation	127	4.54	.664
institutional loyalty	127	4.69	.530
Valid N (list wise)	126		

Table 2: The challenges of new established universities in Albania according SWOT analysis results from 15 universities

NO	Challenges	Number of universities that faced the same challenges
	We select only the challenges that were faced by four or more universities	
1	Quality of enrolled student at university	37
2	Infrastructure and campus environment problems	65
3	Scientific research	46
4	The lack of management information program	35
5	Need for academic and administrative regulations and procedure	5
6	Not enough effective academic and administrative staff	24
7	Lack of literature	35

<u>8</u>	Coordination problems between academic staff and administrative	6
<u>9</u>	New established institution, luck of organizational culture	<u>35</u>
<u>10</u>	Luck of social environments for students within campus	<u>44</u>
<u>11</u>	Compulsory engagements of academic staff with administrative duties	<u>36</u>
<u>12</u>	Centralized budget	<u>27</u>
<u>13</u>	The existence of negative perception for private universities in society	<u>48</u>

The findings from both interviews and staff climate results point out the importance of the following facts regarding educational leadership at newly established universities:

Providing strategic direction to university staff in order to realize the mission

Providing structure and support to realize strategic plans

Providing a supportive and collaborative environment between university staff

Establishing trustworthiness leadership atmosphere

Encouraging university staff in decision-making process

Being open to new strategies and developments

Protecting staff autonomy and integrity

Promoting academic excellence

In the heart of success to create and promote an academic context which will help individuals to fulfil their academic and professional potential relay the success of an effective leadership management. Therefore, is very important to foster collegial climate and academic autonomy in university environment in order to achieve an appropriate academic climate. Similarly, the results of study have shown that to increase the quality standards in higher education institutions it is essential for leadership management to adopt certain leadership strategies to implement total quality management philosophy in the higher educational system.

Recommendations

At newly established universities, we should change the way we think about our own education process and product. Today only institutions that meet changing consumer needs and demands will succeed." Newly established universities in order to survive in this competitive educational market of higher education should constantly focus on quality improvement. In this perspective the appropriate effective leadership strategies can make great differences in promoting and delivering a high-quality education at newly established universities

One of the key strategies regarding improvement of quality in education at newly private universities is having systematic reviews of all academic programs learning outcomes. Effective leadership management is the strongest motivations for university staff to have institutional loyalty, to be committed to academic excellence, and devoted to university mission. According to study results one of the most effective leadership styles in higher education system is servant leadership approaches. According this model a successful leader is the one who not only has the authority to make decisions and lead the university to reach it mission but also has the commitment to be a servant of the community

Newly established universities that are focused on reaching quality standards by having a clear strategy on implementation of total quality philosophy at university level have many chances to be successful due to their centralized structure of small university environment. To be successful HEI's requires a devoted leadership management who is capable of involving all academic and administrative staff of HEI's in process of implementation of quality standards

References

- [1] APAAL. (2013). Retrieved 28 May, 2013, from <http://aal.edu.al/sq/al/institucionet-ne-al/institucionet-private.html>.
- [2] Brucaj, S. (2013). Implementation of tqm in small private universities: the challenges of leadership management. Paper presented at the International Working Conference "TQM – Advanced and Intelligent Approaches", Belgrade, Serbia.
- [3] Bryman, A. (2007). *Effective Leadership in Higher Education*, research and development Series. Leadership Foundation for Higher Education, 6.
- [4] Flores-Molina, J. C. (2011). *A Total Quality Management Methodology for Universities*. Florida International University.
- [5] Forest, J. J. F. (2002). Learning Organizations: Higher Education Institutions Can Work Smarter Too. *The Journal of the New England Board of Higher Education*, , 17(2).
- [6] Harvey, L. (2005). A History and Critique of Quality and Evaluation in the UK. *Quality Assurance in Education*, 13(4), 263-276. doi: 10.1108/09684880510700608
- [7] Kotter, J. (1996). *Leading Change* (Vol. 1): Harvard Business School Press.
- [8] Leckey, J., & Neill, N. (2001). Quantifying Quality: the importance of student feedback. *Quality in Higher Education*, 7(1), 19-32.
- [9] Lewis, R. G. a. S., H. D. (1994). *Total Quality in Higher Education*. Florida: St. Lucie Press,.
- [10] Mahmut Ozer, B. s. G., Talip Kucukcan. (2010). *Yuksekk ogretimde kalite guvencesi*. Ankara: SETA.
- [11] Owlia, M. a. A., E. (1996). A Framework for the Dimensions of Quality in Higher Education. *Quality Assurance in Education*, 4(2), 12-20.
- [12] Quinn, A., Lemay, G., Larsen, P., & Johnson, D. M. (2009). Service quality in higher education. *Total Quality Management & Business Excellence*, 20(2), 139 - 152.
- [13] Saarivirta, T., & Consoli, D. (2008). Where Did They Go? A Study on Newly Established Universities and Graduate Mobility in Finland. MPRA, Paper No 11377(posted 5).
- [14] Sallis, E. (2002). *Total Quality Management in Education*. London: Cogan Page.
- [15] Sila, I., & Ebrahimpour, M. (2002). An investigation of the total quality management survey-based research published between 1989 and 2000: a literature review. *International Journal of Quality and Reliability Management*, 19(7), 902–970.
- [16] Stogdill, R. M. (1950). Leadership, membership and organization. *Psychological bulletin*, 47, 1-14.
- [17] Youssef, M. A., Libby, P., Al-Khafaji, A., Sawyer, G. Jr. (1998). TQM implementation barriers in higher education. *International Journal of Technology Management*, 16(4), 584-593.

Black Skin, Red Masks. Racism, Communism and the Quest of Subjectivity in Ralph Ellison's *Invisible Man*

Siavash Bakhtiar

Abstract

This essay aims at proposing a study of Ralph Ellison's novel *Invisible Man* (1952), where the author focuses on the difficult journey of black intellectuals in quest for a strong black identity in post-war America. The theoretical reflection in this paper is based, in a first phase, on the philosophical and political perspectives of thinkers such as Jean-Paul Sartre, Maurice Merleau-Ponty and Frantz Fanon, whose works and debates have articulated an important source to understand the quest of subjectivity and intellectual consciousness in the 1950s, a period marked not only by the emergence of civil rights movement and the Universal Declaration of Human Rights, but also the progressive replacement of Communism by alternative emancipatory currents such as existentialism, postcolonialism and (post-) structuralism. From this discussion, the essay indicates, how (post-) Marxist thinkers, like Etienne Balibar, investigate the limits of the a priori paradigms promoted by the traditional humanistic (natural law-positive law) and communist narratives (alienation-emancipation), which lack conceptual and historical efficacy when it comes to understand and respond to new (bio-capitalist) forms of discrimination, which constantly evolve according to the epoch and the place.

Keywords: American Fiction – Ralph Ellison – Racism – Marxism

Fiction and revolution: the novel in its historical context

Since the Industrial Revolution and the emergence of French utopian socialism and Marxism in the nineteenth century, fiction and revolution have been closely linked. Both are acts of transformation of an old world into a new one. History proved that artists and intellectuals have always been prosecuted under revolutionary political regimes (especially under Stalinism); the reason may be that an artist is more likely to be aware of the limits of his own creation, *of any human creation – politics included – to absolute reach objectivity*. In fact, artistic creations are the field of a paradoxical phenomenon: the man refuses the imperfect world he lives in, but at the same time does not want to escape it – or more likely, *cannot* escape. Therefore, the dialectical movement between reality and fiction, in a way, helps the writer (and the reader) to understand his existence better and cope with it.

After World War II, the situation of Communist parties in the United States was not the same as in Europe. In both Italy and France (and in some Eastern European countries), the Communists had been the main opposition force to Fascism by leading underground operations at home whereas most liberal leaders and the ruling class went into exile. In contrast, the behaviour of American Communists during the war did not give them the same prestige as their European comrades. Indeed, they had lost much of their reputation by cooperating largely with the bourgeois liberals; and particularly by going against the civil rights movement during the war period. This movement were regarded by many Communist leaders and intellectuals as a threat to the war effort and it did not go better with the beginning of the Cold War period.¹

Despite the difficult context, the Communist Party had still, at that time, many Afro-American members. Since the 1930s, after the massive exodus from the South to the North, and the quick proletarianisation of many Afro-American communities, the Party has played a major role in their struggles and emancipation not only on a collective level, by taking part in the organisation of unemployment councils, but also on an individual one, by bringing significant moral support and material

¹ With the beginning of the Cold War, the American Communists became extremely vulnerable. The Communist party's close ties with the Soviets had been dissolved by the Voorhis Act in 1943 in order to reduce the label of the American Communists as foreign agents. However, this Act eventually ended up being beneficial to many ex-members of the Party, since it did protect them against the American expansionist post-war policy that often charged them as enemy agents. The Party, abandoned by its powerful liberal allies, and confronted to the "Witch Hunt" promoted by senator McCarthy, the American Communists had no time to develop a clear programme of action. Moreover, Khrushchev's revelation about Stalin's terror and the invasion of Hungary were serious strikes to the left-wing movements all over the world and especially for the American Communist movement which collapsed in 1957.

help to many artists and intellectuals, which did a favour to their artistic ambitions and their social acceptance into intellectual circles.

However, just after the WWII, there was a major obstacle between the quest for emancipation in the Afro-American communities and many Communists grandiose call for internationalism. As I pointed out earlier, the emergence of the civil right movement was a demand for a more local and national demand from elementary democratic rights. Such requests were often regarded with patronising eyes by some Party leaders who were aiming for a more global scale type of socio-economic revolution. This tension is well illustrated by Wilson Record who, in the last chapter of *The Negro and the Communist Party*, offers a harsh critique of the American Communists, and lists a series of the Party's misbehaviour towards his community:

"The Communist Party of the United States, cast in the image of the mother organization, is a monolithic structure. (...) Its analysis of the Negro question, or of any other question, is never an independent one; and it is not an eclectic one, because it does not recognize the possible validity of any opposing point of view. (...) For the Party, analysis is a *function* of immediate program rather than its *cause*. (...) The real Negro question has remained essentially the same for decades: *it is the persistent issue of basic economic and political equality for our largest racially differentiated minority group*' (1951: 287).

Record attacks the behaviour of many orthodox Marxists whose ideological paradigm did not consider the specificities of the Afro-American struggle, which was often relegated as a sub-category of the main economic struggle.

It is in the middle of this very tense social-political landscape that Ralph Ellison wrote and published his magnum opus, *Invisible Man*, in 1953. The composition of the novel is very close to the picaresque genre and embraces various topics: from existentialism, the entry into adulthood, to the emergence of jazz as mass culture. It is worth mentioning that the style, based on a rich intertextuality, is often livened up by dreamlike and surrealistic passages.

The novel can be read like a *Bildungsroman* where an unnamed protagonist narrates, in a voice similar to that of Dostoyevsky's underground man,¹ his eventful existential journey. Like a modern Candide,² the narrator, despite his attempts to win patronage and respect, earns only humiliation and disappointment in his quest for identity. In his slow descent to hell, he discovers the perversion and corruption of the leaders of the main institutions of the society: education (Dr. Bledsoe and Mr. Norton), industrial capitalism (Emerson) and political organisation (Brother Jack). He starts his memoirs from the moment he won a scholarship to attend a prestigious school in the South. The irony being that he ends up being involved in a 'battle royal' – a fight that involves more than two people – organised by the same people who gave him the study award. Then, after being unjustly expelled from college, he moves to New York, where he becomes involved in a political organization, called 'the Brotherhood' (which is an allegory of the Communist Party in the United States), in his effort to help the black community of Harlem. Nonetheless, he understands later on that he has been manipulated by the Brotherhood in order to get him involved, in spite of himself, in an apocalyptic destroying urban riot in Harlem.³ Ultimately, he faces the fact that he lives in an absurdly shifting world thanks to the tragic death of his friend, Tod Clifton, killed by a policeman.

Like his predecessor the novelist Richard Wright, Ellison depicts in his novel the problem of "black" isolation. But he goes even further, since the protagonist in *Invisible Man* is not a random Afro-American individual; he is also an artist and an intellectual. This artistic dimension brings its share anxiety and complexity to the modes of expression of the narrator, whose personality changes: according to the context, he "performs" different roles, using different "masks," in his quest for recognition and visibility in society (Sang Ong-Van-Cung, 2013: 40). He witnesses also the other characters's masquerades: he is destabilised by the hypocritical discourse of Dr. Bledsoe and Mr. Norton; he also attends the nihilist performance of the nationalist leader Ras the Exhorter. But one of the most striking episodes is Tod Clifton's public performance of peddling Sambo dolls: the act is an allegory of his manipulation by the Brotherhood, his message through his comical action is therefore that he prefers to live out of history, rather than being a slave of the Brotherhood doctrine. I will come back to this passage in the next section.

¹ See *Notes from Underground* (1864).

² See Voltaire's philosophical novella *Candide : ou l'Optimisme* (1759).

³ The reader can see a clear analogy with the Harlem riots of 1935 and 1943. The first riot was due to the rumour that a white shopkeeper had beaten a young Puerto Rican shoplifter. The shooting of an Afro-American soldier by a policeman was the cause of the second riot, where hundreds of people were arrested and six were killed.

Invisible Man can also be read as a surrealist fiction. In *Shadow Act*, Ellison argues that realist and naturalist fictions were inadequate to portray the diversity of (Afro-) American life:

"[T]he very 'facts' which the naturalists assumed would make us free have lost the power to protect us from despair. (...) The diversity of American life with its extreme fluidity and openness seemed too vital and alive to be caught from more than the briefest instant in the tight well-made Jamesian novel" (103).

In other words, Ellison intends in his fiction to offer a mirror effect of the outside world, as one can find in realism, but to depict what is behind the obvious, visible and rational: a complex chaotic universe of diversity.

Inspired by W. E. B. Du Bois and the Harlem Renaissance movement, Ellison aims to establish alternative version to the social and cultural reality depicted by mainstream (White) intellectuals and writers: "[his] task then is always to challenge the apparent forms of reality – that is the fixed manners and values of the few, and to struggle with it until it surrenders its insight, its truth" (ibid: 106). The aim is then to shed a little light on the tensions with the social matrix where ethnical, gender and class identities circulate, which are illustrated in the novel by the use of colloquialism, irony and surrealism, show the reader the intrinsic heterogeneity of inter-individual interactions.

Towards a phenomenology of (social) visibility

From the very title of the novel, the reader understands that the text will be dealing with an ambiguous condition: how can one be a man be invisible; especially, if one knows that the protagonist is a *black* man? In the first chapter, the narrator presents himself as an individual whose identity is split between two modes of (re)presenting himself to the world, and especially to the white members of the Brotherhood. In the following chapters, *Invisible Man*, being a social marginal, has to face what Jerry G. Watts calls the 'victim status syndrome', which is based on an oppressor-oppressed interrelationship:

"The victim status hinges on the desire of the victimized to obtain from the victimizer recognition of their victimized status and the willingness of the victimizer both to accept the victimized as their creation and to grant to the victimized the desired recognition. In the process, the humanity of the victimized is supposedly affirmed, but the superiority of the victimizer is not challenged. (...) Indeed, the greater the appeal or demand for redress from the oppressor, the greater the implied concession of the moral superiority of the oppressor" (1994: 17).

In other words, thanks to the relationship between the Brotherhood elite, the victimized individual obtains social acceptance and material benefits, but at the high cost of moral autonomy. Throughout the novel, the protagonist is so concerned about white recognition that eventually he ends up by being exhausted by the simulacra of performing with different masks. There are several examples in this performativity in the novel: for instance, at the beginning of the novel, the 'battle royal' passage depicts the paradoxical behaviour of the white dignitaries of a southern city: they invite the protagonist to deliver a speech and then get him involved in a humiliating fight with other black youths just for their entertainment. Another striking passage depicts how a war veteran advises *Invisible Man* to use a double discourse in order to get out of his naïve word vision:

"Come out of the fog, young man. And remember you don't have to be a complete fool in order to succeed. Play the game, but don't believe it - that much you own yourself. Even if it lands you in a strait jacket or a padded cell. Play the game, but play it your own way – part of the time at least. Play the game, but raise the ante, my boy. Learn how it operates, learn how you operate" (1995: 153-154).

It is the same struggle for recognition that is at the centre of Frantz Fanon's preoccupation about questions of black identity and self-definition in *Black Skin, White Masks* (1952). The French thinker from Martinique refers to Hegel's master-servant paradigm in his analysis of the black man condition in the colonial context. Fanon, basing his thought on the passage on 'Lordship and Bondage' in *The Phenomenology of the Mind*, concludes that identity is directly linked with recognition. However, the peculiarity of the hierarchical system that exists between a black man and a white man is what pushes Fanon to state that Hegel's dialectical model of the master and slave does not apply to the historical experience of the black individuals:

"The Negro wants to be like the master. Therefore, he is less independent than the Hegelian slave. In Hegel the slave turns away from the master and turns toward the object. Here the slave turns toward the master and abandons the object" (1967: 25).

The situation of the black slave is different from the white slave's because the black consciousness is a *dominated consciousness* (conscience dominée), where the black individual is fascinated, mystified, by the white; therefore, he tries

desperately to seduce the latter in order to be recognized as “white” himself (see Duhamel 1984). In other words, the struggle is much more difficult for the black “slave” since the white master has imprinted his word vision in the black consciousness. Referring to his experience in France, Fanon asserts that “[t]he black man has no ontological resistance in the eyes of the white man” (1967: 110). The consequence is that in the post-colonized context, his rebellion against his master does not liberate himself, because the black has been alienated both physically and the psychologically: “The upheaval did not make a difference in the Negro. He went from one way of life to another, but not from one life to another” (ibid.: 220).

Feeling that he has been betrayed by all the sectors of society, the narrator faces two options in his understanding of a (black) individual’s relationship with his fellow humans, two ways of developing a theory of his social insignificance, of his invisibility. On the one hand, he considers man as a subject *in* the world, where he does not have any superior position and his understanding of the phenomena of his life is limited to the contingent elements composing his existence – a position close to Maurice Merleau-Ponty’s phenomenological philosophy, which I will explain a bit later. On the other hand, the oppressed individual chose to seek shelter in a voluntary exile in reaction against a dehumanizing society; a radical escape into a self-imposed ostracism from society in a quest to find a position of an authentic identity. At the end of the novel, *Invisible Man* seems to be resigned to the latter of these two phenomenologies of his invisibility, and chooses to follow the example of his assassinated friend Tod Clifton who chose to make a parody of the notion of history:

“The stewards of something uncomfortable, burdensome, which they hated because, living outside the realm of history, there was no one to applaud their value and they themselves failed to understand it. What if Brother Jack was wrong? What if history was a gambler, instead of a force in a laboratory experiment, and the boys his ace in the hole? What if history was not a reasonable citizen, but a madman full of paranoid guile and these boys his agents (...) For they were outside, in the dark with Sambo, the dancing paper doll; taking it on the lambo with my fallen brother Tod Clifton (Tod, Tod) running and dodging the forces of history instead of making a dominating stand” (1995: 441)

One cannot help noticing the similarity of this form of ontological revolt with the Sartrean – or even a Nietzschean – will to power. One can find in *Being and Nothingness*, the idea is that the absolute communion between the Being and the given, the authentic bond between the individual and the society, is always fragmented, interrupted, by the necessary inter-subjective communication: “[It is] the challenge to authenticity, to understand the existential postulates of the situation which determined the limits of man’s freedom, his freedom to choose to be himself as he chose himself to be, and not merely as others allow him to be” (Gendzier 1973: 30). This Sartrean influence should not come as a surprise, especially if one knows the intellectual collaboration between Fanon and Sartre: Fanon was struck by *Anti-Semite and Jew* (1943), where he found a lot of analogies between antisemitism and colonial racism, which he will use in *The Wretched of the Earth* (1961), to which Sartre will contribute by writing an extensive preface (see Balibar 2005, Mornet 2006). Nonetheless, one has to imagine that Fanon was still very suspicious of the potential possibilities of the Sartrean “will” (*volonté*) for a black *Being*. Is there any authentic way to get through the false conditions imposed by society to reach a true and lucid (black) consciousness? The real issue is focused on Sartre’s concept of authenticity that Sartre takes from Heidegger:

“It is agreed that man may be defined as being having freedom within the limits of a situation, then it is easy to see that the exercise of this freedom may be considered as *authentic* or *inauthentic* according to the choices made in the situation. Authenticity, it is almost needless to say, consists in having a true and lucid consciousness of the situation, in assuming the responsibilities and risks that it involves, in accepting it in pride or humiliation, sometimes in horror and hate” (Sartre 1948: 90).

Rather than a quest for authenticity, based on a very Eurocentric notion of “lucid consciousness,” it seems that Fanon – and Ellison at the same time – is looking for an ontological concepts – such as the notion of “négritude” or Du Bois “double consciousness” – that prepares, as Etienne Balibar points out that “Fanon’s work seems like an *early reversal of the reversal* that had moved from a scientific analysis of ‘race’ to an analysis of ‘racism.’ (...) It is a way of bringing the challenge straight to the heart of the discriminatory discourse that, for Blacks, is never external, but introjected, constitutive of their ‘personality’; it was a way to make heard not only a ‘point of view’ but also the ‘trembling voices’ of the oppressed” (2005: 25).

In the same way, the narrator of *Invisible Man* is exposed to the same internal dilemma: he is aware of the necessity of individual freedom outside of the corrupted society, but implicitly he knows that his existence as an “invisible” man does not make sense without the human collective. Eventually, he becomes aware of the new possibilities of his life; as soon as

he abandons the radical negation of personality imposed by the Brotherhood, he discovers new modes of performing freedom:

"I believed in hard work and progress and action, but now, after first being 'for' society and then 'against' it, I assign myself no rank or any limit, and such an attitude is very much against the trend of the times. But my world has become one of infinite possibilities' (1995 576).

Towards the end, the protagonist seems to be less inclined to the Sartrean position, and has a fresh look of his condition, which is closer to the first phenomenology of invisibility I have mentioned earlier. This incarnated position, enmeshed in the world, with an acceptance of its possibilities and its limits is closer to Merleau-Ponty's than to Sartre's world view.¹ As Merleau-Ponty states in *Sense and Non-Sense*:

"L'Être et le néant is first of all a demonstration that the subject is freedom, absence, and negativity and that, in this sense, there is nothing. But that also means that the subject is only nothingness, that he needs being to sustain himself, that he can only be thought of against a background of the world" (72-73)

Besides, Merleau-Ponty states that isolation and communication are not completely antagonistic concepts since one knows that existence is nothing with others. There is not such a thing as authentic individuality since one cannot really escape his lifeworld (*Lebenswelt*); a certain degree a human presence exists in every moment of our life. Therefore, Ellison's protagonist, even in his hole, is still in contact with society; he uses language to write his story since language is the phenomenal field used by the being to communicate with others. Merleau-Ponty writes in *Signs* (1960):

"Another characteristic of this half century's investigations is the recognition of a strange relationship between consciousness and its language, as between consciousness and its body. (...) In our day, language is of a piece with the writer; it is the writer himself. It is no longer the servant of significations but the act of signifying itself, and the writer or man speaking no longer has to control its voluntarily any more than living man has to premeditate the means or details of his gestures" (232).

It is therefore interesting to noticing that, when confronted with the absurdity of his existence, the narrator of *Invisible Man* feels despair and wants to flee from the oppressive society. But, more than just a failed student, a betrayed ex-Brother, he is, first and foremost, an artist. By writing his memoirs, his implicit project is to use literature as a channel to communicate with the society. Even if a society based on white hegemonic system, even if language – through speech – can be the vehicle used by the discrimination imposed by a (White) elite; there is a hope to change it because language overcomes ethnic, cultural or religious differences since it is one of the fundamental conditions of human existence. As Fanon states, in his very poetic way:

"And if I cry out, it will not be a black cry. No, from the point of view adopted here, there is no black problem. Or at any rate if there is one it concerns the whites only accidentally. It is a story that takes place in the darkness, and the sun that is carried within me must shine into the smallest crannies" (1967: 29).

Fanon, Merleau-Ponty and Ellison/*Invisible Man* share this common desire to communicate because they believe in humanity; they never abandoned the idea that individual experience of one can be understood by all. This movement back to a more primitive or inner world is emphasized in burning the symbols of his false identity: his college diploma, Clifton's doll, the paper with his brotherhood name, etc. But this is only a transit zone, as Michael Lynch asserts:

"He chose his temporary life underground primarily as a means of survival. But he concludes that he needs the world above as the natural element of his freedom, as the context in which he can be responsible to others, as the only place where he can fulfil himself through loving" (1990:184).

¹ It is important to remind here that in spite of their philosophical and political collaborations – especially in the literary journal *Les Temps Modernes* – the process in order to get to the consciousness of the word follows different paths for Sartre or Merleau-Ponty: "The being relation [*rapport d'être*] in Sartre, who is a philosopher of the imaginary and of the unreal, is shaped by the negativity; rather, it is pure negativity: it is nothingness [*néantisation*]. The Sartrean consciousness is nothing but unhooking toward the being, a 'hole' (...). Quite on the contrary, the being relation, in Merleau-Ponty, who is more a philosopher of the perception, is fundamentally anchorage, inscription, incarnation. (...) Therefore, on the one hand, existence is struggling; on the other hand, it is cohesion" (Cayemaex 2003: 3, my translation).

From Race to Racism: the limits of Communist and Humanist anthropological models

Maurice-Merleau Ponty's work is not only an interesting toolbox for a phenomenological analysis of the "invisibility" in *Invisible Man*, it also offers a great source for a critique of totalitarian Communist regimes that have generated forms of biological and cultural discrimination. Once very close to the French Communist Party, he was among the first Western intellectual to openly criticise the ideological line imposed by the Comintern, first in *Sense and Non-Sense* (1948) and then in *Adventures of the Dialectic* (1955), where he develops a critique of vulgar interpretations of Marx. Merleau-Ponty's essays help to grasp the political atmosphere of *Invisible Man*, because the same criticism of orthodox Marxist ideology can be found in the novel.

Whereas Sartre never stopped being a *compagnon de route* of the Communist Party, even trying to create a bridge between his existentialism and communism, despite the crimes related to it;¹ Merleau-Ponty, on the contrary, refuses to take side: he goes for a third position, a position that gives the possibility for new possibilities. He says that the solution to get of this conflict is to be found in a non-communist left movement:

"A-communism is a necessary condition for knowledge of the U.S.S.R because it confronts what we know of communist reality with communist ideology; and it is, at the same time and without paradox, the condition of modern critique of capitalism because it alone poses Marx's problems again in modern terms. (...) For us as non-communist left is this double position, posing social problems in terms of struggle and refusing the dictatorship of the proletariat" (1974: 225-226).

Merleau-Ponty praises for another reading of Marx: he accepts Marxist ideas about the liberation from capitalist alienation, but rejects the concept objective science, because "[a] Marxist conception of human society and of economic society in particular cannot subordinate it to permanent laws like those of classical physics, because it sees society heading toward a new arrangement in which the laws of classical economics will no longer apply" (1964:126). This position is close to what (post-) Marxist thinkers, like Etienne Balibar, try to do by highlighting that Marx's philosophy was not meant to be read as a doctrine, where "revolutionary practices take over all thought," but rather a "critical philosophy [that] is not just a reflection on the unexpected in history, but it has to think its own determination as an intellectual activity" (Balibar 2007: 115, 120).

Before going further, it is important to remind that Ellison was also associated with the Communist Party for a while; but, eventually, he took his distance because of its lack of respect for individual and artistic freedom and autonomy. This was partly due to its anti-intellectual bias imposed by the Comintern, the Party never completely trusted the writers. Ellison's suspicions about the party, extended to the legitimacy of proletarian fiction and social realism. As Lynch points out:

"Although both communist ideology and naturalism colored Ellison's polemical essays and fiction of the late thirties and early forties, his rather rapid evolution toward a more individual-oriented and a more affirmative vision indicated a break with his formative influences. (...) The prevailing darkness of naturalism, even with the element of hope provided by militant collectivism, did not suit Ellison for long. He became dissatisfied with the defeatism of the typical naturalistic story, in which impersonal forces overwhelm the individual" (1990: 65, 68).

Ellison's modernist ideas about literature and the role of the writer were still considered to be forms of individualistic elitism by some Marxist intellectuals who kept a social-economic approach to culture. Ellison regards these critiques as paternalistic discourses; he gives his response to these ossified views in his essay 'The World and the Jug' (1964: 107-143). Besides, as already mentioned, in *Invisible Man*, Ellison uses various references to jazz, folklore and colloquial voices to show that existence is always paradoxical and is also based on cultural realities that cannot be denied, even by the materialistic ideology of the Brotherhood. wants to show that Black artists are more than victims. By the gradual acceptance of all aspects of the existence of a discriminated individual, *Invisible Man's* protagonist becomes aware of the deficiency of dogmatic Marxism o answer what he experiences. At the beginning of the novel, he feels ashamed of the poor southern black people; like for instance Jim Trueblood, who narrates in a very colloquial and naive manner an incestuous act with his daughter. Besides, the decision of eating yam on the street: while before it would have been embarrassing, this act is another symptom of the freedom newly gained (Ellison 1995: 68-70).

Exposure to the limits of the Brotherhood's authoritarian ideology occurs throughout the narrator's story. He tells his continuously confrontation with Brother Jack's authoritarian discourse, who tries to convince him that individual feeling and ideas are not allowed since the leaders provide all the ideas:

¹ See Merleau-Ponty's critique of "Sartre and Ultrabolshevism," in 1974: 95-201.

“So you’ve heard it,” he said. “Very well, so now hear this: We do not shape our policies to the mistaken and infantile notions of the man in the street. Our job is not to ask them what they think but to *tell* them!” (...)

“The leader. As leader of the Brotherhood, I am their leader.”

“But are you sure you aren’t their great white father?” I said watching him closely, aware of the hot silence and feeling tension race from my toes to my legs as I drew my feet quickly beneath me. “Wouldn’t it be better if they called you Mase Jack?” (ibid.: 473).

The narrator progressively unveils the Brotherhood’s cynical and murderous betrayal of the black people, when the leaders of the movement justify murder and violence by scientific necessity and historical materialism.

Violence is another important theme in Ellison’s novel. After moving to New York, Invisible meets the Brotherhood, which seems to be a good way for many Afro-Americans to get out of the vicious circle of the victim status, since Marxism gives them tools to struggle for their emancipation. Besides, Marxist scientific approach provides logical answers to their philosophical worry: “the world was strange if you stopped to think about it; still it was a world that could be controlled by science, and the Brotherhood has both science and history under control” (1995: 381). However, Invisible Man discovers that the organization has a strict ideology that demands sacrifices and philosophical conformity. Ultimately, he breaks up with the Brotherhood when he recognizes its implicit responsibility in the murder of Tod Clifton and the launching of the riot.

The protagonist’s final movement underground is very symbolic. It reminds Plato’s Allegory of the Cave: by going down to the coal bin, it is as if he is going against the hegemonic rationalism of the Western civilization taken up by the Enlightenment. He challenges the idealist ‘light’ of the right-thinking elite and goes back to a more sensitive world. There is here a strong parallel with back to Etienne Balibar’s analysis of the counter-Copernician revolution – or “reversal of reversal,” to use his terms – in Fanon’s theory of (post-)colonial racism:

“[a]gainst the sanitized representations of ‘democratic society’ that triumphed after the victory over the Nazis and that tended to mask the persistent reality of colonialism Fanon insisted not only on the fact that racism is a social structure (and that individuals are “racist” because societies are based on the absolute distinction between “masters” and “slaves”) but also on the ambivalence of the psychological effects of this structural racism” (2005:25).

Balibar argues that alongside Fanon, in the same period, another major thinker, Hannah Arendt, is interested in the manner different types of discrimination – namely antisemitism and colonialism – after WWII proliferate, despite the promulgation of the “Universal Declaration of Human Rights” by the UN and the UNESCO declarations in 1950 and 1951 on the notion of “racism.” Balibar highlights that Hannah Arendt’s critique of those legal acts, promoted by the defenders of a republican universalism, is that the notion of “human” is too vague or rather too transcendental, and will always leave space for the exclusion of a category of people. This is why “[she] insists on the question of the ‘stateless’ or those individuals and groups who are deprived of their fundamental rights and [why] [t]he criterion of the ‘right to rights’ is therefore at the heart of her notion of political community” (Balibar 2005: 6). This is the same issue that the narrator of *Invisible Man* finds in the ideological line of the Brotherhood, Ellison finds in the Communist Party, and minority groups found in Marxist movements in the past, and even today.

Racism as a mode of thought

Etienne Balibar’s insistence about the necessity to rethink racism, and its relation to universalism, is refreshing in a critical environment that usually represent “racism” as a form of a priori ideological error that has missed the emancipatory message of the Enlightenment. How is it possible to still find racism in a global world that has been officially decolonised and that is supposed to have learned the lessons of Nazism? Etienne Balibar’s argument is that it is precisely because of the exploitation and unfair division of wealth on a global scale, that racism has been “universalized” and has become “an actual world vision” (Balibar 1997b: 346). Racism has for a long time been as a form of nationalism defended exclusively by far-right movements, as an important part of the ideological apparatus those currents use in their quest to build a national community that would de facto exclude all those who are not part of it.

This is the classical narrative that progressive political parties and educational intuitions usually use to fight racism and discrimination in general: proposing the picture of a struggle that would oppose nationalism and universalism, as the groups of ideological lessons, learned from the Enlightenment, Marx and beyond, that any progressive society should learn and defend.

But contemporary racism, in all its variations, cannot be understood – not even mentioning fought and solved – with such a simplistic dual model. To put this boldly, racism is closely bound to universalism, which has been shaped, constructed in a way that it leads to dividing, categorizing, discriminating practices. As Balibar points out:

“[T]his does not prove that *universalism is racism*, [but rather] that there is no clear *demarcation* between universalism and racism. (...) It is derisory to believe being able to fight racism in *the name of universality in general*. Racism is already in there. It is therefore *in there* [dans la place] that the struggle takes place: in order to transform what we understand by universalism” (1997b: 344, 355).

In conclusion, this contradiction that exists within universalism is applicable to Marxism if one considers it as variant that shares the same historical perspective, which implies that “class consciousness has never been separated from nationalism. (...) Class consciousness is itself filled with an identity feeling very close to racism: fetishism and the *origin of class*” (1997a: 369). What is important to highlight is that racism is deeply ingrained not only in the political history of class struggle, but it is crucial to the constitution of any “superior” group, call it community, class or even state. This ambiguity that is part of all European humanistic anthropologies, as I have already said, feed its paternalistic and disciplinary aspect from the colonial context to the EU treatment of refugees, passing by workerism of the workin class. It is therefore important to avoid any escapism and accept – in order to study and understand it – that “there is a relation of reciprocal determination between ‘class racism’ and ‘ethnic racism’ and *these two determinations are not independent*. Each produces its effect, to some extent, in the field of the other and under constraints imposed by the other” (Balibar 1991: 2014). It is therefore important for Marxism, as any other humanistic ideology, beyond its tendency to universal and objectivity to be able to reflect on itself in order to understand its internal contradictions and limits in order to avoid as much as possible any ossified position that would involve pontentially a class racism and, de facto, ethnic racism. In a nutshell, this is Balibar’s lesson.

Bibliography

- [1] Balibar, E. (1991). Class Racism. In *Race, Nation, Class: Ambiguous Identities*. London: Verso, 204-216
- [2] Balibar, E. (1997a). Les identités ambiguës. In *La crainte des masses : Politique et philosophie avant et après Marx*, 353-370
- [3] Balibar, E. (1997b). Le racisme : encore un universalisme?. In *La crainte des masses : Politique et philosophie avant et après Marx*, 337-351
- [4] Balibar, E. (1998). Analyse du racisme. In *Altérités : entre visible et invisible*. Paris : L'Harmattan, 177-182
- [5] Balibar, E. (2005). La construction du racisme. In *Actuel Marx*, 38(2), 11-28
- [6] Balibar, E. (2007). *The Philosophy of Marx*. C. Turner (transl.). London : Verso
- [7] Cayemaex, F. (2003). Sartre et Merleau-Ponty, un conflit philosophique ?, Conférence présentée devant la Société Belge de Philosophie, Université Libre de Bruxelles, Bruxelles, le 25 mars 2003.
http://www.philopol.ulg.ac.be/telecharger/sartre/gbes_fc_sartre_et_merleau_un_conflit.pdf. Web. 27. April 2010.
- [8] Duhamel, F. (1984). Frantz Fanon: l’Odyssée de la conscience dominée. In *Mémorial international Frantz Fanon : interventions et communications prononcées à l’occasion du mémorial international Frantz Fanon organisé par le Comité Frantz Fanon de Fort-de-France (Martinique) du 31 mars - 3 avril 1982*. Paris : Présence Africaine, 51-70
- [9] Fanon, F. (1967). *Black Skin, White Masks*. C. Markmann (transl.). New York: Grove Weidenfeld
- [10] Ellison, R. (1964) *Shadow and Act*. London: Secker and Warburg
- [11] Ellison, R. (1995). *Invisible Man*. New York: Vintage
- [12] Gendzir, I. (1973). ‘Conscience and Consciousness: The Relevance of Hegel and Sartre’. In *Frantz Fanon: A Critical Study*. New York: Pantheon Books, 22-35
- [13] Lynch, M. F. (1990). *Creative revolt: A Study of Wright, Ellison and Dostoyevsky*. New York: Peter Lang
- [14] Merleau-Ponty, M. (1964). *Sense and Non-Sense*. H. L. Dreyfus and P. A. Dreyfus (transl.). Evanston: Northwestern University Press
- [15] Merleau-Ponty, Maurice. (1964). *Signs*. R. C. McCleary (transl.). Evanston: Northwestern University Press
- [16] Merleau-Ponty, M. (1974) *Adventures of the Dialectic*. J. Bien (transl.). London: Heinemann
- [17] Mornet, J. (2006). Sartre et Fanon : Commentaire à la préface de Jean-Paul Sartre pour *Les damnés de la terre* de Frantz Fanon. *VST - vie sociale et traitements*, 89(1), 148-153

- [18] Sang Ong-Van-Cung, K. (2013). L'invisibilité publique et la vulnérabilité du commun de Spinoza à Hannah Arendt. In *Revue d'éthique et de théologie morale*, 275(3), 37-58.
- [19] Record, W. (1951) 'Red and Black: Unblending Colors'. In *The Negro and the Communist Party*. Chapel Hill: University of North Carolina, 287-315
- [20] Sartre, J-P. (1948). *Anti-Semite and Jew*. G. J. Becker (transl.). New York: Schocken Books
- [21] Watts, J. G. (1994). *Heroism and the black intellectual: Ralph Ellison, Politics, and Afro-American Intellectual Life*. Chapel Hill: University of North Carolina Press
- [22] Weinstein, J. (1975) *Ambiguous Legacy: The left in American politics*. New York: New Viewpoints

Modern Greek Drama and Theatre in the Crisis Period: Mnemonic Flashback of the past as a Defense Mechanism in the Present

Theodore Grammatas

National and Kapodistrian University of Athens

Abstract:

At the beginning of the 21st Century, Modern Greek Dramaturgy had already entered the Postmodernism phase, closely adhering to the trends of international theatre. The economic and cultural crisis that set in after the first decade brought an end to almost every innovative attempt. Obsolete types and forms, subjects and stories/plots, are recycled and updated. The Past reappears in exactly the same way it used to be depicted in 20th or even 19th century literary texts and successful comedies of the Greek cinema of the 50's-60's are almost completely prevailing. It is not, however, the first time this phenomenon is observed in the Modern Greek Theatre. A similar one appears in the Interwar period (1922-1940), when, for political, social and economic reasons reality becomes very negative for Greek playwrights. The recent and distant Past appears to have a redemptive effect, thus offering an alibi and a way-out deprived by the Present. This is the subject of our announcement, based on the notions and the function of theatrical memory and the multiple roles by which History is joining Theatre.

Keywords: modern Greek theatre, modern Greek dramaturgy, theatrical memory, history in theatre, mnemonic flashback

Introduction

At the beginning of the 21st century, Greece has been caught in the vortex of a great economic, social, cultural and political turbulence, which has upturned its smooth European course and has brought about radical changes in the attitude, ideology and economic situation of the Greek citizens. After the international financial crisis between the years 2007-09 and since 2010, Greece has been involved in an unprecedented vortex of economic asphyxiation, great Depression and fiscal austerity, which was and is still being experienced by the Greeks as a multi-level and polynomial crisis (Helliwell, Layard & Sachs 2013).

A new reality took shape for the Greek society, with the main reference axis being the enforcement of "memorandums" and the conditions set by the creditors for the achievement of certain fiscal goals (Matsaganis 2018).

Under these new circumstances, a new reality is emerging in the theatre as well, which is greatly differentiated from any previous one and creates a new physiognomy, still at birth. Therefore, any conclusions made can be but simply initial observations, in need of further documentation. Theatre, as a sensitive receiver and indicator of this reality, vividly represents all previous and recent social changes (Patsalidis 2014a). Just prior to the period of the intense economic crisis and its consequences, Greek dramaturgy included works with subject matters, aesthetics and morphology totally integrated within the framework of the current European and international post-modern theatre (Freris 2014:108-112). Its ethnographic background has in many cases remained unsurpassed, since the axis of the native constitutes the one timeless constant for the modern Greek theatre since its very beginning in the 19th century (Pefanis 2000-2001:150-159).

Still, though those ethnographic elements can easily be traced, their combination with modern themes and aesthetics has given the ethnographic content a renovated and modernised form. Such plays are: "*California Dreaming*", "*The Milk*" (Vassiliis Katsikonouris), "*Shaved chins*" (Giannis Tsiros), "*Rime*" (Brothers Koufali), "*Anna, said I*" (Panagiotis Mentis), "*Melted Butter*" (Sakis Serefas), "*Seven logical answers*" (Leonidas Prousalidis) (Rosi 2014:22-28).

The quest for an identity in the roots of the theatre with the modern theatre looking for its origins in the ancient Greek drama, tragedy or comedy, is an equally strong element of the continuity and cohesion of a so called "Greekness", the emergence of which is attempted by playwrights (Tziouvas 1989). However, this time post-modernist tendencies are present and plays currently being written seem to have got free from this influence (Tsatsoulis2004:509-524). Archetypes and patterns are only distantly echoed. Intertextuality, adaptation, work in progress are some of the techniques and forms modern Greek playwrights choose in order to converse with the ancient Greek *mythos*. This category includes excellent examples, such as: "*Laios' murderer and the crows*", "*Cassandra speaks with the dead*" (Marios Pontikas), "*And Juliette*", "*Tonight we're dining at Iokasti's*", "*Andromache or a woman's landscape at the height of night*" (Akis Dimou), "*Which 'Helen'?*" (Michalis Repas – Thanasis Papathanasiou), "*Cassandra's Annunciation*", "*The animals' vertigo before the slaughter*" (Dimitris Dimitriadis), "*The couple's bedroom*", "*Announcement*" (George Veltsos), "*Juliette of the Macintosh*" (Stelios Lytras), "*Clytemnestra?*" (Andreas Staikos) (Rosi 2014:28-30).

A third generic axis classifying the previous form of modern Greek dramaturgy is the one related to the general trends in world theatre such as feminist and minority theatre, as well as theatre about racism and marginalised groups (Blessios 2011: 647-660). The influx of immigrants and the augmentation of refugee populations, the increasing number of incidences of racial and sexist violence, the appearance of social groups initiate this new reality in Greece, especially in the capital and the major urban centres (Blessios2011:647-660). Indicatively we can mention: "*Thessaloniki in the first person*" (Sakis Serefas), "*Scarlet sky*" (Loula Anagnostaki), "*Got life into her hands*" (Vassilis Katsikonouris), "*Destiny*" (Akis Dimou), "*When go-go dancers go-a-dancing*" (Helena Pega), "*Invisible Olga*" (Giannis Tsiros), "*Homelands*", "*The Evros River across*" (Michalis Repas – Thanasis Papathanasiou), "*Austras or Wilderness*" (Lia Kitsopoulou).

Places of reception, theatre halls, other spaces used for performances also relate to dramaturgy. The theatre scene, especially in Athens, has moved away from the city center and high capacity theatre buildings, suitable for popular spectacles, and has been taken to the periphery. In run-down peripheral neighbourhoods, small spaces, usually industrial or abandoned warehouses, workshops, factories, get refurbished and converted into theatrical multi-function areas and stages. Small pioneering groups of actors and other theatre people get established there and create their own "locals", gradually attracting relevant audiences, which form fan clubs of supporters. Plays presented there are works of current thinking and aesthetics, with a new attitude towards their relationship with the audience, a different perception of the function of theatre and art, introducing the trends of world avant-garde and experimentation to Greece. ("*Galaxy*", "*Late Night*", "*Guns! Guns! Guns!*" by Blitz theatrical group, "*City-State*" by Kanigouda group, and so on) (Arfara 2014:147–161, Sidiropoulou 2014b:113-118).

And the great crisis occurs. Total economic collapse sweeps away the Greeks and the Greek society, bringing about a completely unprecedented reality, at least for the younger generation, with high rates of unemployment and economic disruption, total insecurity and a phobic attitude towards the future, breaking away from whatever had been considered a stable point of reference thus far (Tziouvas 2017).The unquestionable impact of the adverse economic and social circumstances on the cultural creation, is a very serious subject that is up for discussion and concern. The comment that has been phrased in relation with Literature may be extended to theatre, as it consists by its nature a communication system, a social event, a polysemous cultural phenomenon that simultaneously comprises both the content as well as the substance of culture (Grammatas 2015).

How does theatre function? What is its presence in this age of crises and disruption like? Naturally, theatre does not die away. It survives and keeps on developing, finding ways to react, getting its potential together and inflicting radical cuts to its costs. Theatre has probably become the most popular type of entertainment and simultaneously a night out with numerous choices(Sidiropoulou 2014a:121-133). A play by Chekhov in a historical stage in the City Center or in a multi-purpose facility in Eleonas, a Greek comedy in an urban theatre or a bar, even the free experimentations in basements, galleries, old tanneries. However, a new reality is emerging at the same time, gradually gaining ground and multiplying at a fast pace, with the consent or tolerance and possibly (this needs to be proved) the complicity of the ruling class and the

establishment, or whatever has been left of it (Patsalidis 2014b:105-107). This, of course, does not mean that plays focusing-in various ways-on the problems the average Greek faces in the post 2010 period, are not written. On the contrary, there many and notable among which, we can mention Antonis Tsipianitis' monologue *"Redundant"* (2011), in which the heroine, a former social journalist in a lifestyle magazine, is suddenly made redundant and flat-broke, with the only belongings of her previous life being the Famous designers' expensive clothes and shoes lavished by fashion brands. Also, the working conditions and the soul-sucking competition is the topic of Jenny Dagla's play *"The fishbowl"* (2017). In other monologues also, with a male protagonist this time, is Christina Sabanikou's play *"Shut up"* or Manolis Karelis' *"The lost slipper"* (2015), there is the impression of a man that has quit life, has lost his job and his companion and experiences a continuous feeling of failure, boredom and lack of interest, whereas Minas Vidiadis' *"The downtown Parthenon"* (2011), presents the miserable living conditions of people that have experienced absolute poverty and have become homeless, through the conflict between two heroes: a stockbroker and a homeless person. In the plays *"Hard work"* by Giannis Mavritsakis (2015) and *"Exercise for strong knees"* by Andreas Flourakis (2013), the playwrights present the inhuman face of today's labor market that sometimes forces those who wish to find or preserve their posts to suffer major setbacks and sacrifice their personalities and dignity. Another social aspect of the crisis is today's migratory flow of young scientists and professionals (brain drain) away from Greece, abroad, as this is depicted in Vassilis Katsikonouris' play *"The Kangaroo"* (2014). Finally, we should mention Akis Dimou's *"The gap in person. A comedy about defeat"* (2015), which is full of references about modern reality, such as the loans that have fallen due, the ruinous debts, the politicians that are unable to improve the economic situation of the country, the banks and their policies.

A systematic turn toward the past can be observed as well as an intensive effort to promote outdated aesthetic forms, ideological structures and subject matters which used to function in the past (Hobsbawm 1972:3-19, Le Goff 1977, Olick 2007), responding to conditions and circumstances of those times (Grammatas 2014a:37-45).

History, the past, the obsolete come in aid of the present with a view to offering a way out, a solution, an exodus from the crisis (Grammatas 2018:188-193). Re-emerging of the values and models of those times offers an alibi for the present situation, so that the deadlock facing the Greek society can be overcome. Return to yester years is proposed as an alternative for the years to come. The future is described in terms of the past (Grammatas 2014b:94-99).

This is not the first such occurrence in the Greek theatre and this setback is not unknown to dramaturgy. It had reappeared in the past causing a similar phenomenon in the period just after the Asia Minor disaster of 1922, at that time marking mid-war dramaturgy (especially in Nikos Kazantakis', Spyros Melas' and George Theotokas' plays) (Grammatas 2006: 191-214).

The enormous disaster faced by Hellenism and the huge wave of refugee populations from Asia Minor, poverty and social hardships, political instability and intense ideological conflicts, led to the prevalence of fascism and the establishment of a dictatorship under Metaxas in 1936. As a result, dramaturgy was led to a wrapping-up and retreating. Playwrights once more turned to genres and forms of the past and attempted escapism via tragedy and historic drama. The same was attempted with ethnography, which proved to be the dominant genre of mid-war dramaturgy, proposing the return to nature and the original morals and customs of Greek province as the only way out, an alibi to the tragic and unpleasant historical past. History made its appearance as refuge, as a way out of the dead ends of the present and could function as a relief and salvation for both authors and spectators of mid-war plays. *"Honeybee"* (Nikos Kazantzakis), *"Rigas Velestinlis"* (Spyros Melas), *"Engagement parties"*, *"Dragoness"* (Dimitris Bogris), *"The seedling"* (Pandelis Chorn) (Grammatas 2004: 143-150).

Nowadays, something similar seems to be appearing, timidly and covertly starting within comedy and the relieving impact of laughter (Smith 2018), being more apparent in types of plays like those addressed at young audiences and finally openly swamping the central and state Athenian stages through dramas and all sorts of other spectacles.

Examples of the first kind, the comedy are: "*Helias of the 16th*", "*The grocer's tomcat*", "*A crazy 40-year old*", "*The card player*". These are representative comedies written by distinguished comedy writers of the 1950-1960s, which precisely respond to the conditions of post-civil war Greece. The heroes in these plays are Greek petit bourgeois, struggling for survival in all sorts of ways, trying to make ends meet, facing their problems, such as oppression, bureaucracy, economic hardships, lack of education in philosophical, optimistic and often crafty ways.

They are extremely successful plays, which, later, at the prime time of Greek cinema, were made into films featuring a cast of renowned Greek comedians of the time: "*The aunt from Chicago*", "*Thief shouting*", "*Mademoiselle's simpleton*" becoming box office successes and entertaining all generations and later still television viewers. Today there is once more such a retreat, with known films coming back on to the theatre stage, featuring current TV comedy stars, who stereotypically imitate their cinematic models, thus becoming artistically objectionable, in an effort to entertain their audience with the airs and graces and the situations experienced by the heroes they impersonate, belonging to a reality so far, but at the same time so close to that of the present.

One more, not less representative category is that of works from the classical repertory and musical theatre, known from their cinematic, theatrical or musical versions in the past, which are also making a powerful comeback, nostalgically taking audiences back to the old times and conditions etc.

Such a case is that of "*The Red Lanterns*" (George Galanos), great box office success of the '50s, which showcases the social aspect of the theatre, in direct relation to the Greek reality of the post-civil war period. There is also "*Our Great Circus*", an equally great theatrical success by Iakovos Kampanellis, which, in the 1970s brought to the stage the first political messages against the then almighty state of the generals established after the cul-de-sac of 1967. Vitsentzos Kornaros's "*Erotokritos*" is another example. This great epic-lyrical poem presented in its dramatized form, offers audiences a spectacular performance and the same can be said about Bob Wilson's "*Odyssey*" and Stathis Livathinos' "*Iliad*" (both adapted by Homeric epic poems).

We should also mention great musical hyper productions such as "*Aman Amen*" put together by composer Stavros Xarhakos, "*I'll take you away with me*" by Aggelos Pyriohos, "*Looking for Attik*" by Lambros Liavas and so on.

The case of dramatized fiction is yet another representative trend in contemporary Greek theatre. It first appeared in the 1980s with works such as "*Scenes from the life of D. Vizyinos*", a compilation of short stories and other pieces of prose by the namesake author, "*Makrigiannis' memoirs*", based on the autobiographical account of the 1821 Revolution with General Makrigiannis as the main hero as well as poems by D. Solomos such as "*Kritikos*" and "*Free Besieged*".

This tradition has been reinforced both by the dead ends facing dramaturgy and the contemporary versions of postmodernity in the theatre. Moreover, the familiarity established in the conscience of the audience through readership gains prominence today, acting as a safe refuge offered by the illustration of past relationships and situations very close to the heart of the majority of contemporary audiences.

Among the works of the same category, some distinguished ones are "*The Killer Woman*" and "*The American*" by Al. Papadiamantis, "*The Pope Joanna*" and "*The Tale of a husband from Syros*" by Em. Roidis, "*My mother's sin*" and "*My life's only journey*" by G. Vizyinos, "*The Woman from Zante*" by D. Solomos, "*Captain Mihalis*" by N. Kazantzakis, "*Hagiography of Andreas Kordopatis*" by Gr. Valtinos, "*The double book*" by D. Chatzis and so on. The same category may include staged versions of great epic and epic-lyrical compositions such as Homer's *Iliad*, the Byzantine epic of "*Digenis Akritas*" (10th c.) and "*Erotokritos*" by V. Kornaros (16th c.).

Another category comprises dramatized biographies which either already existed or were especially written in prose based on the life stories of renowned music figures such as "*Eftychia Papagiannopoulou*" and "*Sotiria Bellou. The wandering life of a rebetissa*", "*Who is after my life?*" based on the life of composer M. Theodorakis, a stage act framed by the great musical hits of past decades. Another distinctive example is that of "*Aggela Papazoglou*", a stage act presenting the life of

an emblematic personality connected to modern History (The Asia Minor Disaster), which has been a box office success for twelve years.

To round up the documentation of all previously mentioned views concerning the relieving effect of the past and the turn of modern Greek theatre to historic subjects and obsolete situations, which can serve as a refuge and an alibi for the current unpleasant reality, we also have to refer to the theatrical space as the place of reception and promotion of theatrical spectacles.

All the previously mentioned performances take place in the Athenian scene and grand theatrical multifunctional facilities, addressed at a mass audience of middle and upper classes, of relatively homogeneous mature age groups sharing the same memories of the past. Theatre stages have increased, but they have also differentiated as far as the repertory, the dimensions and the spatial planning is concerned, as well as the audience they are addressed at (Sidiropoulou2014b:113-118). Simultaneously, a lot of groups have appeared and established in the Athenian theater escape, whose work is based on collective creation, improvisation, interview material, the exploitation of modern technologies and so on, thus attracting a considerable part of the audience. However, the arithmetically impressive picture (about 300 similar stages), is not responding to reality, since the limited number of performances given on them, the limited space for the reception of the spectators, together with the limited duration of the winter theatre season, are impossible to be compared with the fewer but bigger and on a daily basis function of the central stages, which are visited by a large number of spectators, who see plays of the popular theatre we mentioned above (Dimaki-Zora 2015).

Nostalgia, reminiscence, escapism and beautification of the times past, covering and hiding reality, the innocent or not so innocent complicity of the audience to the objectionable intentions and choices of the contributors constitute a new reality for the Greek theatre, a response to the challenges and deadlocks of the Present experienced by the Greek society.

Bibliography

- [1] ARFARA K., (2014) "Reframing the Real: The Blitz Theatre Group and the Awareness of Time", in Patsalidis S.&Stavropoulou A.(2014) [eds], "The Geographies of Contemporary Greek Theatre: About Utopias, Dystopias and Heterotopias", *Gramma / Γράμμα*, 22(2), Aristotle University : Thessaloniki, 147-161.
- [2] BLESSIOS A. (2011), "Identity and Difference in the Greek Dramaturgy of the End of the 20th and the Beginning of 21th Century. The Case of Immigrants in Greece." Proceedings of the Fourth European Conference of Modern Greek Studies, Athens: European Society of Modern Greek Studies, 647- 660.
- [3] DIMAKI- ZORA M. (2015), [ed.] Album: *Athenian Theatres*, Athens: University of Athens- Scientific Program "Thalis".
- [4] FRERIS G. (2014), "Il teatro Greco contemporaneo e l'Europa: tendenze e prospettive", in Grammatas Th. & Tentorio G. (2014) [eds.], "Sguardi sul Teatro Greco Contemporaneo. Società, Identità, Postmoderno", *Culture Teatrali. Studi, interventi e scritture sullo spettacolo*, 23, La Casa Usher: Lucca, 108-113.
- [5] GRAMMATAS TH. (2015), *Theatre as cultural Phenomenon*, Athens: Papazisis
- [6] GRAMMATAS TH. (2014a), "Greek Society During the Period of Crisis: The Role of History as a Mechanism of Repelling the Present", in Patsalidis S.&Stavropoulou A.(2014) [eds], "The Geographies of Contemporary Greek Theatre: About Utopias, Dystopias and Heterotopias", *Gramma / Γράμμα*, 22(2), Aristotle University : Thessaloniki, 27-45
- [7] GRAMMATAS TH. (2014b), "Meccanismi di rifiuto e pratiche di riscrittura della storia nella drammaturgia greca contemporanea", in Grammatas Th. & Tentorio G. (2014) [eds.], "Sguardi sul Teatro Greco Contemporaneo. Società, Identità, Postmoderno", *Culture Teatrali. Studi, interventi e scritture sullo spettacolo*, 23, La Casa Usher: Lucca, 94-100
- [8] GRAMMATAS TH. (2006), "Depictions of History in the work of Goerge Theotokas", in *On Drama and Theatre*, Athens: Exantas, 191-214

- [9] GRAMMATAS TH. (2004), "The Theatrical Depiction of the History in the work of Vassilis Rotas", in *Paths in Theatrical History*, Athens: Exantas, 143-150
- [10] HELLIWELL F. J., LAYARD R. & SACHS D. J. (2013), (eds) *World Happiness report 2013*. New York: UN Sustainable Development Solutions Network.
- [11] HOBBSAWM E. (1972), "The social function of the past: some questions", *Past Present* 55, 3-17
- [12] LE GOFF J. (1977), *Histoire et memoire*, Gallimard : Paris
- [13] LEMOS N. & YANNAKAKIS E. (2015), (eds.), *Critical Times, Critical Thoughts*, London: Cambridge Scholars Publishing.
- [14] MATSAGANIS M. (2018), *The Greek Crisis: Social Impact and Policy Responses*, Berlin: Friedrich-Ebert-Stiftung, in <http://library.fes.de/pdf-files/id/10314.pdf> (26/9/2018).
- [15] OLICK J. (2007), *The Politics of Regret: On Collective Memory and Historical Responsibility*, Routledge: London
- [16] PATSALIDIS S., & STAVRAKOPOULOU A. (2014a), [eds] "The Geographies of Contemporary Greek Theatre: About Utopias, Dystopias and Heterotopias", *Gramma /Γράμμα*, 22(2), Aristotle University : Thessaloniki
- [17] PATSALIDIS S. (2014b), «Oltre il moderno. Teatro Greco di fine XX – inizio XXI secolo», στο αφιέρωμα: Theodore Grammatas & Gilda Tentorio (eds.), *Sguardi sul Teatro Greco Contemporaneo. Società, Identità, Postmoderno, Culture Teatrali. Studi, interventi e scritture sullo spettacolo*, Lucca: La Casa Usher, 23, 100-107.
- [18] PEFANIS G. (2014), "The Streets Belong to People: Scenes and Heterotopias in the City", in Patsalidis S. & Stavrakopoulou A. (2014) [eds], "The Geographies of Contemporary Greek Theatre: About Utopias, Dystopias and Heterotopias", *Gramma /Γράμμα*, 22(2), Aristotle University : Thessaloniki, 179-187.
- [19] ROSI L. (2014), "The Diverse Landscape of Contemporary Greek Playwriting", in Patsalidis S. & Stavrakopoulou A. (2014) [eds], "The Geographies of Contemporary Greek Theatre: About Utopias, Dystopias and Heterotopias", *Gramma /Γράμμα*, 22(2), Aristotle University : Thessaloniki, 19-36.
- [20] SIDIROPOULOU A. (2014a), "Directors' Theatre in Greece: Stages of Authorship in the Work of Michael Marmarinos, Yiannis Houvardas and Theodoros Terzopoulos", in Patsalidis S. & Stavrakopoulou A. (2014) [eds], "The Geographies of Contemporary Greek Theatre: About Utopias, Dystopias and Heterotopias", *Gramma /Γράμμα*, 22(2), Aristotle University : Thessaloniki, 109-120
- [21] SIDIROPOULOU A. (2014b), "L'eredità del postmoderno sulla scena greca contemporanea: l'esempio di Blitz, Kanigunda, Pequod", in Grammatas Th. & Tentorio G. (2014) [eds], "Sguardi sul Teatro Greco Contemporaneo. Società, Identità, Postmoderno", *Culture Teatrali. Studi, interventi e scritture sullo spettacolo*, 23, La Casa Usher: Lucca, 113-119
- [22] SMITH H. (2017), «Greek debt crisis: 'People can't see any light at the end of any tunnel'», *The Guardian*. <https://www.theguardian.com/world/2017/jul/30/greek-debt-crisis-people-cant-see-any-light-at-the-end-of-any-tunnel> (13/8/2018).
- [23] TSATSOULIS D. (2004), "Postmodern "Writing" in the Modern Greek Stage." *Proceedings of the Second Panhellenic Conference on Theatre Studies: Relations of Modern Greek with European Theatre: Reception Processes in Greek Drama from Renaissance until Today*, Athens: Ergo, 509-24.
- [24] TSAOUSIS D. (2009), [ed.] *Hellenism and Hellenicity. Ideological and Experiential axes of Modern Greek Society*, Athens: Hestia
- [25] TZIOVAS D. (2017), (ed.), *Greece in Crisis. The Cultural Politics of Austerity*, London: I. B. Tauris.
- [26] TZIOVAS D. (1989), *The Transformations of ethnicity and the Ideology of Hellenicity in the Interwar period*, Athens: Odysseas

Fish Consumption in the Age of the Information Society - the Evolution of the Fish Sector in Portugal

Ana Oliveira Madsen

Católica Porto Business School, Portugal

Valentina Chkoniya

University of Aveiro, Portugal

Abstract

Portuguese consumers are an example to the world when it comes to eating fish. It is a fact that Portugal is EU's top nation consuming fish, and that the country ranks 3rd in the world in that category. It is something to be proud of. Especially when so many countries are investing millions on/and implementing fish campaigns, in the attempt to increase the consumption of fish. Therefore, this article attempt to highlight some major aspects of fish consumption in Portugal, explaining how, where, and when fish is consumed. To be able to characterize the Portuguese fish consumer, this article had exclusive access to data from Docapesca Portos e Lotas S.A.'s data (a government owned company, under the Ministry of Finance and the Ministry of the Sea). Two surveys were conducted (each with 1000 respondents - representative of general of the Portuguese population), one in 2017 and the other one in 2018, using plenty of variables that turned out to be extremely valuable data to market analyses and allowed a very strong comparative analysis. Results include the big impact of Information in the different channels of fish consumption, perceived value of fish, consumers' evaluation of the advantages of fish, expectation when consuming fish, and also the importance of consumer education (as a means to promote change in behavior, if wanted). By providing evidence from Portuguese fish consumption in two different years, this study offers valuable insights for both practitioners and researchers.

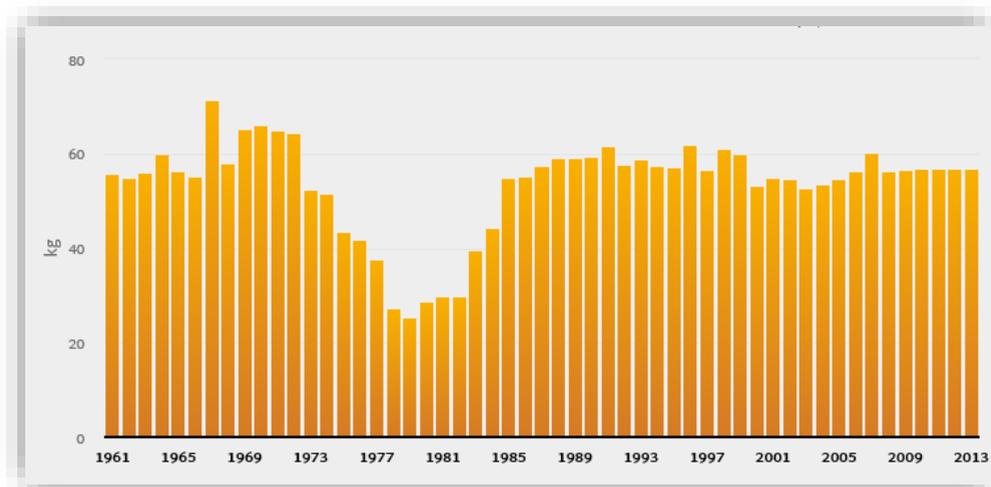
Keywords: fish consumption, evolution of consumption, fish sector, consumer behavior, information

Introduction

The levels of fish consumption in Portugal have, for decades, been the highest in the world, with 59 kg per capita year (2016). Some justifications to these numbers include culture, tradition, governmental fish campaigns, big efforts from distributors, a very strong presence in the stores and even religion. For sure it is not dependent on the actual fish catches since Portugal does not catch more than 194,000.00 tons/year, a figure that puts Portugal in an insignificant place in EU (3%) and completely irrelevant worldwide (0,1%). In fact, most of the fish consumed in Portugal is imported, with cod fish representing (today) more than 44% of that figure. Main consumed products are salted and dried cod, canned tuna and sardines, salmon, hake, gilt-head seabream and horse mackerel (source: Eurobarometer 2018). 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). When compared to Portugal's main peers, fish consumption per capita in France amounted to 32, Italy 25 kg, Ireland 21 kg and 39 kg in Spain (2013). The official figures presented on graphic 2 show that Portuguese consumers are on the top of the ranking consuming 59 kg of fish per year, distantly followed by the Spanish that consume 39 kilos per year. Following these two Latin countries we have Finland with 39 kilos and France with an average of fish consumption of 32 kilos; Sweden comes next with 28 kilos. Greeks eat 26 kilos of fish per year, while in Italy and Denmark (8th place) the average is of 25 kilos just above the United Kingdom with 24 kilos. Belgium and Luxemburg (aggregated) have a fish consumption average of 22 kilos per capita/year, and Ireland of 21 kilos. Eating less than 20 kilos per capita/year we have

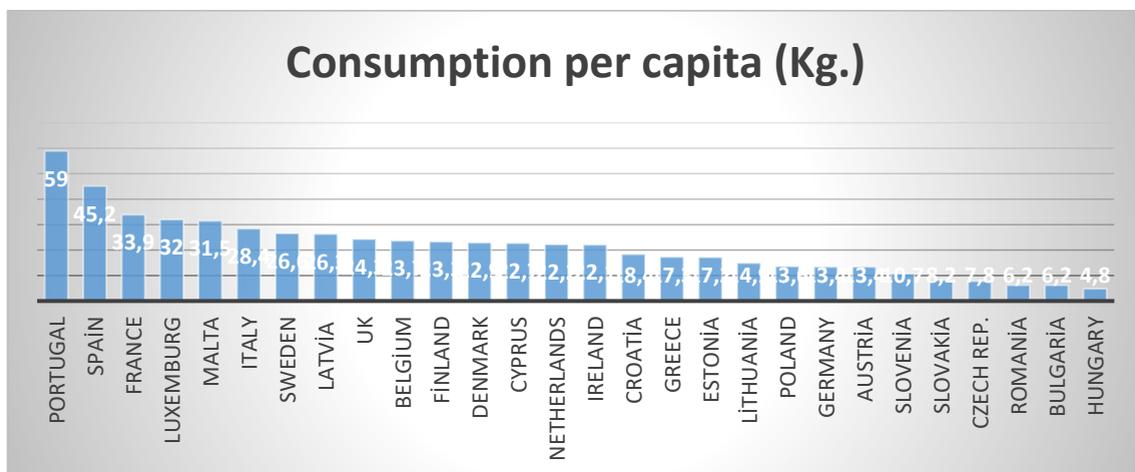
The Netherlands, Germany and Austria, with 15 kilos, 15 kilos and 11 kilos respectively. Worldwide, Portugal is the 3rd highest fish consuming country - topped only by Iceland and Japan (FAO Fisheries circular No. 821, 2002; FAO 2004; FAO Fisheries Circular No. 972/4, Part 1 2007, 20017). Regarding fisheries production, Portugal ranks 11th in the EU and has an even lower ranking for aquaculture production.

Graphic 1 – Evolution of the levels of fish consumption in Portugal



Source: FAO Fisheries circular No. 821, 2002; FAO 2004; FAO Fisheries Circular No. 972/4, Part 1, 2007; FAO 2015)

Graphic 2 - Levels of Fish Consumption in the EU-28– Kg/Per Capita



Source: FAO Fisheries Circular No. 972/4, Part 1 – “Future Prospects for fish and fishery products. Fish consumption in the European Union in 2015 and 2030; European overviews”. The EU- highlights, The EU in the world; EU market supply; Consumption trade EU landings; Aquaculture production. Maritime affairs and Fisheries – Fish market 2017 Edition

Going back in time to understand Portuguese fish consumption habits

The Portuguese Discoveries

In the 15th century Portugal surprised the world by transforming its small poor country into a platform for a global empire (Landes, 1999, pg 79). Portugal's far-flung network of domination stretched nearly three quarters around the world: from Brazil in the west to Japan in the Far East. New waters were navigated, and new economic opportunities were discovered. Even though the economic relevance of reaching Newfoundland (today northern Canada) or Greenland (today part of the Danish kingdom) cannot be compared to all the gold, diamonds, nor the spices, it became a source of fish - especially codfish. Diogo the Teive reached Newfoundland, and was amazed by the amount of codfish in its waters; In 1495 Portuguese navigators reach Greenland and again were surprised by the abundance of fish. 500 years later, almost 50% of the total fish consumed in Portugal is imported dry-salted-cod fish (Menezes et al., 2002). The discoveries were conducted in a period where faith dictated that meat and fats were forbidden during a total of 170 days per year: 40 days of Lent, the sacred Fridays, Saturdays and Wednesdays, the saints' days and Christmas (Aguilera, 1997, pp. 74; Montanari, 1994, pg 78; Deffontaines, 1948; Kurlansky, 1999 pp 24; Toussaint-Samat, 1992, pp. 315; Fieldhouse, 1986 pp 113). This renunciation indirectly confirmed the centrality of meat (Rozin 1998, pg 45) to the diet of the period and specifically illustrated that in the Christian rank order of food, fish was definitely below meat (Dichter, E 1964, pg 41-42). Christianity considered fish as melancholic, tranquilizing and humble food, all of which were perceived as good food. Clergy and its priests defended the numerous advantages of fish in the purification of the body and soul. Reaching Newfoundland and Greenland in the 16th century was seen as a fantastic opportunity to supply Christianity's demand for fish, as the fish available in continental Europe were insufficient in quantity and difficult to preserve, and therefore impossible to supply in the villages away from the coast¹. Codfish from the northern Atlantic was soon seen as a market opportunity - Ships from Venice would come to Lisbon and Algarve in search for salted fish (Quental, 1871, pg 57). Discovered by the Vikings in their domestic waters, the abundant codfish was dried until it lost one fifth of its weight, and attained a form that would not allow the fish to rot. Soon enough, the Portuguese started to catch codfish themselves and submit it to a double process of preservation: on board salting and inland drying. Both processes were known and utilized since ancient times. The inland drying process allowed long term storage and pillage, and when salted the codfish could keep its nutritive properties for about 6 months. Therefore it could supply the Portuguese religious demand, reaching the small inland villages, without losing its quality, and staying a nutritious and appealing food to eat. Soon it became known as the prince of the oceans².

The years of the dictatorship

From 1910 until 1926, the republic faced a severe internal instability that produced 7 parliaments, 8 presidents and 50 governments in just 16 years (Barreto, A, 2002, pg 5). In 1926, a military regime took power and suspended political and individual freedom. In this regime Antonio Oliveira Salazar was made in control of the country's finances. He was so successful that, in 1932, he became president of the ministers' council. In the first year of his dictatorship, Salazar and the Church allied to transform an event from 1917 into a mass phenomenon. Soon, Catholicism began to be materially imposed on the conscience of the Portuguese. During the regime, illiteracy infected 80% of the population (Rosas, 1994, pg 59). By this time canned fish became a very important trade product³. Canned fish, namely sardines, already had a long exporting tradition to Germany and to the UK back as far as 1898. After 1925 Germany became a major buyer, joining France and the UK. In 1934 the regime created the Portuguese Consortium of Canned Fish to regulate and control the production of

1 Cod fishermen left for the fishing grounds off Iceland and Newfoundland in September, and returned before Lent (middle February). The need for fish on Fridays, had a striking effect on the weekly rhythm of economic activity, and forced European fishermen to work particularly hard on Wednesdays and Thursdays to catch fish for Friday consumption (Simoons, 1994, p. 275).

2 In 1510, Portugal and England made a pact against French codfish fisheries and in 1532 English and Germans were in a war against each other over codfish. The codfish was later, again, the reason for a conflict between Spanish and English in 1585. All of these facts justify the codfish's nick name of "prince of the oceans".

3 Portugal important trade products included canned fish, cork, textiles, wine, wolframite and scheelite.

canned fish. In the same year, Lagos (south of Portugal) exported 33, 5% and Olhão (South of Portugal) 30% of its productions to Germany. During WWII, canned fish, with the exception of cork (in volume), became the most exported product (347.821 tons of the exported canned fish, worth of 3.563.839 contos (approximately 17.800 thousand Euros). In 1944 exported canned fish represented 31, 54% of the total Portuguese exports. The UK was the largest importer of canned fish, only majored by Germany in 1942 and 1943. Both countries signed contracts with the Portuguese Institute of Canned Fish. During WWII, Germany and the UK absorbed 60 to 95% of the Portuguese Canned Fish. On March 3rd, 1943, a telegram sent by a German officer, sent from Lisbon to Berlin read: "Contact with director of Fish institute gave good results (...) the institute will offer us (Berlin) again 200 thousand boxes. The institute considers possible the conclusion of another agreement". Important was also the Swiss market in 1941, as it was recognized as a food channel to Germany. This trade had a big impact on the fishing activity (Algarve had 70 factories of canned fish – in 2009 it has only 2 (TSF, 2009)), the number of people working in the sector; and the recognition of canned fish as a Portuguese icon product. Due to its importance to the economy, politics and religion, this pioneer subsector of the fishery, embraced by the regime, was going to be seen as one of the most well-known Portuguese products abroad in the XXI century. As we can see in the CocaCola Add from 2008 (figure 1), sardines are a symbol of Portugal.

Figure 1: Coca Cola's advertisement matching Sardines with Coca Cola



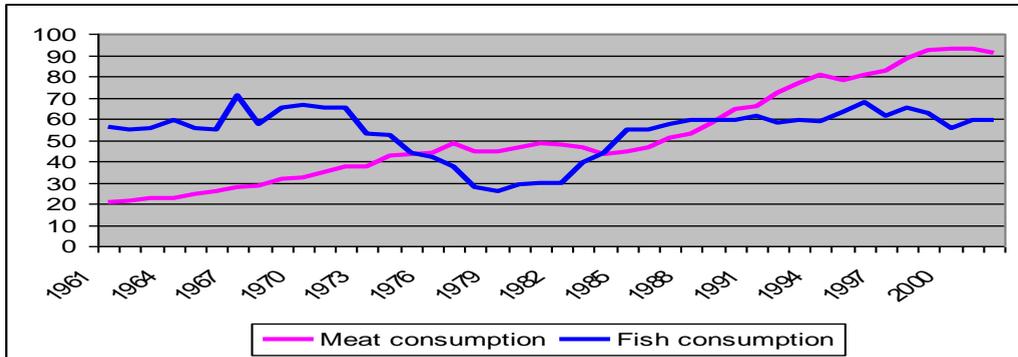
Source: See the whole advertising on Coca Cola's web-site: <http://www.cocacola.pt/CokeFood/Video.aspx>

After the Revolution: Democracy

In 1974, a military revolution put an end to Salazar's legacy and implemented a democratic regime. With a positive post-revolution mentality and the availability of more products in the marketplace, all seemed possible. As a consequence, consumers' euphoria occurred. For the first time in recorded history meat consumption surpassed fish consumption and from 1974 until 1980, fish consumption decreased dramatically and meat consumption began a growing path (Graphic 3). The interplay of five market occurrences might have led to this shift in consumption: Catholicism losing its power, the migration of the Portuguese living in the former colonies, the decrease of fishery catches¹, the increase meat imports, and the increase of salaries.

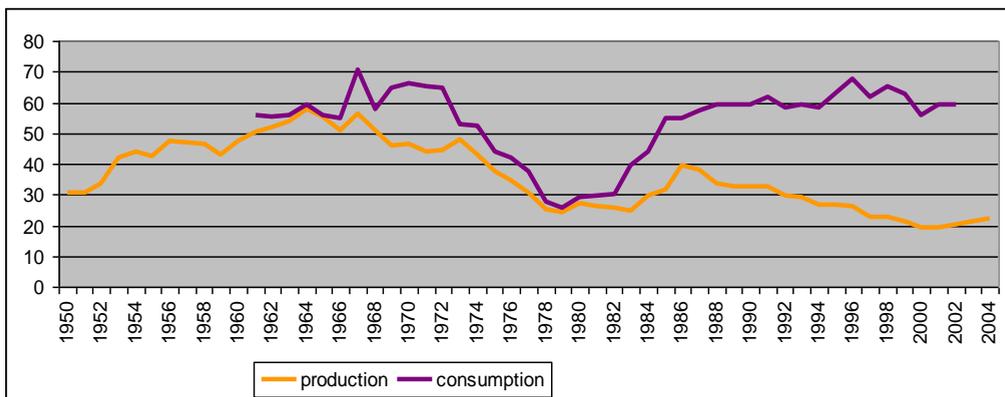
¹ The third reason could be the abrupt decrease of fish catches that occurred between 1973 and 1983. As can be seen in graphic 4, although fish consumption increased after the minimum 25, 6 kilos per capita of 1979, production did not follow the same path. The production context reflected a social mobilization from the primary sector, fisheries, to the second and third sectors (industry and services) leaving less fishery workers and obsolete boats. The fishing industry could no longer compete with the attractive new sectors from the big cities, where a new lifestyle was being fashioned. This market occurrence, which was extremely relevant for regions along the 1,793 km Portuguese coast which considered fishing as an irreplaceable activity for maintaining the regional identity and providing incomes for many families, stated the beginning of the fishing industry's fall.

Graphic 3: Evolution of Fish and Meat consumption levels- kilos capita (1961-2004)



Source: Food Agriculture Organization Fisheries Circular No 821 Revision 6 1961- 2002; FAO Fisheries and Aquaculture Information and Statistics Service - Food and Aquaculture Organization of the United Nations, FAOSTAT on-line – Earth trends World Resources Institute - Annual food supply per capita from fish and fishery products (2003).

Graphic 4: Evolution of Fish production and Fish consumption levels- kilos capita (1961-2004)



Source: Food Agriculture Organization Fisheries Circular No 821 Revision 6 1961- 2002; FAO Fisheries and Aquaculture Information and Statistics Service - Food and Aquaculture Organization of the United Nations, FAOSTAT on-line – Earth trends World Resources Institute - Annual food supply per capita from fish and fishery products (2003).

Since the revolution the meat sector has more than doubled its production, and dominated consumers' preferences from 1977 till 1985. The dominance of meat was only temporary, and in 1985 the consumption of fish started to grow again. By the beginning of the 1990's, fish consumption achieved high figures similar to the ones registered in the 1960's, but now under a completely different political, religious and social context. What was once a rural country governed by a dictatorship, influenced by strict catholic directives, and with no freedom of speech was now a democratic society, with a separation between church and state and a fast-developing urban culture. The economic approach would argue that it cannot be a coincidence that from 1980 until 1984 when the salaries fell the consumption of fish went up. The positive correlation between developed countries and meat consumption (Nogueira, 2005; Mee, 2007) actually applies to Portugal where we

find a positive correlation between salaries and fish consumption from middle 1970's till 1984. When the democracy began, fish consumption decreased and salaries increased; then salaries decreased from 1980 until 1984 and (as a possible consequence) fish consumption increased. Somehow the explanation seemed to be salary correlated - lower salaries and higher fish consumption. But as revealed in a comparison between income levels and fish consumption in 27 European countries, no immediate correlation is found. The complexity of food consumption seems to warrant more than just a theoretical economic explanation.

After 1979 salaries decreased and fish consumption started to increase again, indicating that the attempt to break with the traditional identity no longer prevailed. A possible reason was the fact that the market, namely the meat sector, did not develop according to this new demand. There was no special attention given to by the Government, nor did the meat sector itself invest in modernizing its infrastructures, and no special attention was given by the media or by the distributors. This, together with the fact that food habits are extremely difficult to alter, led to the return of fish to consumers' tables. Farb, defended that people tend to eat what they learned to eat when they were young (Farb et al., 1980, pg 88) and habits are acquired early in life and once established are likely to be long lasting and resistant to change (Fieldhouse, 1986, pg 4). Fish consumption increased again in the 80's because it was part of the Portuguese identity. More important than politics or economic development, food – fish - habits are fundamentally cultural habits that are acquired during the process of socialization. Using Mary Douglas statement that children are trained all their lives to eat certain things can be a useful tool in demonstrating the role of the Portuguese family in supplying food habits. The generation of Portuguese in the middle 1970's was using food as a language to state a disagreement with the dictatorship's identity and then felt the need to go back to its food roots. When children, they were introduced (taught), by the family, to eating fish - the training mentioned by Douglas. Portuguese culture and ethnic preferences did not change; a sign of disagreement was sent but once the result was achieved, habits and traditions talked louder.

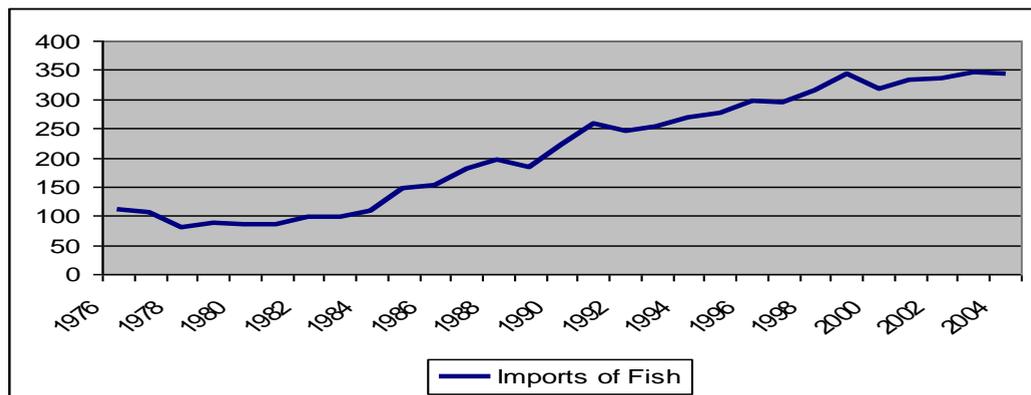
From EU till present days (1986-2019)

In 1986, when Portugal joined the European Community and its bilateral agreements were replaced by Community agreements¹, the fish sector got into a crisis and fish consumption decreased almost immediately. As a consequence of the change and reduction of quotas, the fish sector had an abrupt decrease in its catches in the North Atlantic and cod fish, by far the most important fish species for Portuguese consumers, was no longer available in Portuguese waters. The high pattern of fish consumption in Portugal resulted (and still results) not only from the consumption of the most abundant species in national waters (small pelagic such as the sardine and the mackerel) but mostly from the consumption of dried salted codfish (*Gadus Morhua*). This fish created profound roots in the food habits of the Portuguese population being perhaps the most marking component of the Portuguese cuisine, achieving the level of national dish and a food category of its own. And so, even though Portuguese fishing activity was concluded in the Northern Atlantic, a significant change in the national consumption of cod did not occur. To feed the demand for this North Atlantic fish, distributors searched for foreign suppliers and the annual consumption of this species remained at high levels (Menezes et al., 2002). As national catches decreased, the national imports of cod increased (graphic 5). Portugal holds the first place in terms of worldwide import trade of wet salted cod (42%), the second place on frozen cod (13%), and the second place along with Brazil on

1 In the mid-1970s an increasing number of coastal states decided to extend their exclusive economic zones (EEZs) from 12 to 200 nautical miles. Almost 90 % of exploitable fish resources came under the control of coastal States. The fleets of the EU Member States, which had traditionally fished in the waters of other countries, suddenly found themselves barred from them. These annual regulations controlled the amount of authorized captures per specie and that amount was the divided by all members of the EU. To ensure continuity of access for these fleets, fisheries agreements were concluded between the EU and the third countries concerned. Agreements were reached with northern countries (including Norway and the Faeroe Islands in 1981, Canada in 1982 and Iceland in 1994), and with southern countries (including Senegal in 1979, Guinea Bissau in 1980, the Republic of Guinea in 1983, and the Seychelles in 1984). The regulations were fundamentally based on an expert biological point of view and on forecasts about the species evolution. Portugal and it's approximately 1.700.000 km², due to the Acores islands, has the largest Exclusive Economic Zone of the EU-15, (Menezes, et al., 2002).

dried salted cod (27%); its major import sources are Norway, Denmark and Iceland, respectively with 49% and 27% and 19% over the period. Over the period from January 1988 to December 1999 Portugal imported a total of 457,000 tons of frozen cod (13% of the total), 2,179,000 tons of wet salted cod (60% of the total), and 989,000 tons of dried salted cod (27% of the total)¹. For the national imports of wet salted cod, Norway holds the first place as supplying country (40% over the period), but its weight has been decreasing since 1994 in favor of Iceland (24% over the period). In 1999 the national imports of wet salted cod from both countries were rather close (60,000 and 55,000 tons respectively). Finally, the national imports of dried salted cod come fundamentally from Norway and Denmark, respectively with 49% and 27% over the period.

Graphic 5: Evolution of fish imports 1976-2004



Source: Food and Agriculture Organization of the United Nations (FAO) Fishery Information, Data and Statistics Unit. 2006. Commodities production and trade 1976-2004. FISHSTAT plus - Universal software for fishery statistical time series. Rome: FAO.

It was also in the middle of the 1980's that a new kind of market player was developed, the big supermarket groups – the biggest being Sonae and Jerónimo Martins - and with them, came a more efficient distribution systems (like the creation of their own fish warehouse centrals which was the turning point in logistics and sales) and alliances. This distribution systems pushed consumption forward, and fish consumption increased again. Distributors made heavy promotions of their brand name and trustworthy image to be linked with their unbranded products. Consumers started to be constantly confronted with small offers, contests, TV commercials, in-the-door- brochures, radio advertisements and attractive prices. In the 1980's fish consumption grew almost 34 kilos, (from 25, 6 till 59, 1 kilo per capita) higher than meat consumption (that in that period was around 50 kilos per capita), very similar to the days of the dictatorship. This supremacy of fish over meat was the result of the hard work by the distributors and producers (like the frozen fish brands Pescanova and Iglo). But this time, and to complicate the economic approach, salaries increased too. Joining the EU injected money into the economy.

The 1990's were a growing decade, where the country developed considerably. Consumers lived an economical euphoria, and consumption patterns of fish and meat reached similar figures as in the 1974 revolution except that now the population

¹ Between 1988 and 1999 cod imports increased about 10% in quantity. This increase was basically due to the explosive growth of frozen cod imports (multiplied by 100 in 10 years), and 22% increase of dried salted cod imports. The imports of wet salted cod, in turn, decreased 23% over the period. The effect of these variations on the structure of imports was important, with emphasis to the increase in the share of frozen cod (insignificant in 1988 and 21% in 1999), the reduction of the share of wet salted cod (76% in 1988 and 53% in 1999), and the relatively steady state of the share of dried salted cod (23% in 1988 and 26% in 1999).

was eating more proteins. Even though it was exceeded by consumption of meat, fish consumption kept growing, like the Portuguese economy. Consumers are now exposed to a series of governmental and EU fish campaigns, which intended to maintain fish consumption, now confirmed on national television by doctors and backed by scientific studies as a healthy product¹. As a result, fish consumption reached 67.8 kilos in 1996. In 2000 the government embraced a campaign called ProPescas² which aired for 3 years. Results were very positive (Source:Pescanova, Continente, Jerónimo Martins). By the end of 2013 Fileira do Pescado/Row-of-fish - a nonprofit group that brings together the most representative organizations in the fisheries sector, aquaculture, processing and marketing of fish - introduced the *Portuguese-Fish* brand in the Portuguese market (figure 2). This new logo was a development from an already existing logo, which pretended to identify the fish that was/is caught in Portuguese waters, by Portuguese fishermen and sold in daily national fish auctions. This new version combines the Portuguese colors with the already known logo from the fish auctions. Fileira do Pescado's intention with this "adding of the Portuguese colors" was to bring the good perception and positive recognition of the Portuguese fish directly to its products.



Figure 2: New/improved auction fish logo. Source: Docapesca, 2013

By this time fish distributors/supermarkets invested in fish campaigns (TV, radio and brochures) so to give relevance to fish and maintain it part of consumers' chosen products. Jerónimo Martins and Sonae went even further and built platforms/fish-warehouses in the center of Portugal so to better accommodate and distribute the fish. Salted dry cod - being easy to preserve - became the most consumed fish species in Portugal and salted dry Codfish represented (in 2008) 50% of Sonae's fish sales³. On the other end, all the public feeding institutions were/are forced to follow government directives on amounts of vegetables, proteins, and carbohydrates; fish is logically present in alternation with meat. All of these private and national interventions had positive results.

It is a fact that Portugal has a strong cultural identification with fish but the figures presented before are also due to the work and strong investment of food distributors. Food distributors, supermarkets, hypermarkets, and frozen fish brands invest largely in door mailings, TV commercials and advertising in magazines. It is impossible to find a supermarket or a

1 When to buy fresh fish consumers should be aware of some cues that will make it easier to have a successful dish namely: a) the smell of the fish shouldn't be strong. Consumers should be able to "smell the Sea" and not ammoniaic, or "strong fishy", b) the skin of the fish has to be shining, with distinguishable pigmentation. The color should be strong- not paled. When the fish is not fresh the skin gets a tarnished color and the scales start detaching from the fish, c) the eyes have to be prominent, transparent cornea and a black shining pupil d) the gill will be shining, reddish and with no mucus - with time gill gets yellow and with mucus e) the fish meat should be firm and elastic. When fish is no longer fresh the meat loses elasticity, softens and gets reddish around the main bone f) the fish spine can also cue freshness. When it breaks- making a "click"- the fish is fresh. If it detaches from the fish meat it means that it's been out of the water for a long time g) fish also has a membrane, in the abdominal, part that should adhere completely h) Fresh fish should be eaten within 1 to 2 days of purchase (In DECO Portuguese Consumer Defense Organization).

2 It had its equivalent in other EU countries, from 1996 till 2002.

3 Interview with Sonae in 2008.

hypermarket without a significant fish section; large assortments of fish are always carefully decorated and regularly advertised in the media.

Promotions are considered essential and crucial when it comes to fresh fish; every week the biggest distributors have advertisements of fish on prime time TV. A lot of investment is also directed to fish labels/logos. It is believed that labels can improve consumers' quality transparency of a product and also give consumers another means of inferring characteristics of that product (Johnson, et al., 2001). In Portugal fresh fish must be labeled with the commercial denomination of the specie, the production method (deep waters or nursery) and the capture zone. To further influence consumers with labels, Portuguese hypermarkets have created, in the 2000's the "Sea day" – and also the "meat day". In a winning attempt to bring consumers to the stores on the day that distributors receive these perishable products in the largest assortment, distributors have created a logo associated with the day of the week they want consumers to buy their fish. Then with heavy advertisements focusing on quality, freshness and variety, they present the fish to the consumer in an easy to purchase context.

According to AcNielsen, brands like PescaNova, Iglo, Geldouro, Gelpeixe, Frip or even the new-comer, Danish brand Royal Greenland, sold up to 9.000.000 kg of frozen fish in Portugal throughout 2006. As was evident in this example, investments in advertising are a priority to broaden the market for a product. The maintenance of the high levels of fish consumption in Portugal and the recognition of fish values comes as a consequence of hard work and heavy investments in fish campaigns for children (the creation of a consumer's club specially for children ex. PescaNova Clube do Grumete with its *Jornal de Bordo*). In 1974 Iglo created its very famous *Capitão* – something that, some years latter was copied by PescaNova, but it never reached the *Capitão's* recognition. So it is clear that 21st century media gives lots of space to fish; fish appears in all TV cooking programs, cookbooks, recipes distributed by female magazines; newspapers and it is the topic of prime time TV national news. As Simmons writes, it would be difficult for the food press media to avoid fish as in Portugal fish is such an important dietary element that it is difficult to imagine how people could survive without it (Simoons, 1994; p. 253).

XXI's century diet – what is the Portuguese fish reality nowadays?

The Portuguese diet is widely recognized of offering a diverse selection of meat and fish products (Kittler, 1989). This can be confirmed in all Portuguese public subsidized feeding institutions like school cantinas, retirement homes, prisons, and hospitals; and also on restaurants' menus, which include as many fish meals as they include meat meals – thus, influencing individual and family food habits. Fish's constant presence in menus reinforces its consumption habit and turns eating it into something completely usual. Teaching children that this is the proper way to eat (otherwise, why would the school offer it in the first place?), helps forming mentalities and reinforces the families' teachings – or helps create them if not followed by the families. The fact that children cannot influence the food choices at home is also a fact that cannot be diminished when thinking about the influence that these cantinas. University cantinas help to maintain these habits as they offer alternatives for many students that lack the time and money to eat healthy food and resort to consuming pizzas, burgers, sausages and so on. Feeding institutions and social forces encourage people to continue to sample fish when eating at a cantinas etc, and to include prepare it at home. The pulley relation results from the aforementioned fish information, and therefore, forms habits and tastes.

Portuguese daily expressions are also a good example to understand the relevance (still) given to fish

There are lots of expressions in Portuguese language that reflect the importance – and the centrality – that fish has in society. "Fish size does not mean quality"; "From the mouth dies the fish"; "Sardines are like women, we want them small and tasty"; "Truth is like a small fish, gets free between our fingers"; "To a given fish, we are not picky"; "The son of fish know how to swim"; "Cod, the loyal friend".

To better perceive (and to make it simple) where the fish eaten in Portugal comes from, table 1 was made.

Table 1: Fish consumed in Portugal and its origins

<u>Fish Name</u>	<u>Country of Origin</u>
Atlantic horse mackerel+Norway pout	Spain (Vigo)
Snook + Sea bream	Greece/Spain
Fresh Sole	Denmark
Salmon	Norway
Snapper	Brazil
Bream + Conger	Portugal - Açores
Angler	Northern Ireland, Scotland, Brazil, Spain
Mullet + Brazilian Snapper	Brazil
White grouper	Brazil, Morocco
Halibut	Morocco, Mauritania
Sardines	Portugal + Spain (Vigo)
Octopus	Portugal, Morocco, Filipinas
Shrimp	Madagascar, Mozambique, Brazil
Salted-Dry- Codfish	Norway, Denmark, Island
Squid	China
White fish + Ling	Argentina, Chile, Namibia, Australia, S.Africa
Grunt Snapper + Hake + +Croaker+	North of Africa, Morocco,
Grouper + White Scabbardfish	Mauritania, Senegal

Source: Data from Sonae, Jerónimo Martins, PescaNoca and Iglo (2008, 2010, 1013)

Fish campaigns in EU

Whether carried out by public authority or by private operators or organizations, campaigns are a well- developed and widespread instrument to promote fishery and aquaculture products. Their objective is to increase the consumption of fishery and aquaculture products by raising consumer awareness of the products' health/nutritional benefits in the human diet. A total of 685 promotional campaigns and projects to promote consumption of fishery and aquaculture products and to improve the image of these products were carried out between 2007 and 2015 in 26 EU Member States. No relevant campaigns were carried out in 2 EU Member States (Austria and Luxembourg). France, Portugal, and Italy's many campaigns focused on strengthening the image of local fishery products, highlighting underutilized regional species as a potential driver of their regional and national economic development. Some of the conclusion regarding consumption in Portugal showed that in 2012 large scale retail became the most dominant sale channel (with 45,6% in value), mainly due to the 2010 legislation that allowed such stores to have more flexible opening hours (Source: EU consumer habits. Fishery and aquaculture products. Annex 3. Mapping of national campaigns. EUMOFA. 2017 European Commission)

What will the future bring? Fish consumption in the age of the Information Society

New times, new ways of interpret consumption. When we talk about people born between 1980 and 1995 (Generation Y), we need to accept and comprehend that they do not know the world without having constant access to technology – they have grown up surrounded by smart phones, laptops, tablets and other gadgets. They were the first wave of the digital generation born into the world of technology. They are highly qualified in digital knowledge therefore it is easy for them to quickly acquire the use of new tools and devices in Information and Communication Technologies (Bencsik et al., 2016). Generation Y prefer to communicate more quickly and effectively via email, social networks or text messaging as opposed to traditional means of communication. Generation Y's prefer communication via email whereas the baby boomer

generation (two generations back) prefer to pick up the phone. They easily accept changes, they live for today and they do not like to plan for long periods; they rather want to enjoy themselves in their own world. Their circle of friends is virtual, they mainly nurse their relations on social sites, they easily accept cultural differences and they really like living a quick life (Krishnan et al, 2013). Generation Y is characterized by “multitasking”, the multi-sided and shared attention (Schäffer, 2015). For them, the concept of success, career and money is of top priority - because they have learned that it is the only thing that can advance them in consumer society (Tari, 2010). Using modern technological devices, their communication mainly happens in the virtual space and their online presence is never-ending. They use social networking sites, such as Facebook, Twitter, etc..., to create a different sense of belonging, make acquaintances, and to remain connected with friends (Woodman, Dan (2015). According to Neil Howe and William Strauss’s book “Millennials Rising: The Next Great Generation (2000)”, generation Y are more open-minded than their parents on controversial topics and civic-minded. But what do they eat and what are the preferences/habits regarding fish?

Methodology

To be able to answer the last question, we have studied/implemented the following:

Procedure and sample

To analyze the evolution of the Fish sector in Portugal we used Docapesca Portos e Lotas S.A.’s data (a government owned company, under the Ministry of Finance and the Ministry of Sea). Two surveys were conducted (each with 1000 respondents - representative of general of the Portuguese population), one in 2017 and the other one in 2018, using plenty of variables that turned out to be extremely valuable data to market analyses and allowed a very strong comparative analysis.

Data was collected using quota sampling, representative of Portuguese population according National Statistics Institute (INE), as non-probability sampling technique, by using a socio-demographic variable such as sex (49,1% Male and 50,9% Female), age (16/24 years with 9,1%, 25/34 years with 16,8%, 35/44 years with 18,5%, 45/54 years with 18,1%, 55/64 years with 16,6%, 65 years or more with 20,9%), and region according to Nuts II (35,2% of North, 25,0% of Centre, 27,7% of Lisbon, 8% of Alentejo, 4,1% of Algarve). In terms of the descriptive statistics it represents a demographic profile with following Education level 2017 vs 2018: Primary (19,2% vs 13,8%), Secondary (48,8% vs 48,2%) and Higher (32,0% vs 38%).

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. The 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 medium was the natural option. Survey for the general of the Portuguese population was contacted in order to understand an evolution of seafood consumption patterns in general.

Statistical analysis

Statistical analysis was carried out using the SphinxIQ software (Sphinx Company, Montréal, Canada), which enabled to analyze 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 $p < 0.01$.

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 continuous to prefer supermarkets to local markets, 54.1% vs 17,6% in 2017 and 49,8% vs 24,2 % in 2018 ($p < 0.01$, $\text{Khi}^2=632.44$, $\text{dgl}=3(\text{MS})$). Although it is possible to notice a slight purchase transfer from supermarkets to local markets, which goes in line with fresh food purchase, in general.

Concern about the origin of the fish

Portuguese population is more and more careful with the origin of the fish they consume. Concern ranged 3,37 by 5-point Likert type scale with 48,6% for TOP 2 boxes (agree/totally agree) answers in 2017 vs 3,62 with 59,3% for TOP 2 boxes in 2018 ($p = 0.00$ $\text{Khi}^2=231.63$, $\text{dgl}=4(\text{MS})$).

Perception of the Portuguese fresh fish

Portuguese consumers perceive Portuguese fish as the best fish in the world, ranged 4,05 by 5-point Likert type scale with 67,8% for TOP 2 boxes (agree/totally agree) answers in 2017 vs 4,37 with 81,2% for TOP 2 boxes in 2018 ($p = 0.00$ $\text{Khi}^2=1158.19$, $\text{dgl}=4(\text{MS})$). This is a very strong reason why it is important to understand the sustainability issue for different species.

Availability for transfer of consumption for fish of lower stock

Portuguese population is very traditional regarding fish consumption (Coelho et al, 2018) and at the same time Portuguese waters are abundant in different devalued species. That is why, it was important to understand an availability of transfer of consumption for fish of lower stock, which is a key point that guaranties a sustainability (Docapesca, 2018).

The data reveals that Portuguese population does not show availability of transfer of consumption for fish of lower stock yet, ranged 2,91 by 5-point Likert type scale, with 32,9 % for TOP 2 boxes (agree/totally agree) answers, in 2018 ($p < 0.01$, $\text{Khi}^2=39.51$, $\text{dgl}=4(\text{MS})$).

On the other hand, and as it was described previously (Madsen & Chkoniya, 2018), 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.

Knowledge about the fresh fish market in the Portuguese population

In 2017 only with 38,9 % for TOP 2 boxes (agree/totally agree) answers, considered themselves fish connoisseurs, ranged 3,24 by 5-point Likert type scale ($p = 0.00$ $\text{Khi}^2=177.43$, $\text{dgl}=4(\text{MS})$). Even less of Portuguese population considered themselves fish connoisseurs in 2018, ranged 3,14 by 5-point Likert type scale with 37 % for TOP 2 boxes.

It is for this reason that it is so important to pay attention to the education of the Portuguese population regarding seafood.

The best source of information about seafood

Various market reports indicate that population in Portugal often look for healthy food solutions and perceive seafood as a fundamental part of it (Coelho et al, 2018). This is why it is so important to give them the best source of information. The data collected indicates that TV continuous to be the most important source of information regarding seafood with 60.1% in 2017 vs 61,7% in 2018. It is then followed by the social media (Facebook, Instagram e etc.) with 33.9% in 2017 vs 38,4% in 2018, while other sources of information attract the least attention ($p = 0.00$ $\text{Khi}^2=9852.88$, $\text{dgl}=20(\text{MS})$).

Conclusion

The previous historical explanation serves as a background to understand how the market and its agents influenced actual food patterns. Food habits are established and maintained because there are effective, particular and meaningful behaviors in a particular culture (Fieldhouse, P, 1986). After centuries of imposition of fish -forbidding meat to be precise- , the Catholic religion has controlled food habits in the Portuguese society. It is true that the Catholic religion has no longer the power to influence the Portuguese diet, but once food habits are acquired, especially early in life, they are likely to be long lasting and resistant to change. In another words, fish became part of the Portuguese food basket, and became a domestic food product to the families. Families recognize value in fish, including it frequently in their meals; in turn, children learn to appreciate its taste. Many of the advertisements for fish are actually, and intelligently, targeted to the youngsters.

It is a fact that the fish sector, it represents less than 1% of the GDP, 0.6% of total employment and fish catches below average in EU and in an insignificant place worldwide; nonetheless it survives; Survives due to the efforts made by the distributors, frozen fish companies and the media, which supply Portuguese consumers with an important element of their culture, taking all the advantages out of that. And more, the market itself maintains this identification with fish into consumers' habits. Advertisements, either of a product or of a government national campaign, almost with no exception focuses on the sun, the beaches, the cork lands in the south, the mountains in the north and definitely the fish. Even Coca cola could not resist going also this way!

It is a part of Portuguese identity and a way that helps consumers understand themselves in the world. In the case of Portugal consumers are highly exposed to the very rooted fish products; history shows that religion and obedience have been a common denominator in this country for many centuries. Restricted by traditional religious ideologies (with its symbolisms and morals) the country's meat consumption never reached high levels, and created an imposed space for generations after generations to develop their skills on how to prepare fish, which created deeply rooted habits in the population - indirectly nurturing fish and its consumption. The Portuguese give high importance to fish products because they have always been present in their society, through, by example memories of old glories from the sea, statues to the fishermen, politicians dancing with fisherwomen, by including fish in their daily expressions, and more recently through the power of food distributors. Portuguese imagery is full of fish (Herbert Blumer 1969, pp 95 in Mennell et al., 1992, pp4), as is apparent through the high levels of fish consumption. Fish is a highly domesticated product and that is reflected in the actual consumption levels. Portugal is the 3rd biggest consumer in the world.

Consumers' combinations and mixtures of the market produced narratives, led to a tight consideration of them as part of their national identity. The Portuguese identity is full of fish - rituals, schools doctrines, and communicated acts. Political attention and economic investments that have built the market systems have been channeled to different products in both countries. The identity of the population, which was created consistently through time by the market system, has produced opposite fish consumption patterns.

In 2019 no one is afraid of not going to heaven by eating meat on Fridays, and no one will lent based on catholic religion like before 1974; fish is no longer consumed because of those reasons. Fish is available in all supermarkets, fresh, frozen, with bones and without. If historically it was religion diffusing the message, and people would design their diet with fear of being punished by God, nowadays it is the distributors of fish that make sure fish is always present in consumers' minds. Distributors sell up to 600,000,000 kilos of fish per year (2008): half of which is salted dry codfish, 70,000,000 is frozen branded fish, and 200,000,000 are of fresh fish and 30,000,000 bulk frozen fish. But to keep up with the tradition the distributors have to go and buy it all over the world.

The facts described in this paper give a good perspective of how the fish market system has changed, evolved, invested and rejuvenate all over the years, so to keep its levels of consumption high. It could have stagnated; it could have fallen; instead it has grown! 500 years have passed since codfish was introduced to Portuguese cuisine, and we can still find remarkable traces of the reasons why it became so popular.

References

- [1] AcNielsen (2004): "Total Portugal, peixe congelado, vendas em valor e em quantidade, preço médio, e estratificação de mercados em quantidade".
- [2] Aguilera, César (1997): "História da Alimentação Mediterrânica"- Terramar editors.
- [3] Barreto, António (2002): "Mudança social em Portugal, 1960/2000"- Instituto de Ciências Sociais da Universidade de Lisboa
- [4] Bencsik, A., Horváth-Csikós, G., Juhász, T. (2016): " Y and Z Generations at Workplaces". Journal of Competitiveness. Vol. 8, Issue 3, pp. 90 – 106
- [5] Coelho, Teresa; Chkoniya, Valentina; Madsen, Ana Oliveira (2018): "The (R) evolution of the fishing sector in Portugal. Building a support for the coming generations" Georgiant Technical University and University of Foggia (2018) ISBN 978-9941-28-403-8
- [6] Data from Sonae, Jerónimo Martins, PescaNoca and Iglo (2008, 2010, 2013) – part of the Ph.D dissertation of Ana Madsen "Market Systems and Cross Cultural Differences in Consumption Patterns: The case of fish in Portugal and Denmark".
- [7] Deffontaines, Pierre (1948): "Géographie et religions". Second edition. Paris: Gallimard.
- [8] Dichter, Ernest (1964): "Handbook of consumer motivations: the psychology of the world of objects". McGraw-Hill
- [9] Docapesca 2018. In Coelho, Teresa; Chkoniya, Valentina; Madsen, Ana Oliveira (2018): "The (R) evolution of the fishing sector in Portugal. Building a support for the coming generations" Georgiant Technical University and University of Foggia. ISBN 978-9941-28-403-8
- [10] Docapesca, 2013. In Coelho, Teresa; Chkoniya, Valentina; Madsen, Ana Oliveira (2018): "The (R) evolution of the fishing sector in Portugal. Building a support for the coming generations" Georgiant Technical University and University of Foggia. ISBN 978-9941-28-403-8
- [11] Douglas, Mary (1972): "Deciphering a Meal" – Daedalus. Journal of American Academy of Arts & Sciences: Winter, Myth, Symbol & Culture.
- [12] EU consumer habits. Fishery and aquaculture products. Annex 3. Mapping of national campaigns. EUMOFA. 2017 European Commission
- [13] EUROBAROMETER 2018 – European Market Observatory for Fisheries and aquaculture products. (April 2018).
- [14] FAO Fisheries circular No. 821, 2002; FAO 2004; FAO Fisheries Circular No. 972/4, Part 1 2007, 20017
- [15] FAO Fisheries circular No. 821, 2002; FAO 2004; FAO Fisheries Circular No. 972/4, Part 1, 2007; FAO 2015
- [16] FAO Fisheries Circular No. 972/4, Part 1 – "Future Prospects for fish and fishery products. Fish consumption in the European Union in 2015 and 2030; European overviews". The EU- highlights, The EU in the world; EU market supply; Consumption trade EU landings; Aquaculture production. Maritime affairs and Fisheries – Fish market 2017 Edition
- [17] Farb, Peter; Armelagos, George (1980): "Consuming passions- the anthropology of eating" Houghton Mifflin Company. Boston.
- [18] Fieldhouse, Paul (1986): "Food and nutrition: Customs and culture"- London, Helm
- [19] Food Agriculture Organization Fisheries Circular No 821 Revision 6 1961- 2002; FAO Fisheries and Aquaculture Information and Statistics Service - Food and Aquaculture Organization of the United Nations, FAOSTAT online – Earth trends World Resources Institute - Annual food supply per capita from fish and fishery products (2003).
- [20] Food and Agriculture Organization of the United Nations (FAO) Fishery Information, Data and Statistics Unit. 2006. Commodities production and trade 1976-2004. FISHSTAT plus - Universal software for fishery statistical time series. Rome: FAO.

- [21] Herbert Blumer 1969, pp 95 in Mennell, Stephen; Murcott, Anne; Van Otterloo, Anneke H (1992): "The Sociology of food- eating, diet and culture"- Sage publications. International Sociology Association.
- [22] Johnson, R. J., C. R. Wessells, H. Donath, and F. Asche (2001): "Measuring Consumer Preferences for Ecolabeled Seafood: An International Comparison." *Journal of Agricultural and Resource Economics* 26(1):20–39.
- [23] Kittler, Pamela Goyan (1989): "Food and Culture in America: A Nutrition Handbook by Pamela Goyan Kittler". Van Nostrand Reinhold.
- [24] Krishnan, S. K., Bopaiah, S., Bajaj, D., & Prasad R. (2013): "Organization, Generation, and Communication – Infosys Experience". *NHRD Journal*. 10, 85-93.
- [25] Kurlansky, Mark (1999): "Cod: a bibliography of the fish that changed the world". London. Vintage.
- [26] Landes, David S. (1999): "The wealth and poverty of nations: why some are so rich and some so poor". Abacus.
- [27] Madsen, Ana Oliveira, Chkoniya, Valentina (2018): "Tendências Regarding Fish Consumption – The case of Portugal (Europe's leader & 3rd in the world)". EUSER EUROPEAN CENTER FOR SCIENCE EDUCATION AND RESEARCH (2018)
- [28] Mee, Laurence (2007): "Oceans in Crises", In: "Global Researcher – exploring International Perspectives". School of Earth, Ocean & Environmental Sciences.
- [29] Menezes, Rui; Dias, J. Ferreira; Guia, Fernanda; Filipe, J. Cruz ; Guerreiro, Vivelina (2002): "European markets integration : the case of the Norway-Portugal cod value chain"- paper presented at the XIV EAFE Conference 25-27 March 2002.
- [30] Montanari, Massimo (1994): "The culture of food", Blackwell Oxford UK & Cambridge USA.
- [31] Howe, N., Strauss, W. (2009): " Millennials Rising: The Next Great Generation". Knopf Doubleday Publishing Group
- [32] Nogueira, Sandra (2005): "A criação Tradicional de porcos em Portugal: análise antropológica de regras sociais, tabus e comportamentos"- In: *Mneme – Revista de Humanidades, Cultura, Tradição e Património Imaterial*". Vol. 7. Nr.18
- [33] Quental, Antero (1871): "Causas da decadência dos povos peninsulares"- 6th edition. Ulmeiro.
- [34] Rosas, Fernando (1994): "Salazarismo e o fomento económico" – Biblioteca histórica.
- [35] Rozin, Paul (1998): "Towards a Psychology of Food Choice"- Institute Danone.
- [36] Schäffer, B. (2015): "A legifjabb titánok". Hungary: Book Kiadó
- [37] Simoons, Frederick J. (1994): "Eat not this flesh- food avoidance from prehistory to the present"- the University of Wisconsin press.
- [38] Tari, A. (2010): "Y generáció. Budapest" Jaffa Kiadó
- [39] Toussaint-Samat, Maguelonne (1992): "A History of food"- Blackwell
- [40] Woodman, D (2015): "Youth and Generation". Sage Publications Ltd. London.
- [41] www.cocacola.pt/CokeFood/Video.aspx
- [42] http://tsf.sapo.pt/Programas/programa.aspx?content_id=917979&audio_id=1068883 - TSF- Rádio Notícias. "Peixinhos da Lata" Reportagem de Rute Fonseca com sonoplastia de Joaquim Dias. 06 JUL 09

The Influence of Practices through Interreligious Dialogue: Types of Participations, Issues, Solutions and Effects that Arise

Eksioglu Cristina-Mihaela

Abstract

Today, due to the technological evolution, migration and the increasing interest in business, service, health, or purely relaxing travel, we can say that we are talking about social, cultural, linguistic, and others changes across the world. Although we still use the idea of East, West, Middle East, they have become simple "geographic" landmarks, because cultures and traditions have begun to interfere because of mixed societies that have begun to form. Because today we are talking about the formation of new global cultures, adapted and influenced by the evolution of technology, this article will discuss how this "modern society" is influenced or not by religious practices. It is a factual thing that society has been, is and will be influenced by faith, because even the idea of unbelief is an expression of faith. Until recently, the "interreligious dialogues" did not recall the influence of practices and was only spoken at the level of clergy, representatives of religions and only in terms of the Holy Books. The fact that everyone "defends" their faith has often led to quarrels or just simple "tolerable endings." Even so, the "representatives of beliefs" have omitted to look at society, how ordinary people create bridges between beliefs through invitations to their practices. For example, a Christian invites his Muslim neighbour to the Christmas table, offers him his dishes, while considering his guest's "religious sacrifices". This example is not an assumed one, but a real one, which is taking place today in several corners of the world

Keywords: society, faith, dialogue, practices, influences, values, cultures

Introduction

Sociological theories and ideas;

As Anthony Giddens mentions in the book "Sociology," today we live in a deeply worrisome world, though full of extraordinary promises for the future. It is a constantly changing world, marked by deep conflicts, tensions and social divisions, but also by the destructive effects of modern technology on the environment. (Giddens, 2010, p.4) Despite all these differences, conflicts and "disasters", man goes on to change, because of his ability to adapt. This capacity is also influenced by the history of mankind, changes and decisions that have been taken over time. Because all the time he had to learn from the aspects that appeal to him, especially the spiritual part, in this paper we will analyse how the spiritual part of man, belonging to a faith and automatically to certain practices influences the interaction with the other. Today societies are mixed and constantly changing, so members need to show wisdom, adaptability and tolerance. These qualities have developed over time through sociological, ethnic, religious studies and not only. Studying the influences of religious practices on current and future society is a long and profound way to go, because we are talking about our own behaviour as social beings.

Human beings have been on earth for more than half a million years, but everything has changed; evolved. If we were to look at the modes of life and the social institutions specific to the modern world, they differ radically from those of the past.

The fact that from the seventeenth century until the dawn of the 20th century Western countries have established colonies in many areas occupied by traditional societies so far, has led to major social changes both in colonized areas and in their own societies. In other words, this need for economic power - irrespective of its implications - has led to a change in global society. Today we are talking about migrants in the interest of studies, or simply the safety of life. Besides the influence of economic or safety necessity, there are also cultural factors that include the products of religion, communication systems and leadership.

Religion can be both a conservative and innovative force. Some forms of religious faith and religious practice have functioned as a brake on the path of change. However, as Max Weber mentions, religious beliefs often play an important role in mobilizing and promoting social values. A major cultural influence that affects the character and the course of change is the nature of the communication systems.

If we were to look at the way in which sociologists defines religion, we would say that this is a cultural system of shared beliefs and rituals, which provides a sense of ultimate meaning and purpose, creating a conception of the sacred, all-encompassing and supernatural reality. (Durkheim, 1965; Berger, 1967; Wuthnow, 1988). Thus, we recall three key elements in this definition:

1. Religion is a form of culture. so when people belonging to different religions also interact from a cultural point of view. each individual comes with a part of his culture.
2. Religion takes the form of ritualistic practices. These rituals of behaviour, actions, can often be grounds for conflict. the platforms that come in interacting with others, with the idea of imposing their ritual, will get disturbed by both himself and others. the fact that he does not start with the idea of tolerance, understanding, will produce negative feelings both for the other participants and for himself.
3. Religion, most of the time, provides a purpose in life. And this can lead to negative interactions, when the partisans are not open to tolerance and do not believe in the existence of a single power, the name of which differs according to the culture of each.

Among the three "classic" theorists of sociology, who approached the vision of functionalism and religious ritualism, was Emile Durkheim. He spent a good period of intellectual care, studying religion, focusing on small-scale religion in traditional societies. Durkheim pointed out that religions are not just a matter of faith; they regularly involve ceremonial activities and rituals in which believers gather in a group. In collective ceremonies, the feeling of solidarity with the group is asserted and reinforced. In the opinion of Emile Durkheim, ceremonies and rituals are essential for the bonds that are formed between the members of the group. For this reason, ceremonies are found in ordinary worship situations - jobs, birth, marriage, death, and in times of crisis - economic, social, natural, etc.

Compared to Emile Durkheim, who focused on a limited number of examples, Max Weber focused his attention on what he called the world's religions - those who attracted a large number of believers. Another difference between Durkheim's and Weber's approach is that the latter also focused on the links between religion and social change.

If we were to look at religion from the current point of view, we could say there is a mutual connection and influence between her - religion - and society. Migration of people from one corner of another - either for economic, educational, survival reasons, etc. - has automatically led to the creation of different companies; each coming with its culture, language, faith, rituals, etc. Thus, even if it was only out of curiosity or empathy, people came into contact with each other, "exchanging culture, tradition, ritual, etc." Even though it was during a short period of time (a few hours, days, weeks), the relationship and the information took place. What is important is how those involved reacted - positive, neutral, negative - and how these interactions produced social change. Pure information helps to social development.

As Bronislaw Malinowski mentions in defining culture, through its functions in meeting human needs, each component of culture has a function in responding to a human need. A social system imposes a number of solutions to achieve its stability. (Staiculescu, Rus, 2001, p.15). Society, the human group, is created and maintained only through relationships and actions among the individuals that form it. Today we all live more and more in one world, so that individuals, groups and nations become interdependent.

Religions and beliefs in Romania

Religious life in Romania is carried out in accordance with the principle of freedom of religious beliefs, principle stated in Article 29 of the Romanian Constitution, together with freedom of thought and opinions. .¹

¹ „TITLUL II – Drepturile, libertățile și îndatoririle fundamentale”. *Constituția României*.

Even if it is not explicitly defined as a secular state, Romania has no national religion, respecting the principle of secularity: public authorities are bound to neutrality towards religious associations and cults.¹

In Romania, 18 religious cults are officially recognized.² The Romanian Orthodox Church is the main religious institution in Romania. It is an autocephalous church, which is in communion with the other churches belonging to the Orthodox Church. Most of the Romanian population, namely 86.45%, declared themselves to be Orthodox Christian confessions, according to the 2011 census.³ In Dobruja there is also an Islamic minority composed mostly of Turks and Tartars. Muslim believers in Romania are about 70,000, of which 85% live in Constanta County, 12% in Tulcea County, and the rest in different urban centres such as Bucharest, Braila, Galati, Calarasi, Giurgiu, Oltenita, Drobeta-Turnu Severin and so on.⁴

In October 2013, the National Institute of Statistics of Romania conducted a study titled "What does the 2011 census about religion say?". According to this, religion is one of the most important factors in defining the identity of a nation. Collecting information about religious affiliation with ethnicity and mother tongue complements the general picture of the society we live in.⁵

From this table below we can see that the great majority of the population in Romania declared themselves to belong to Orthodox Christianity (86.45%), followed by the Roman Catholic (4.62%), Muslim being on the eighth place (0.34%) and Mosaic representing 0.02%. Although the situation is so, we must remember the fact that there are many areas of Romania where communities are made up of different religions; this fact has existed for hundreds of years (example: the Dobrogea Zone with a mix of Christianity, Islam, Armenians, and so on).



Table 1: "Religious affiliation at the 2011 census"

¹ „LEGE 489/28/12/2006”. *Portal Legislativ*. În România nu există religie de stat; statul este neutru față de orice credință religioasă sau ideologie atee.

² „Culte recunoscute oficial în România”. *Secretariatul de Stat pentru Culte*.

³ a b c d „Ce ne spune recensământul din anul 2011 despre religie?” (PDF). *Institutul Național de Statistică*. octombrie 2013.

⁴ „Comunitatea”. *Muftiatul Cultural Musliman din România*.

⁵ ISN, “Ce spune recensământul din 2011 despre religie, file:08-Recensamintele%20despre%20religie_n.pdf

From this table below we can see that the great majority of the population in Romania declared themselves to belong to Orthodox Christianity (86.45%), followed by the Roman Catholic (4.62%), Muslim being on the eighth place (0.34%) and Mosaic representing 0.02%. Although the situation is so, we must remember the fact that there are many areas of Romania where communities are made up of different religions; this fact has existed for hundreds of years (example: the Dobrogea Zone with a mix of Christianity, Islam, Armenians, and so on).

Types of ritual participation

Ritual participation is a multifaceted phenomenon that takes many forms, depending on the context in which it occurs, the intention that undergirds the sharing of ritual, the nature of the ritual performed, and the religious communities involved. (Moyaert, Geldhof, 2015, p.1)

Also, we can say that it exists two types of participants: *outer-facing* which is the *responsive* or the event when is sharing the ritual; and *inner-facing* which is the event in who the parts are receiving the hospitality. (Moyaert, Geldhof, 2015, p.2)

We can also say that outer-facing events are the result of political initiatives, supported by religious leaders attempting to contribute to the establishment of nonviolent pluralistic societies – but it is not always the case. For example, Pope John Paul II initiated in 1986 the World Day of Prayer for Peace in Assisi, in which involved religious leaders gathering from all around the world. Gathering religious leaders from all over the world to pray in their own language, way, to show that violence in the name of religious is never justified. (Moyaert, Geldhof, 2015, p.2) Even if such events have positive aspects, this does not mean that the participants do not enjoy the difficulties in their realization. The language barriers are generally a primordial issue, followed by ritual practices, symbols and gestures. Cultural behavior and rituality hold on to tradition and resist any changes; moreover, they influence how people engage or understand collective activities.

How we mentioned before, ritual sharing may also be *inner-facing*, following a paradigm of hospitality (Moyaert, Geldhof, 2015, p.2). Hospitality – inviting someone to visit, celebrate or even participate in the ritual life of one's community signifies a desire to transcend confessional barriers. This type of 'dialogue' will not have a real success if 'the other part' - the invited person – is not ready or doesn't want to understand or receive the worship of the host.

As a conclusion to this point, we can say that interreligious dialogue through practices – outer-facing or inner-facing - it requires collaboration, openness and tolerance from both sides - the host and guest or participants from different cultures and religions.

Reasons for ritual participation

There may be many reasons why a person chooses to participate in someone else's religious practices, like: invitation by family members, friends, colleagues, neighbour, and other.

Nowadays, due to the increased migration, we are talking about mixed families - not only from a cultural and religious point of view. Such cases emphasize the "need" of partners to participate in the rituals of the other, or their families, to show support and understanding of the new intercultural couple, they choose to participate to the 'new couple religious rituals'.

Also, when such couples have children, participation in different religious practices has an even greater impact. The links between the grandparents - between them -; grandparents and grandchildren; or grandparents and parents; are formed differently when members choose to share the religious rituals of the other. Of course, such statements are not uneventful exploratory rejection or misunderstanding. It was previously mentioned, language, symbols, gestures, play a very important role in the understanding or misunderstanding of the other.

A very important role in such a dialogue is played by the couple's choices. Some couples choose to harvest the religious traditions of one of their partners only - then present their other traditions to the child, but only informative: but there are couples who choose to practice both traditions, giving the opportunity to the child to choose when he understands what he wants to follow.

Of course, both variants have both positive and negative aspects. What is important is that we need to look at these as phenomena of social evolution and by finding answers to questions or finding solutions, to positively contribute to the formation of the next generations.

Ritual participation is becoming an increasingly important issue at the pedagogical level too. Also because of the high number of migrations, we are talking about mixed classes of complex educational environments. The participation of such complex groups in the religious rituals of their society may have negative effects if subjects are not familiar with them. For this reason, teachers need to be primarily prepared for such events so they can manage crisis situations.

The existence of such cases should not scare us, it should be a subject to which we look with the desire to know. Searching and learning about the other makes us an important link in the chain of building a secure, diverse and peaceful society.

Today, in a world of speed, technology, robots, migration, and so on, such changes are normal - it is important that we find the optimal solutions. Respecting, participating in the religious rituals of the other, does not mean that we lose our personal belief, but it should mean only a social evolution.

Ritual as identity marker

Rituality is formal, repetitive and stable. Rituals tends to resist to changes. Instead of creativity, ritual performance implies conformity to traditional rules of stipulated patterns. (Moyaert, Geldhof, 2015, p.9). When we speak about rituals, we speak about `things that should be done in a certain way, according to tradition`.

If we would like to recall some characteristics of the rituals, we could say that they instill the idea of collective and individual identity and can emphasize the creation of the idea of "the person from the inside and the person from the outside". by extending these things, we can say that these are the negative lines of the idea of ritual. may induce the need to be different and sometimes lead to the idea of "superior to the outside". We could also say that these are the most difficult bridges to establish a dialogue. Participation in the rites of another faith can only be achieved until one point, because the differences in language, practice, understanding become at some point barriers. Is a normal thing that we should take into account, but this should not be a hindrance in promoting and achieving a dialogue between people belonging to different beliefs. Accepting the participation of persons of different beliefs in our rites can be a demonstration of tolerance and knowledge of the other. also accepting the other is an example of breaking religious, cultural borders.

Changing patterns of religion

Today, the standard understanding of monoreligious worship is being challenged. In the West, where societies are mixed from the point of view of cultures, ethnicities, beliefs, and so on, there is a diversity in participation in the practice rituals of society. Sociologists of religion explain how processes of detraditionalization contribute to a much more reflexive dealing with tradition, commitment, and identity, even to the extent that sociologists and religious scholars nowadays speak of `flexible believers` and their `fluid affiliations`. (Moyaert, Geldhof, 2015, p.10) So we can say that the tradition is no more transmitted in a naturally way, it started to be more constructed. The formation of religious identity is increasingly freed from the rule of conformity. (Moyaert, Geldhof, 2015, p.10) As the borders of religions become more permeable, religious identities multiply and ritual participation in some form becomes at least a possibility. (Moyaert, Geldhof, 2015, p.11)

As a conclusion of this part, academic literature must also evolve from this point of view - how the involvement of people belonging to beliefs, religions, ethnicities, and others is involved in the rites of others at the social level. More precisely, in society, people can make connections, dialogues, and even give birth to new forms of family - mixed marriages in terms of culture, ethnicity, religion - automatically contributing to the rapid formation of societies with values totally different.

We can say that the dialogue at the level of society is much stronger and is realized much faster than the one at the academic or representative level in terms of beliefs. Specialist literature needs to improve and look for ways in which new and rapid social changes are sustained and how they will be passed on. These specialized literatures will contribute - if carefully done and with a major interest to what is happening at the social level - to the development of legislation that will support the harmony of the companies that will appear.

Today, the `theological approaches` to interreligious dialogue should not be more interested in high tradition, should be interested progression and how interreligious practice can help to a better dialogue and relation between believers. The focus should no more be on myths, dogmas, creeds, because these can be subjected to various hermeneutical analyses that enable the disclosure of meaning and truth. The lack of interest from interreligious` theologians on the formation of what is believed, on the practical dimension of religion represented by rituals, prayers, prohibitions; is matched by a similar disinterest from liturgical theologians on the one hand and ritual scholars on the other hand. Inter-riting seems to be a blind spot for theologians of interreligious dialogue, liturgical theologians, and ritual scholars. (Moyaert, Geldhof, 2015, p.12)

Intention and intuition in multiple religious practice

When people enter the space or the practice of a religious 'other', they often experience an inner repugnance or discomfort that is prior or even contrary to any conscious objection. Jonathan Haidt (2012) has developed a model who identifies six categories of moral intuition, related to six sets of concerns: care/harm, fairness/cheating, liberty/oppression, loyalty/betrayal, authority/subversion, and sanctity/degradation. (Moyaert, Geldhof, 2015, p.25)

given the theme of this article, we can talk about a very important question: What are the reasons why a person participates in the religious and traditional rituals of another person or group? A question that comes immediately to everyone's mind is: What happens when someone is attending the ceremonies, prayers and rituals of another person who has a different tradition and revelry.

Among the reasons why a person would participate in ceremonies, rituals, and prayers of another person belonging to a different tradition and religion, we can mention: curiosity, family ties or kinship, study opportunity, tolerance, motivation to understand the community to which it belongs newer, a religious expression of being on the way to the ineffable, etc.

Interfaith prayer as a form of ritual participation

Interfaith prayer is both a phenomenon in its own right and encompasses what has occurred under the banner of interfaith worship. People of different faiths have occasion, from time to time, to join together in some form of prayer act, such as prayers for the world peace or community prayer in response to a shared event – usually a trauma – that can range across more than one religion so far as the input or content of the prayer act is concerned. (Moyaert, Geldhof, 2015, p.53)

From these lines, we can understand and say that from an inter-religious perspective, participation in the rituals and practices of others, or in multi-religious prayer actions, is a way to achieve dialogue through experimentation; through experience.

Over the past few years, we have been talking about many "dialogue through practice" actions because of the unfavourable events that take place because of people who are called as belonging to a belief but act firmly against the rules of that belief. for example, actions made in the name of religious extremism, make people all over the world gather together - at the same time while they are in different elbows of the world - and make prayers in support of victims, but also in sign of protest against religious extremism.

Recently, there was an attack in a mosque, followed by the days of an attack on a tram. Both attacks have been made in different corners of the world by people who have said they are followers of different religions. But of course thousands of other people belonging to the same religions revolt protested and demonstrated that religions do not call for terrorism. In protest of action, but also in consolation of victims and their families, thousands of people around the world gathered in public areas, brought flowers, lit candles and took a few minutes of silence. These are examples of interreligious dialogue and interfaith prayer. Interfaith prayer involves interaction – responsiveness and hospitality.

The question of language:

Language play vital role in our life: from childhood to the end. Even in religious life it has a primordial role. The words and sentences that comprise language can function at multiple levels and in myriad ways. Confusion and misunderstandings can quickly arise if the context and nature of the language used is not fully appreciated. While language can function like as a bridge, enabling communication to happen, it likewise can form a boundary. (Moyaert, Geldhof, 2015, p.61) It is to be taken into account that a prayer - whether it is done by the followers of the same religion or not - involves the use of words, gestures and actions. For this reason, language plays an important role and must always be careful that it does not constitute an impediment to bringing together those who realize interreligious prayers. Any linguistic misunderstanding can have profound consequences for interfaith dialogue. For this reason, we should have a look on intercultural communication.

A language is flash of the human spirit by which the soul of a culture reaches into the material world¹. The idea that the particular language we speak determines our perception of reality is best represented by the Sapir-Whorf hypothesis. They

¹ Davis (1999), p.65

proposed that language not only expresses ideas but also shapes ideas about and perceptions of the world.¹ According to them, language defines our experience. In other words, according to the words we use, it demonstrates culture and lifestyle. (Judith Martin, Thomas Nakayama, 2008, p.132). For example, the existence of a word for him or her, but more words to express "us", demonstrates that the idea of collectively was more pronounced in the culture and society concerned.

Social positions – social constructs embedded with assumptions about gender, race, class, age, sexuality, and so on. Learning another language means language acquisition. The studies showed that it is almost impossible for someone to learn the language of somebody who they dislike. Learning language lead to respect somebody culture. Nowadays we can speak more about interlanguage – native speakers of one language are speaking in another language. This phenomenon occurs both because of technological evolution, migration from service interest, study or even protection. But this "linguistic evolution" can create at least two reactions: the continuing desire to learn that language even if there are mistakes in writing or expression, or the rejection of language and the need to withdraw in the language and family habits.

Another important part of communication is the nonverbal communication – facial expressions, personal space, eye contact, use of time, conversation silence. Nonverbal communication can reinforce, substitute for, or contradiction verbal behaviours. (Martin,Nakayama, 2008, p.162) Nonverbal communication often communicates relational messages about how we real feel, how we see the interlocutor, and so on.

Intercultural communication

Today, intercultural interaction is a fact of life and this thing influenced the increasing cultural diversity in many contexts. This rapidly changing demographics are changing every aspect of our society. The internet, social media, are also facts that increase the diversity. Even if we speak about intercultural societies, diversity, and so one, we should not forget a very important fact: this rapidly changes do not help us to understand how people who differ in gender, age, nationality, race, religion, ethnicity, sexual orientation, and physical ability can get along better. So is here where the academical part should came and search about the facts, the problems, the solutions and the effects of the new rapidly social changes. In other words, by helping us with statistics, sociological, economic, and other research, we need to find answers to problems such as tolerance, interaction. Why in some parts of the world some intercultural interactions lead to cultural tolerance and others lead to violence.

If we were to look at this globalization - cultural interaction - economically, we could say that for many companies it is a good index of profit growth. Making a culture known, you can sell a product easier; the migration of people from one culture to another, makes those home companies / or even those of the newly-known society profitable because of "selling the culture abroad." Also, the fact that the labour force in a country is cheaper, makes some companies invest in producing a product in the host country, even selling it here by "culturalizing" it. To help bridge the cultural gap, many companies employ cross-cultural trainers, who assist people going abroad by giving them information about and strategies for dealing with cultural differences.

if we are talking about technology and inter-human communication, we could say that the monumental technological changes that took place in such a short time have greatly influenced the way we look - as humans - and what it means and how intercultural connections. The grow of the Internet has tremendous financial implications. The cyber commerce brings with it languages challenges. Because global businesses need to adapt to local language to sell the product, the move of language interest is toward multilingualism – rather than toward a global English Internet. So, if we came back to the language problem, we can see that the language has an important place in intercultural relations – all around the globe, but also local. In this process of learning and research about intercultural and interreligious dialogue, there is the idea of learning about patterns and identities - both individuals and those around them. So we can say that we are speaking about four skills that are important in this process: practicing self-reflexivity, learning about others, listening to the voices of others, and developing a sense of social justice. Identity plays a key role in intercultural communication, serving as a bridge between culture and communication. Identity is our self-concept, who we think that we are as a person. Our identities are formed through communication with others, but societal forces related to history, economics, politics, religion have a strong

¹ Hoijer, H. (1994). The Sapir-Whorf hypothesis, In L.Sampvar & R.E.Porter (Eds.), *Intercultural communication> A reader* (pp.194-200). Belmont, CA: Wadsworth

influence. It is difficult to change involuntary identities rooted in ethnicity, gender, or physical ability. Religious identity is an important dimension of many people's identity, as well as a common source of intercultural conflict.

Today, a growing number of people do not have a clear ethnic, racial, or national identity. These are people who live "on the borders" between various cultural groups. They develop a multicultural identity; they feel equally at home in several cultures. This kind of cultural identity appears as a result of being born or raised in a multiracial home. Others develop such multicultural identities because they are "global nomads" - the parents moved to different countries (business, missionaries, diplomats, military personnel, and others).

Benefits and challenges of intercultural relationships

The popular culture is very important nowadays and is influencing a lot the perception about the entire world. Most people have a variety of intercultural relationships that span differences in age, physical ability, gender, ethnicity, class, religion, race, and nationality. (Martin, Nakayama, 2008, p.237). This kind of relationships include benefits like breaking stereotypes, acquiring new skills, and learning about the world. In the same time, in intercultural relationships appear challenges too. Some of these challenges can be: motivation, differences in communication styles, values, perceptions, negative stereotypes, anxiety, affirming another's cultural identity, and the need for explanations.

Conclusion

As a conclusion, we can observe that there was a tendency for dialogue, knowledge - for various reasons, such as business, diplomatic, economic, travel - but today societies are much more dynamic and complex. This is due to the technological evolution but also migration - migration in the interest of education, employment, and especially today, migration for social security; the safety of one's own life. Thus, societies are much more complex and have to adapt to the cultural, ethnic, religious flow that they compose. Knowing the one next to becoming prominent, helping to ensure social harmony.

We need to consider social change, their evolution, and try to make better collaboration between members, regardless of social status, nationality, religion and others. For this to be possible, there is a need for openness and collaboration. Curiosity also has positive parts: the desire of knowing the other, without hanging it, makes society safer. By knowing each other without looking for their weak or negative points, they provide a better social understanding over time and a positive influence on future generations. We have to understand that the model we are creating today will be the one that will lead us tomorrow. Dialogue made from all points of view - social, educational, institutional, religious, and so on - will help stop the social crises facing the world today. If we try to find solutions to the idea of living together regardless of the background we have, we will influence society in many ways, including the environment. Taking into account one another and trying to promote a dialogue of knowledge, then we as people will become more attentive to the environment and how we "share" it and leave it to those who come after us.

Of course, such societies also have positive aspects: stereotypes begin to lack, tolerance becomes more pronounced, etc. But there are also barriers over which members must go: linguistic, cultural, ritual, practice, and so on. If we were to recall some solutions to such problems that we thought of, it would be the review and introduction of laws to help maintain social harmony, organize social activities in which each individual to participate and learn about cultures, ethnicities, languages, religions that surround him.

Bibliography

- [1] BECIU, C. (2011). *Sociologia comunicării și a spațiului public, Concepte, teme, analize*. Iași, România: Polirom.
- [2] BURCKHARDT, T. (2004). *Islamul, introducere în doctrinele esoterice*. București, România: Heral.
- [3] CORCUFF, P. (2005). *Noile sociologii, Construcții ale realității sociale, Traducere și postfață de Ion I. Ionescu*. Iași, România: Institutul European.
- [4] CUIU, C., GRESLE, F. (2002). *Istoria sociologiei, Traducere și studii introductive de Ion I. Ionescu*. Iași, România: Institutul European.
- [5] EKREM, M. (1994). *Din istoria turcilor dobrogeni*, București, România: Kriterion.
- [6] GAVRILUȚĂ, N., FRASIN, I., DINU VASILIU, C. (2013). *Unity and diversity in knowledge society; Anthropology and cultural studies psychology and educational sciences*. Iași, România: Institutul European.
- [7] GIDDENS, A. (1991). *Modernity and self-identity, Self and society in the Late Modern Age*. Stanford, California: Stanford University Press.

- [8] GIDDENS, A. (2006). *Sociology*. Cambridge: Polity Press Ltd.
- [9] GOLEMAN, D. (2007). *Beyond IQ, beyond emotional intelligence; Social intelligence, the revolutionary new science of human relationships*. New York :Bantam Dell.
- [10] HERBERT, L., ALBERT, N. (2005). *Figurative language comprehension, Social and cultural influences*. Mahwah, New Jersey: Lawrence Erlbaum Associates, Inc., Publishers.
- [11] LOCKE, J. (1959). *An essay concerning human understanding, Collated and annotated, with prolegomena, biographical, critical, and historical by Alexander Campbell Fraser*. New York, NY: Dover Publications, Inc.
- [12] MARTIN, J., NAKAYAMA, T. (2008) *Experiencing intercultural communication, an introduction*. New York, NY: Mc Graw Hill Companies, Inc.
- [13] MOYAERT, M., GELDHOF, J. (2015). *Ritual participation and interreligious dialogue, boundries, transgressions and innovations*. U.K: Bloomsbury Academic.
- [14] PICKERING, Michael. (2008). *Research methods for cultural studies*. Manchester: Edinburgh University Press.
- [15] PĂUȘ, V. (2010). *Comunicarea interetnică și interculturală*. Bucureși, România: Ars Docendi.
- [16] SOURDEL, D., SOURDEL-THOMINE, J. (1975). *Civilizația islamului classic, Volumul I*. București, România: Meridiane.
- [17] ZAMFIR, C. (2005). *Spre o paradigmă a gândirii sociologice*. București, România: Polirom.

The Effect of Central Banks 'Meeting Dates to the Share Prices

Eser Yeşildağ

Asst. Prof. Uşak University, School of Applied Sciences, Department of Banking and Finance

Hakan Karahan

Uşak University, Institute of Social Sciences, Master of Business Administration

Abstract

Central Banks have an important place in terms of stock investors because of their effect on the markets. The meetings of the central banks are monitored by all markets and the interest rate decisions announced in the meetings affect the share markets. Federal Reserve Bank (FED) is one of the most recognized and most influential Central Banks in the world. In the Turkish capital markets, most investors follow the meetings of the FED and the Central Bank of the Republic of Turkey (CBRT) and decide to invest accordingly. The purpose of this study is to investigate the effect of FED and CBRT meeting dates on share prices by means of event study method. In this study, the closing data of ten bank shares traded in Borsa İstanbul (BIST) between 2013-2017 were used. The results of this study showed that the dates of FED and CBRT meeting were effective on bank shares.

Keywords: Shares, Event study, FED, CBRT, Interest decisions.

1. Introduction

One of the instruments traded on the BIST Stock Market is the share of companies from different sectors. Shares are negotiable instruments issued by a corporation and representing a capital share of the corporation. (<https://www.borsaistanbul.com/en/products-and-markets/products/equities>: 21.04.2019). Market prices of shares, which are also expressed as equities, are affected by many factors. These factors may arise from the internal dynamics of the company or from outside the company.

One of the most important external factors affecting stock prices is the meeting dates of the central banks and the interest rate decisions taken. Central banks meet on predetermined dates, and stock investors influence the prices of stocks by buying or selling according to the decisions that can be made.

In addition to the major central banks that are generally followed in the world, there are also local central banks. Central banks such as the Federal Reserve Bank (FED) and the European Central Bank (ECB) are the leading banks in the world. At the same time, the Central Bank of the Republic of Turkey (CBRT)'s decisions affects the Turkish Capital Markets significantly.

According to the Effective Markets Hypothesis, it is stated that the dates of the meeting of the central bank and the decisions taken will not have any effect on the market price of the stock and therefore, no abnormal return can be obtained before or after these dates (Başkaya and Kaderli, 2017: 30).

Therefore, the purpose of this study is to examine the effect of CBRT and FED's meeting dates on the stock returns of banks traded in the banking sector.

2. Literature Review

The Effective Markets Hypothesis was developed by Fama (1965, 1970) (Erdem, 2015: 3, Tunçel, 2007: 253, Başkaya and Kaderli, 2017: 31). Fama (1965: 56) defined the effective market as a place where all market participants can easily access important up-to-date information and where there are many rational investors.

An event study method is used to determine if there is an abnormal return before and after an event.

There are many studies on the case study. In these studies, news such as capital increases, dividend distributions, mergers or acquisitions and new business ventures, the date of issuance of financial statements and recommendations of intermediary institutions are considered as events. And in these studies, the effect of the news on abnormal return was investigated.

Bozkurt et al. (2015) investigated the effect of the announcement of the financial statements on the shares. In this study which 167 companies and BIST100 index data were analyzed by the case study method, it was concluded that investors could obtain abnormal returns before and after the financial statement announcement.

Belen and Gümrah (2016) investigated the effects of the surprises in inflation statements on share prices. This study was conducted in Turkey and Event study method was used. The findings of the study revealed that abnormal returns exist but these returns were not systematically distributed.

Bedelova et al. (2017) investigated how stock prices traded in Borsa İstanbul are affected by the advice of intermediary institutions. In this study using the case study method, between 2007 and 2015, a significant relationship was found between Brokerage Analysts' Recommendations and stock prices in the short term. Furthermore, it is stated that abnormal returns can be obtained from the stocks after the event.

3. Data, Scope, Analysis Method and Hypothesis of Research

The data of the study, the method used in the study, the scope of the study and finally the hypothesis created are listed below.

3.1. Data and Scope of Research

BIST100 index is considered as the basic index of Borsa İstanbul (BIST) (<https://www.kap.org.tr/en/Endeksler>: 05.05.2019). In this study, share prices of 10 Deposit Banks traded on Borsa İstanbul BIST100 index between 2013 and 2018 were used as data. In order to calculate abnormal returns, the values of BIST100 index between 2013 and 2018 are included in the analysis.

Development and Investment Banks and Participation Banks were not included in the study. Banks and BIST codes included in the study are shown in Table 3.1.

Table 3.1. Banks and BIST Codes used in the study

The Name of the Bank	BIST Codes
Akbank	AKBKN
Denizbank	DENIZ
ICBC Turkey Bank	ICBCT
QNB Finansbank	QNBFN
Şekerbank	SKBNK
Turkey Garanti Bank	GARAN
Turkey Halk Bank	HALKB
Turkey İş Bank	ISCTR
Turkey Vakıflar Bank	VAKBN
Yapı ve Kredi Bank	YKBKN

The code information of the shares traded in Borsa İstanbul was taken from the Public Disclosure Platform (PDP) (<https://www.kap.org.tr/en/Endeksler>: 05.05.2019). The dates of meeting of the CBRT and FED for 5 years covering the years 2013-2018 is taken from their websites (<http://www.tcmb.gov.tr> and <https://www.federalreserve.gov>: 05.05.2019).

The daily closing prices of 10 bank stocks and BIST100 index at these dates were obtained from the Matrix Data Distribution Program.

3.2. Analysis Method of Research

In this study, Event Study Method was used. The daily returns of the stocks 10 days before and after the ordinary meeting of the Central Banks were calculated. Using these data, it was examined by the Event Study Method whether the meeting dates of the CBRT and FED provide an abnormal return on the stocks of the related banks.

3.3. Hypothesis of the Research

In the study, the following hypothesis was created and this hypothesis was tried to be tested. This hypothesis is:

H₀: The meeting dates of the CBRT and the FED do not have any effect on the stock returns of the banks.

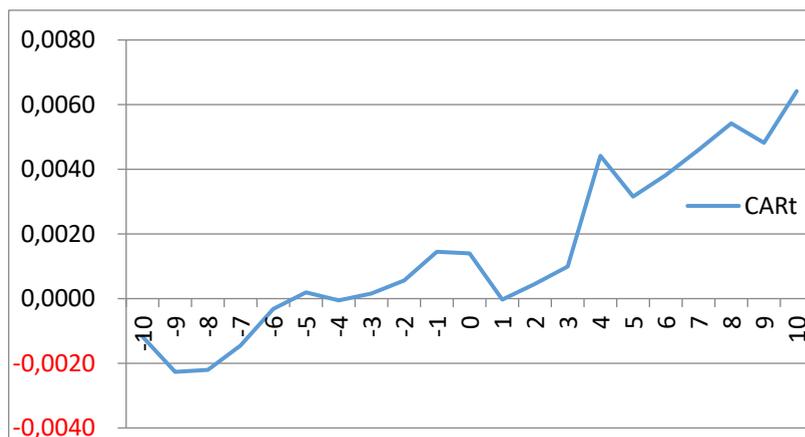
4. Findings

In this part of the study, BIST100 index and 10 bank shares' daily returns were calculated with closing prices. These data were then analyzed by the Event Study Method. The results of this analysis are shown in this section gradually.

4.1. Impact of CBRT Decisions on Bank Shares

In this section, the effect of CBRT decisions on the Bank's shares between 2013-2018 was investigated by the Event Study Method. Cumulative Average Abnormal Returns (CARt) were calculated by using the periodical returns of the shares 10 days before and 10 days after the event date of 2013-2018 and shown in Figure 4.1.

Figure 4.1. CARt data calculated for the impact of CBRT meetings on 10 Bank shares in 2013-2018 (+/- 10 days)



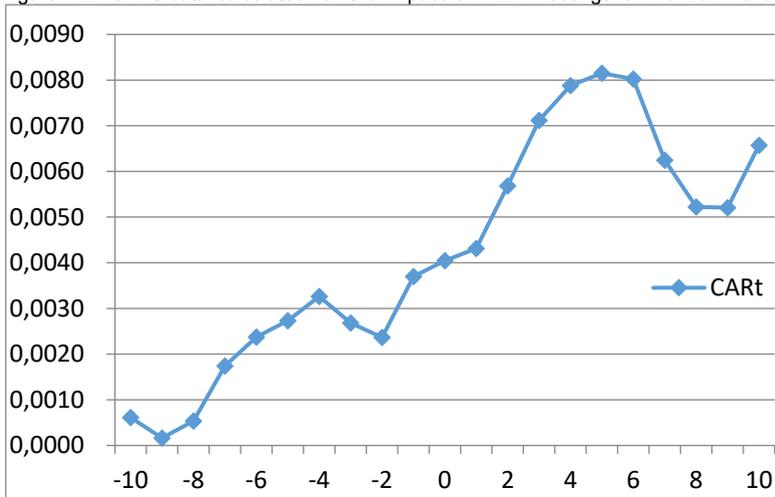
When the Figure 4.1 is analyzed, it is seen that the Bank shares were affected 10 days before and 10 days after the meetings of the Monetary Policy Committee (MPC) of the CBRT for 6 years between 2013-2018. CARt, calculated as the sum of the 6-year averages, shows that the Bank's stock returns are positively impacted by the MPC Meetings of CBRT in the short term. Despite the slight withdrawal at the meeting date, CARt has been drawing a rising trend 10 days before and 10 days later.

In the light of this information, it is possible to say that the hypothesis H₀ has been rejected and the hypothesis H₁ has been accepted. (H₀= the meeting dates of the CBRT do not have any effect on the stock returns of the banks).

4.2. Impact of FED Decisions on Bank Shares

In this section, the effect of FED decisions on the Bank's shares between 2013-2018 was investigated by the Event Study Method. Cumulative Average Abnormal Returns (CARt) were calculated by using the periodical returns of the shares 10 days before and 10 days after the event date of 2013-2018 and shown in Figure 4.2.

Figure 4.2. CART data calculated for the impact of FED meetings on 10 Bank shares in 2013-2018 (+/- 10 days)



When the Figure 4.2 is analyzed, it is seen that the Bank shares were affected 10 days before and 10 days after the meetings of The Federal Open Market Committee (FOMC) of the FED for 6 years between 2013-2018. CART, calculated as the sum of the 6-year averages, shows that the Bank's stock returns are positively impacted by the FOMC meetings of FED in the short term. A few days before the meeting date, returns have fallen a bit, but in general, stock returns have shown a rising trend 10 days before and 10 days later.

In the light of this information, it is possible to say that the hypothesis H_0 has been rejected and the hypothesis H_1 has been accepted. (H_0 = the meeting dates of the CBRT do not have any effect on the stock returns of the banks).

6. Conclusion

According to the Effective Markets Hypothesis, it is stated that the dates of the meetings of the Central Banks and the decisions will not have any effect on the stock market price and therefore abnormal returns cannot be obtained before or after these dates. According to the findings of this study, it has been observed that abnormal returns have occurred around the dates of both the CBRT (MPC) and FED (FOMC) meetings.

Accordingly, it can be said that H_0 hypothesis is rejected (H_0 , CBRT and FED's meeting dates have no effect on stock return of related banks) whereas H_1 hypothesis is accepted. In other words, the meeting dates of the CBRT and FED have an effect on the stock return of the banks. This result seems to be similar to those in previous case studies.

It can be said that the results of this study can benefit investors in terms of showing that abnormal returns can be achieved in a short period of time especially during CBRT and FED meetings.

References

- [1] Başkaya, H. ve Kaderli, Y. (2017), Measuring the Effect of Capital Increase Announcements on Stocks of Publicly Traded Corporations: An Application in Istanbul Stock Exchange, Journal of Aydın Faculty of Economics, Vol.2 (1), 28-42.
- [2] Bedelova, L., Yıldız, Y. and Karan, M. B. (2017). Impact of Brokerage Analysts' Recommendations on Stock Prices: Evidence from Turkey, The Journal of Accounting and Finance, Vol. 74, pp. 97-118.
- [3] Belen, M. and Gümrah, Ü. (2016), The Stock Market's Reaction to the Surprises in Inflation Announcements in Turkey, The Journal of Human and Social Sciences Research, Vol. 5, No. 3, pp. 428-441.
- [4] Bozkurt, İ., Öksüz, S. and Karakuş, R. (2015). The Impact of Financial Statements' Publications on Stock Returns: An Empirical Application on ISE, Journal of Finance Letters, 103, pp. 112-141.
- [5] Erdem, O. (2015). Changing Theories and Behavioral Finance, (<https://docplayer.biz.tr/26478537-Degisen-teoriler-ve-davranissal-finans.html>, Date: 23.04.2019).

- [6] Fama, E. (1965). Random Walk in Stock Market Prices, Financial Analysts Journal, Vol. 21, No. 5, pp. 55-59.
- [7] Fama, E. (1970), Efficient Capital Markets: A Review of Theory and Empirical Work, The Journal of Finance, Vol. 25, No. 2, pp. 383-417.
- [8] Tunçel, A. (2007), The Day of The Week Effect in ISE, Akdeniz University Journal of Economics & Administrative Sciences, (13), pp. 252-265.
- [9] <https://www.borsaistanbul.com/urunler-ve-piyasalar/urunler/paylar>, Date: 21.04.2019.
- [10] <https://www.federalreserve.gov>, Date: 21.04.2019.
- [11] <https://www.kap.org.tr>, Date: 21.04.2019.
- [12] <http://www.tcmb.gov.tr>, Date: 21.04.2019.

Crafting Sociability in Female Spiritual Practices: the Case of Boutchichiyyat

Sarah Hebbouch

Abstract

Research on *sufism* and female spirituality has centered on framing narratives of *sufi* women within individualized practices, constructing thereby *sufi* women as mere individual and assisting players in historical accounts of more famous male scholars. In recent years, academic interest has geared towards the investigation of *sufi* women's collective and ritualistic performance within structured *sufi* circles. Henceforth, this paper explores ways in which the gathering of *sufi* women of *Boutchichiyya*, a Morocco-based *sufi* order, in a *zawiya* mediates not only ritual performances but also promotes the rehearsal of sociability and social relations. The point is made that within a horizon that is viewed as a nexus where the ritualistic performance is what matters in a *zawiya*, *sufi* women's gathering is characterized by a sense of community, and interconnections between spiritual, social capital and socialization. In this 'pri-blic' (private and public) space, namely the *zawiya*, *sufi* women of *Boutchichiyya* enjoy privacy and communal life. Knowing that the *zawiya* is a segregated space, since men and women disciples perform rituals separately, one might surmise that the spatial division sparks gender inequality. However, this spatial segregation is an ideal of emancipation, which subsumes a spatial segregation of rituals, and constructs a realm of privacy, intimacy, and fervent ambiance women aspire to. This paper builds on findings of a qualitative ethnographic research, in which the researcher assumed a participant-observer role to generate a more focused discussion on whether the gender division of space highlights women's spirituality or undermines it. More precisely, this paper approaches the interactive relationship, which engages women's *sufi* experience with prevalent spatial politics in Moroccan society. In such a space where women come to learn and imbibe spiritual knowledge, social relationships are important assets for women's spiritual, social, and personal growth.

Keywords: sociability, *sufi* women, *Boutchichiyya*, *zawiya*, spatial division

Zawiya, Sufism, and Female Spirituality: What Implications?

Female spirituality remains a cause of disagreement between those who uphold the fundamentalist character of Islam and deny any feminine aspect to spirituality, and those who snub the possibility of gendering the *sufi* experience. (Cornell, 1998) Gendered spirituality can be considered as the dynamic of cultural, spiritual, and social roles both men and women play towards fulfilling a unanimous goal, which is that of having an ongoing endeavor to grow in their relationship with the Divine. The focus, throughout this study, is to highlight the subtle potential of female spirituality with a unique reference to women's spiritual and social performance. The exclusion of men's performative acts in this study is justified by a number of methodological boundaries. As a female, I have access neither to the realm of *Boutchichi* male gatherings, nor to any male *sufi* space in other *zawiyas*.

A *zawiya*, an edifice where *sufi* rituals take place, generates a conceptual ambiguity. There is a temporal and spatial division in the *zawiya* into a double space and time; one space is devoted for women while the second is for men. The two spaces remain distinct in terms of timing. When women's gathering is finished, women leave, and men's performance starts. It is not legitimate for a woman to violate men's privacy, since the *sufi* experience represents an ethical scheme laden with moral values.

The choice of the *Qadiri Boutchichi sufi order* can be justified by the fact that it embodies all the distinct forms of what a *Tariqa* or *sufi* order is supposed to imply. The order has been developed into a *sufi* organization and has cultivated practices in a way that makes law and *sufism* compatible to each other. The *Boutchichiyya* remains the creation of a moderate asceticism, which "allows the *sufi* to seek God sincerely while remaining involved with his society". (Babou, 2003: 313) A number of features common to the majority of Moroccan *sufi* orders irrespective of their degree of conservatism relate to

the rejection of “extreme mysticism” of the ascetics, who shun social life and place spiritual perfection over formal worship”. (ibid). The final project of most Moroccan *sufi* orders, including *Boutchichiya*, is to endorse a *Sufi* ideology that is called by scholars “minimalist *Sufism*”, which differs greatly in depth and breadth from orthodox rituals and forms of worship.¹

The choice of the *Boutchichiya*, as a case study, stems from the fact that it is the only *Tariqa*, whose spiritual figure is still alive. It, therefore, mirrors the full vision of a complete *sufi order*. In a *sufi* circle, the presence of a living master or *sheikh* is paramount in the life of disciples who are “bound to teachers by ties of respect and affection”. (Malamud, 1994: 432)

More importantly, the significance of this study is predicated upon the premise that contemporary literature and research has neglected Moroccan women’s position in spirituality. A historical study of women’s spirituality attests to the religious and social peculiarities, which prevailed in society, at large. *Sufi* women were not necessarily relegated to the domestic sphere nor were they immensely debarred from religion. Rather, the religious division of labor sparked by fundamentalist Islamic discourse made women’s religious practices more concealed and informal. The fulfillment of women’s performance of everyday spirituality happened outside formal spheres of worship, orthodox, and rigid Islamic practices, as incarnated in the mosque. (Cruise O’Brien and Coulon, 1989)

Adherence to *Sufi* orders and *zawiyas* mediated the institutionalization of the notion of an organized struggle. The once marginalized group (*Sufis*) believed that spirituality could re-orient religion to a more gender sensitive exegesis of the religious texts, and more tolerance to women’s presence in a secluded area in order to engage in a mystical practice. Because of their limited sphere of action, they have battled both “the male-dominated Muslim territory and the mainstream secular culture”. (Galín, 2007: 114)

Sufi women have had it that in order to escape the reality reproducing the prevalent spatial division, they have been required “to carry out their spiritual activities away from the public gaze”. (ibid) In the words of three female *Boutchichi* informants on the spiritual division of rituals, they claim that disciples belonging to this order are undergoing a new mobility and public visibility. This has led to increased potential for empowerment in relation to women’s attitudes, and has altered perceptions, since women, Galín, citing Raudvere, opines, have been able “to get past the public/private dichotomy working against them”. (ibid)

Female Spirituality between Empowerment and Sociability

A close investigation around the concept of empowerment is liable to unravel an ambiguity surrounding the ideology behind it. This was in fact a concept that came from within the feminist movement, but often lacked “a clear definition and consistent usage”. (Bordat et al, 2011: 91) Therefore, the most flagrant definition of empowerment in relation to *Sufi* women is the tendency to embody a grassroot-level mobilization that accounts for a social change and the dynamics of *sufi* women’s roles.

Boutchichi women tend to converge in the advocacy of a spiritual experience that has become a new constructed form of public of private sociability, but it remains impossible to dismiss the religious-cum-spiritual character of women’s spiritual experience. A close examination and observation of *Boutchichi* women inside and outside the *zawiya* reveals that spirituality is more than a religious experience. Rather, it is a panoply of distinct social features, which embody a sociability model. But, what are the social ramifications of female spirituality within the *Qadiri Boutchichi* order?

The word “sociability” displays often the relative disposition to be sociable with somebody, which originates from the works of the Russian social anarchist, Peter Kropotkin. (as cited in Gillespie Cook, 2015) The word, indeed, brings a whole body of connotations; it indicates the ability to be in love with the company of others while it implies as well the propensity to chase social contact with others. Sociability highlights a set of prerequisites for the maintenance of a social group. What characterizes these social groups is social drive, attachment to one another, friendship, affiliative drive, sensation seeking, social support, social interaction, and sociotropy.

The intention behind such lexicalization is to convey a particular point of view about a given social group. It carries an ideological significance that contributes to the understanding of the workings, happenings, and mental generation of a social group. However, at a deeper level, the interpretation of social drive, attachment, and sociotropy, respectively generates psychological implications on the part of adherents to a particular social group. While sociability, sociotropy-

¹ See Fernand Dumont, *La Pensée religieuse de Amadou Bamba*, (as cited in Babou, 2003 : 313).

person's tendency to place great value on relationships over individual independence that will leave them susceptible to depression because of a loss of a relationship-, and social drive can help fathom the mutual attachment among adherents of a particular social group, they could themselves be strategically sources of depression and frustration to these members.

In the realm of disciples and *sufi* orders, sociability is an idealized version of social activity and "may strengthen the community of the order and so assist in *sufis'* practices. Sometimes, sociability may become the main feature of an order". (Sedgwick, 2003: 59) The first remark we can make about this passage pertains to the significance of the social capital among the community of disciples. The main principle governing relationships in a *sufi* order is the communal life. This communal aspect of *sufi* orders becomes more apparent in cities, where "such social *sufi* orders may blend into each other to produce a sort of general *sufi* milieu inhabited by people who may not even follow a particular *sheikh*, but who attend a variety of *dhikrs* and *mawlid*s, listen to chants and music, meet friends, talk, and drink tea". (ibid)

Boutchichi women have outlined a social reform; -not in a literal meaning of the word-, that has reconstructed the realm of the *Tariqa*, in general, and the world of the *zawiya*, in particular. This social reform regulates relationships and guidelines governing members of the *Tariqa*. Nonetheless, they remain tied to the spiritual idea of the order, which seeks to homogenise the spiritual experience among disciples, and allows its accessibility to all social strata. This articulated model of a new form of *sufi* sociability, as manifested in *Boutchichiya*, serves to explain the social aspect of religiosity. *Boutchichiyya* delineates a detailed roadmap towards establishing a social-cum-faith- based order.

The main social and religious activities are carried out inside a *zawiya*, where the *Boutchichiyyat*'s social and religious outline manifests. The *zawiya* constitutes a residue of pure sociability, because it is where female disciples feel they need to belong. For female spirituals, the *zawiya* promotes privacy and represents "real world" networks in an enmeshed world of *zawiya*.¹ The words 'social and sociability' are accentuated since the lexicalization serves to convey a certain worldview. The two terms have an ideological significance that derives from the debate of whether or not *sufism* disengages social life. *Sufism* or spirituality was a marginal social phenomenon in Moroccan society for a number of reasons. The first pertains to the unorthodox activities *sufi* orders were defamed for. The second major reason is on par with the negative representation spirituality was associated with because of harboring women. (Derrazi, 2015) In addition to the fact that *sufism* was confined "to the literary and poetic realms". (Golestaeli, 2014: 1)

Indeed, *Sufism* has sought to establish the underlying foundations for the social well-being of its followers. This spiritual institution's primary role was not to help the needy or the homeless only, but to deflect society as a whole into a more balanced ethical, spiritual, and psychological welfare. The reason why spiritual institutions are called orders or *Tariqas* pertains to the establishment of a societal organization characterized by complete conformity to the standards and requirements of a *sufi* order. This is how a forty-two year old informant describes her experience with the *Boutchichiyya*:

I was diagnosed with an ear infection, and was urged by the doctor to proceed with a surgery, which I could not afford because I lacked sufficient healthcare insurance. It was hard for me to pay for the medical services. *Lfaqirat* knew about my financial situation, and so they urged each other to collect money for my surgery. I cannot describe my feelings when I found out about their emotional and financial support. I was only hoping that they would keep me in their supplications. It is such a blessing to have people in your life, who worry about your healthcare, and who would proceed with your billing regulations only because they love you. (Interview, December 2017)

In this testimony, there is a representation of the community of female *Sufis* as one entity, and the way religious sociability spurs a feeling of sympathy and affiliation. The spiritual experience provides women with one of the unique opportunities to enter into rapport with other co-sisters, expand the network of relationships, and strengthen bonds of solidarity among each other. However, *Sufi* women's strategic solidarity and communion is a result of the cultural capital they acquired through 'praxis' and through being socialized within a particular social group, which creates thereby a sense of sociability and solidarity, and group position. In his reflection on the concept of practice, Ortner (2006: 129) as cited in (Kupari, 2016: 10) foregrounds the importance of practice in "human activity which simultaneously constructs both individuals as social being and the social world that surrounds them". It is through such performances as solidarity that individuals "internalize cultural symbols and meanings". (ibid) Through this reading, what makes the process of influencing the spiritual experience and the exposure to its impact is routinization, which in parallel, becomes social reproduction. The experience within a *Sufi* order is impacted by principles of the sacred that female disciples share. There is, indeed, a unanimous agreement among

female disciples about certain forms of cultural capital and the physical embodiment of these symbolic dispositions. The shared cultural capital is a major source of social equality among disciples.

More importantly, what is specific to women's experience in a *sufi* order is the definition they bring to themselves "as keepers of traditional values who wish to live like the pioneers of Islam". (As cited in Galin, 2007: 113) Within the *sufi* tradition, women do participate in the gender-segregated rituals and enjoy the accordance of leadership roles. It is noteworthy that in such rituals, women are more likely to enjoy the comfort of their privacy. In the case of *Boutchichi* women, interviews have unraveled women's satisfaction with the rituals' segregation as many of them envision the woman-only gathering as an encounter in a festive atmosphere of conviviality and love. One of the informants confessed her impression with the fact that in the *zawiya*, which lay people would consider 'a space of seclusion', "we feel happy to have a space for our own, where we can meet, perform our *dhikr*, converse, and debate. We would not have been at ease, had the *dhikr* been comingled".

The *Boutchichi Tariqa* remains distinct by virtue of its potential, which spatially and temporally differentiates women and men's rituals. The inherent tradition in most *sufi* orders is the gender division of rituals. Research informants recognized the segregation as a common practice that does not relegate any gender to any peripheral position. Rather, it is a tactic to escape constraints levelled from men against them. The practice of division puts essentially less control and regulations on women's mobility inside the *zawiya*. The argument comes to confirm suspicions about *Boutchichi* women's attitude towards the patriarchal system. It also elucidates whether or not patriarchal interpretations to religion have been restrictive to them.

Actually, none of the women interviewed for the research, irrespective of their 'educational or career background' have converged in the advocacy of being resistant to a patriarchal system. A female disciple I have addressed the issue with claims that once in the *Tariqa*, and inside the *zawiya*, gender conflicts and segregation fade away:

We are all one community, and one body whose main objective is to bear and respect each other in order to fulfill the reason we are here, which is the love of Divine. I have never thought of spatial division as a suppressing idea, but as a slot for our privacy. If men were with us, we would not have felt at ease.

In the course of this research, *Boutchichi* women have often rebuffed the possibility of sharing rituals with men out of fear that their privacy might be violated. Interestingly, there is a common denominator that links *Boutchichi* men and women; both of them agree to the premise of keeping the tradition intact; that is, not allowing the violation of the ethical regulations of the *Tariqa*.

Furthermore, within the order, the majority are educated, with the exception of a few illiterate women. Illiterate women belonging to the *Boutchichiyya* are mostly old women, who did not have the chance to attend schools. However, the majority is educated with a minimum degree of literacy. Women I interviewed think that it is increasingly evident for girls to be educated because through education, women can redirect society to a healthier life. "With a degree in pockets and open-minded views, everybody will respect me. If you are illiterate, people will look down upon you, derogate you, and consider you an outcast", explains a female disciple. She adds in amusement:

Imagine, "ya lalla" (referring to me as Lalla), if I am illiterate. I will be unable to debate ideas with educated people, would not handle difficult situations where I have to show my academic skills". She laughs and says, "Sidi [referring to the *sheikh*] asked us to learn and educate our children because he knows the value of education, and knows very well that being an educated woman, one can change the world surrounding her".

This narrative, among others, mirrors the intersection of a number of debates around the themes of education, women, and marginality. The objective here is not only that of discussing women's spiritual experience within the *Tariqa* as a display of a culture of sociability, not merely as a site for the production of narratives around the community life and spirituality, but also as a social arena with some interesting cultural and social dimensions. Women of the *Boutchichiyya* embrace a critical perception about the significance of education in women's life. This awareness is further reinforced by Margaret Malamud's sensibility when she notes that *sufi* orders "developed ways of defining and transmitting spiritual knowledge", which has been channeled through education. (1994: 428) This helps understand the heterogeneity surrounding the community of *Boutchichi* women, who embody different forms of social and cultural realities, different modes of binarization, and different narratives, but remain overall in unison.

In fact, there has been an important evolution in Moroccan women's perceptions of and attitudes toward spirituality. Medieval and pre-protectorate hagiographies depict the *sufi* experience as being restricted to a particular social category and a specific age. Nowadays, *sufi* orders in general, and, the *Boutchichiyya*, in particular encompasses a large spectrum of young educated and mostly working women within a context of previously scant number of women. In essence, age in Moroccan culture is a denominator of certain activities and an epitome for several stereotypical continuities. Young and old women spend, in their own capacity within the order and inside the *zawiya*, much or sporadic time with the desire to alter their suboptimal realities through an "episodic celebration" within a structure of a *sufi* order. (ibid) The *zawiya* is a pilgrimage place for literate, highly educated, as well as uneducated women.

Importantly, the archeology of *sufi* women's educational background is largely heterogeneous. *Boutchichi* women, based on field observations, have a panoply of academic backgrounds. The vast majority consists of an educated elite occupying different positions, and are, thus, concomitant with the order's philosophy. This educated category represents a diverse group of positions. Their occupational status may vary from engineers, doctors, teachers, to state officials. They are usually young disciples. On the other hand, the elderly of *Tariqa* constitutes the illiterate minority.

Besides the fact that these women encroach on this space with distinct educational and academic backgrounds, quite a large number of them have been pulled over to the order through a rippling effect of the family network. Many women I have interviewed claimed that their families influenced their attraction to the *Tariqa*, revealing that they discovered mysticism through their relatives and parents. Between family and spirituality, the *sufi* experience is marked by a politics of the family's role. An informant, whose parents constituted the major influence in her spiritual life, claims that being part of the *Tariqa* increased disciples' community and 'emotional harmony':

I am very thankful to my parents who played a crucial role in bringing the order to my life as well as to my siblings'. Since childhood, I witnessed the happenings inside the *zawiya*, the evolution of the love of *Tariqa* inside my parents' mind and mine. When the children spent a considerable time in the neighborhood's streets, I was cherishing moments inside the *zawiya*. The *zawiya* was a playground, a school, and people inside it were my family. We grew up discovering the hidden treasure (*kenz Imakhfiy*) of the *zawiya* and the *Tariqa*, which is that of *Tarbiyya* (education). My family educated me, and so did the *Tariqa*.

The unequivocal relation between family and the *Tariqa* also reflects the social role they both underline in the socialization and education of children. Sociability inside the *zawiya*, and, thus the order, allows the establishment of a cohesive meridian life, and the support of its adherents in fulfilling their learning goals. More importantly, *Tariqa* is construed in this context as a complementary centre of learning that teaches perseverance, self-respect, and tolerance, and it is a harbor for cooperative ventures among *murids*. The discursive pattern circulating in *Boutchichiyya's* discourse emphasizes the significance of *Tarbiyya* (education) in the life of disciples.

Tarbiyya as a Social Pattern in Female *Boutchichiyya's* Spiritual Growth

Tarbiyya or education is a spiritual life guide, and the ultimate goal any disciple should aspire to reach. *Tarbiyya* is germane to a roadmap of social, cultural, and ethical responsibilities disciples should comply with. *Tarbiyya* is a spiritual training any disciple undergoes to develop knowledge about the psychology of the enemy, which is *nafs* (inner self). In essence, *nafs* is the human's inner self that lures people in favor of their lustful desires and earthly pleasures. *Tarbiyya*, as I have managed to perceive from my informants, is to take pleasure in the skirmishing with one's enemy: the *nafs*. *Tarbiyya* is when a disciple starts learning the tricks and traps of escaping the arduous experience of being a victim of one's *nafs*. When a disciple acquiesces to their *nafs*, good training and proper education respond to crises; thus, every situation becomes a religious situation or a learning situation.

It is necessary to delineate *Tarbiyya* as a blueprint; it is a concept rehearsed within the *zawiya* and, a recurrent discursive leitmotif of the order. When a novice disciple joins the order, it is important to remind him or her of the ultimate goal of the order, which is that of the integration of *Tarbiyya* in the functioning of the *sufi* path. The concept of *Tarbiyya* remains ambiguous by virtue of its broad sense, but it is another facet of socialization. In addition to that, the order "dedicates an entire division to supervise and conduct *Tarbiyya* activities, called *Qism al-Tarbiyya*, or the socialization department". (Al-Anani, 2016: 84) This gives one a clear-cut vision about how the socialization process is undertaken within the order. Inside the *Tariqa*, there are organizational units that collaborate with each other to contribute to the spirit of the community; hence,

the major role here is to move forward and put the vehicle in gear because the more disciples progress, the more they recognize the genius of their life.

The *Tariqa* is committed to a societal and religious reform that seeks to repudiate the aftermaths of westernization and the degeneration of morals and values in today's society. *Tarbiyya* reflects the vision of the *Tariqa's* *sheikh*, Sidi Jamal *Qadiri Boutchichi* and his predecessors, and mirrors his laudable goal to achieve a higher station (مرتبة) of *al ihssane* (spirituality) in the *murid's* journey, which is "marked by a profound knowledge of God".¹ (Flah, 2016: 2)

The *Tariqa* offers an alternative self-learning opportunity for the *sufi* community through the medium of *Tarbiyya*. *Tarbiyya* is outlined in the writings of disciples, is embodied in the manifesto posted on the *Tariqa's* website, in the argumentative discourse of the order, in the lectures of *mqedmin* and *mqedmat*, and is present in the literal use of language. The passage below is a translated excerpt from a lecture I attended in a *zawiya* in Casablanca: "We must wake up, altogether, dear *faqirat*, follow the premises of our *Tariqa* and our spiritual fathers [referring to the *Sheikh* and his late father]. You cannot find *Tarbiyya* in the manuals, but you can only acquire it through learning from the deeds and sayings of the *sheikh*". (November 2017, Casablanca) The use of "must" is a call to reinvigorate the practices of spiritual training. In this sense, *Tarbiyya* is ascribed to the discursive instruction, which is present either in a direct relationship between the *sheikh* and disciple, and through the initiation process that *murids* undergo once they start attending gatherings in the *zawiya*.²

The use of the word "we must" indicates a moral obligation and a tendency towards collaboration among female disciples. The argument here is to shift the direction of disciples towards the performance of spirituality and spiritual training through the acquisition of experiential knowledge from its direct source, which is the discursive instruction and verbalization canalized through the *Tariqa's* ideological and discursive forms. A close investigation of the passage unravels that this kind of discourse aims at making *Boutchichi* disciples acquire *Tarbiyya* neither from *sufi* manuals and texts, nor from academic literature, and sources but from praxis or first-hand experience of spirituality. It is necessary at this point to place this concept (*Tarbiyya*) and other concepts (*mahabba*, purification, *nafs*) within an appropriate framework that comes at the junction of several *discussions* relating to the *Tariqa's* blueprint of education. The *Tariqa's* framework is a style life option and a pattern of life that accounts for the plurality of the *Tariqa's* social and religious fabric, and aims at responding to the needs of the *Sufi*. Such a strategy "can always determine where a disciple is in the journey through the various stages of the mystical path". (ibid: 70)

My observations of the weekly gatherings attest to the fact that women, who occupy societal functions, continue their journey in the *Tariqa* as learners as well. The premise foundations have it that the first teacher of human kind is a mother. It is no wonder to find that women are involved in the *Sufi* experience more than in any area life. They often serve as canals of information to their children and surrounding. Additionally, they assure the continuity of a *Tariqa*, because they are enmeshed in a web of give and take (teaching and learning). If a woman learns the value of spirituality and education, she is likely to contribute to a better re-conceptualization of the enterprise of *Sufism*.

Within the *zawiya*, where most learning takes place, women expose the potential inquiries they have to the attendees, with a usual hope to find answers, which they do. I was a witness to a telling incident in one of the gatherings, where a mother, who is also a disciple, shouted at her daughter who was playing with cushions in the corner of the *zawiya*. When *Imqedma* finished her sermon, she turned to the woman and told her, "please, never shout at your daughter. She is *bnt triq* [the daughter of *Tariqa*] and we are all responsible for educating our children. *Tarbiyya* is to make her love the *Jam'e* (gathering) and not despise it". What was interesting in this incident is how *Tarbiyya* of children, which is a private concern, can be an issue of contention among the community of *sufi* women. *Imqedma* knew that the success of *al jama'* depended in part on the strengthening of the values among women. The word "*bnt triq*" signifies the collective concern of women belonging to the *Boutchichiyya* about the education of their children. By mending a parenting deficiency, *Imqedma* was also instructing the woman on how to behave inside the *zawiya*. Within the *Tariqa*, every disciple is involved in the *Tarbiyya* of other *murids*,

¹ I recall here the concept of *al ihssane*, translated into spirituality, which is reminiscent of *al-Adl Wal Ihsan* (Justice and Spirituality Group), a semi legal Islamist Group that has been rallying against the monarchy and Moroccan politics. The concept of *Al Ihssane* was utilized by the *Jamaa* to "preserve [its founders] supremacy as a spiritual leader". (Tozy, 1999 cited in Flah, 2016: 2)

² Seesemann (2011: 70) notes that *Tarbiyya* does not relate to the discursive instruction. He notes that "the locus of spiritual training is the master-disciple relationship, not the public or semipublic arena of *Sufi* writings or sermons...[only] [a]ccomplished masters are able to recognize these experiences when they occur".

because the female *murid's Tarbiyya* is perceived to be contributive and denotative of the collective identity of the order, and to the spirit of community.

Within the order, there is a deliberate obliteration of the binary of educated and uneducated, and hence, the avoidance of such issues as social positions and academic attainment is due to the religious borderlines of *Tariqa*, which are flexible enough to encompass people hailing from different social and cultural backgrounds. Therefore, it is the ethical, religious, and spiritual identity of the disciple, which is empowered within *Boutchichiyya* and *the zawiya*. The interpretation allows distinct disciples to reconstruct otherwise a new identity irrespective of their former identity markers. The image of a new identity is likened to a doctrine of rebirth associated with repentance in Islamic theology. From an Islamic perspective, a misbeliever is encouraged to repent from the wrong deeds, and, thus, acquire a new identity, as embodied in the rebirth theory, and cultivate an opportunity to experience a true life as outlined in traditional Islamic belief.

While the *Sufi* experience has been reserved in scope and action for the male community, more women have conquered *Boutchichiyya* as a pattern of life because *Tariqa* is open to women's visibility. A striking observation of women's experience inside the *zawiya* reveals a tendency among *Sufi* women to annex mentally the *zawiya* space with the mental construction of home. A female disciple describes the dominant traits of women's experience once they affiliate with *Boutchichiyya* as follows:

While men congregate in the *zawiya* for *dhikr*, our experience differs greatly from theirs. As in my case, I had no other place to learn and practice my spirituality. The *Triq* (referring to the order) was my shelter. It is an experience full of love and a strong desire to meet our beloved sisters. I was spiritually empty, but being part of a whole helped me fill that void inside me.

The testimony depicts the aural change that women have experienced during the ritual of initiation and instruction. It displays the aspects of collectivity, harmony, and *mahabba*. Within the premises of *Tariqa*, women experience indulgence in the love of their co-disciples, through "a participatory ritual to which every [*faqira*] is invited to take part". (Graiouid, 2011: 70) Women's experience within the order remains distinct by virtue of the potential to participate actively in the social and religious life. They go to the *zawiya* to learn about the rituals, and take part in the *dhikr* session, while at the same time engaging in discussions and socializing with other *faqirat*. Therefore, the point is made that the communal aspect is what characterizes women's encounter. Hence, the *zawiya*, as a marginal space is reterritorialized as a fervent hub of spirituality and sociability. It is a space that is fraught with aspirations, symbols, love, sociability, *Tarbiyya*, and communion.

References

- [1] Al-Anani, Khalid. (2016). *Inside the Muslim Brotherhood: Religion, Identity, and Politics*. New York, NY: Oxford University Press.
- [2] Babou, C. (2003). Educating the Murid: Theory and Practices of Education in Amadu Bamba's Thought. *Journal of Religion In Africa*, 33(3), 310-327.
- [3] Retrieved from
- [4] www.jstor.org/stable/1581852 Derrazi, H. (2015). تمثلات و ملامح لنباء عالمات و صالحات (Tamathulat wa malamih' li nisa' a'limat wa salihat) ("Representations and Aspects of Female Scholars and Virtuous Women". In: B. Rouyan, M. Bouanani, M. El Ghayeb and A. Belfaida, eds., Moroccan Sufism: A source of Illumination and Communication, First Edition. Kénitra: Publications of Faculty of Arts and Humanities-Kénitra, pp.217-240.
- [5] Cornell, V. J. (1998). *Realm of the saint: Power and authority in Moroccan Sufism*. Austin: University of Texas Press.
- [6] Cruise O'Brien, D. and Coulon, C. (1989). *Charisma and Brotherhood in African Islam*. Oxford: Clarendon Press.
- [7] Flah, Loubna. (2016). The Discourse of *Jama'at Al Adl Wal Ihsan* (Justice and Spirituality Group) on the Concept of Democracy. Dubai: International Journal of Linguistics. Retrieved from
- [8] <https://semanticsarchive.net/Archive/.../FlahDubai2016.pdf>
- [9] Galin, Mügé. (2007). *The Book and the Roses: Sufi Women, Visibility, and Zikir in Contemporary Istanbul*. [Review of the Book, by Catharina Raudvere]. *Journal Of*

- Middle East Women's Studies*, 3(2), 112-115. Retrieved from
https://books.google.co.ma/books/about/The_book_and_the_roses.html?id=qyclAQAAIAAJ&redir_esc=y
- [10] Gillespie Cook. et al. (2015). *Sociability, Social Capital, and Community Development: A Public Health Perspective*. Springer, in *International Perspectives on Social Policy, Administration, and Practice*. Retrieved from
- [11] <https://www.springer.com/gp/book/9783319114835>
- [12] Graioud, S. (2011). *Communication and Everyday Performance : Public Space and the Public Sphere in Morocco*. University Mohammed V, Faculty of Letters and Human Sciences Publications.
- [13] Kupari, Helena. (2016). *Lifelong Religion as Habitus: Religious Practice among Displaced Karelian Orthodox Women in Finland*. London: Brill Academic Pub.
- [14] Malamud, Margaret. (1994). Sufi Organizations and Structures of Authority in Medieval Nishapur. *International Journal of Middle East Studies*, 26(03), pp.427-442.
- [15] Retrieved from
- [16] <https://www.jstor.org/stable/163697>
- [17] Mark, Sedgwick. (2003). *Sufism: The Essentials*. Cairo: The American University in Cairo Press.
- [18] Retrieved from:
https://books.google.co.ma/books/about/Sufism_the_essentials.html?id=XY_ZAAAAMAAJ&redir_esc=y

Towards Which Model of Capitalism Are the Countries of Central and Eastern Europe Going to? Comparative Analysis of this Trajectory and Its Post-Transition Issues

Oriola Musa

PhD. Candidate European University of Tirana; Faculty of Economics
Branch: Sustainable Economy & Development

Abstract

The end of the Socialist System marked the apparent victory of his adversary: the Capitalist System. Meanwhile the "Recipes" for building the Capitalism in the Countries of the East were Standard and fully complied with the "Washington Consensus" led by the IMF and the World Bank, the reality itself nowadays is facing these Countries with two different challenges. On the one hand, their individual developments during the transition process were very different and their situations quite specific, on the other hand, today they should answer the question towards which model of Capitalism are they going to or privileging: The Anglo-Saxon Model? The German-Scandinavian Model? The French State Capitalism Model, or the Japanese Co-Operative Model?

Keywords: Socialist System, Capitalist System, Models of Capitalism, Western Capitalism, Post-Socialist Capitalism.

Introduction

Fundamentally, the Post-Socialist transition represents a unique historical experience of organizational, institutional and systemic changes occurring simultaneously in a large group of countries. This very unique experience in modern history poses a great challenge for Economists, Sociologists, Politologists, etc. to elaborate and analyse the "substance" of this extraordinary and unprecedented economic-social change. How did particularly Economists "respond" to this Post-Socialist challenge? Were these countries copying one of the consolidated models of Western Capitalism, or were they contributing to the increase of capitalism variations with a new model of "Post-Socialist Capitalism", which was considered as typical for Central and Eastern Europe? Can we apply the same answer to the whole group of former Socialist countries, or should they be considered as sub-variations of such Post-Socialist emergency capitalism? Are two decades enough to make sure that these countries have managed to consolidate a certain type of capitalism, or do they still need time to acquire their sustainable profile? Though most of them, perhaps the most developed, are currently part of the EU member states, there is still one question to be posed, as the EU itself does not have a standard Capitalism Model, on the contrary, it has at least three different and competitive models in place: Anglo-Saxon Capitalism, Social Democratic Capitalism and State Capitalism. One of the preliminary conclusions is that at least until the beginning of the global financial crisis that significantly hit eastern countries, their "fascination" is observed after liberal Anglo-Saxon Capitalism.

Theoretical considerations on Post-Socialist transition

Does the Doctrine of Transition exist?

The beginning of the transition period, during early great post-socialist transformation, corresponds to a particular context of economic development mindset. The neo-liberal and anti-interventionist spirits or schools dominated in the west, which in the early 1980s with "Thatcherism" and "Reaganism" directly opposed the dominant theory and practices of Keynes widely followed from the end of World War II. Hayek's and Friedman's views and ideas totally shifted the neo-Keynesian, whereas in the meantime the "east" marked the failure of reformist theories of socialism while the structural and systemic crisis of socialism appeared in scary proportions.

Major international organizations, whose role would be essential to the political orientation of "great transformation," represented the essential embodiment of the neoliberalism of the time. This is the "special" case of the "Washington consensus" between the IMF and the World Bank, while the EBRD, the OECD, the EU and the governments of the main Western countries essentially shared the same neoliberal principles. Only the UN and the UN Economic and Social Council – ECOSOC, due to their traditional ties to "Keynesian doctrine", seemed to have a somewhat different position to "the spirit of post-socialist reforms".

Such was the link where the so called the "Doctrine of Transition" was based, which imposed on all central and Eastern Europe countries. This doctrine contained various influences and trends such as: the monetary concept according to which "inflation is the greatest evil"; unemployment is a structural adjustment variable oriented by the structural conditions of the economy; the rational anticipation of economic agents, according to the neoclassical thesis, minimizes to the utmost the desire and effects of state interventions; according to the concepts of the supply economy, "the demand is secondary compared to the supply"; Hayek's concept according to which "the market is self-regulating and there is no need for State intervention," or Adam Smith's "invisible hand" theory; the belief that eastern countries should only favour the "Minimum State"; the philosophy of the "Washington Consensus" based on "sacred trinity - stabilization, liberalization, privatization".

However, the basis of this doctrine were basically based exclusively on the "*Neo-Classical Mainstream*", in individual rationality, in the paradigm of the general equilibrium, in the efficiency and the optimum of a transparent and competitive market, in the efficiency of resource allocation, etc. All this reasoning ultimately relied on a normative view of an ideal theoretical situation of equilibrium and transparency. Thus, applying this scheme to the transition conditions, we conclude that: the situation of the final equilibrium, previously known as the "market economy", strictly defines the shortest, most efficient and direct way to point the departure, that is the inefficient socialist economy in complete crisis.

The transition period would inevitably have an unbalanced character, accompanied with many ups and downs or obstacles of different nature. Accordingly, it had to be as short as possible, putting all best efforts to accelerate the reforms. As to the instruments and means by which it would be implemented, the logic to be pursued was as follows: stability would eliminate the negative effects of inflation; privatizations would establish concrete conditions to promote economic agents towards efficiency; liberalization would create a favourable environment for real competition and would pave the way for "creative destruction" of the industries and branches of the economy inherited from the old socialist system.

In this context, the "Transition Economy" began to grow, since its inception it was nothing but the "extension or expansion of the standard neoclassical economic theory in another sphere in the former socialist countries and economies". This was an unknown form of system convergence theory, also considering that international institutions as the most influential and decisive stakeholders in the transition process were prepared to apply a "unique recipe" for all transition countries. The transition strategy and the structural adjustment plans were unique to everyone.

Contribution of the " Institutional Theory "

In the early 1990s, the transition reforms' processes were almost completely dominated by the liberal paradigm, which was widely applied in transition countries, but after a first period lasting several years, many harsh criticisms were introduced, especially regarding the "underestimation of institutional reforms". The main criticism came from the World Bank, which through Joseph Stiglitz, at that time chief economist and vice president of the World Bank, publicly formulated "the emergence of a post-Washington consensus that had to take into account the specifics of Central and Eastern European countries transition" (Stiglitz, 2002).

After the Russian crisis in August 1998 and the deception of the 3-4 billion IMF aid fraud, IMF executives took Stiglitz's criticisms more seriously, estimating that "for countries in transition, it was necessary to progress with the so-called second-generation reforms" that highlighted the institution's development. In November 1999, Michel Camdessus, the IMF General Director, stated that "*building solid social, political and economic institutions is a necessary prerequisite for implementing macroeconomic policies*". This moment is considered as the "*triumph of institutional thinking and theory*" as regards the analysis and interpretation of the transition specifics from planning to free market.

Transition does not only consist in the opening or creation of wide opportunities for private initiative and competition, but it also implies destroying older institutions and creating new ones. . The interest groups' struggle in having a higher influence than others is one of the basic characteristics of such institutions, while the "institution economy" theory also studies this

particular feature. "Olson's paradox"¹ proves that under certain circumstances, collective agreements do not transform into effective action if there is no individual interests. This idea, especially after 1999, is widespread in many analyses and works on transition. However, the simple integration of the institution word and notion is not enough to properly analyse transition. Furthermore, *"the study of institutional change only is not enough to establish an institutional economy of radical change represented by transition"* (Vercueil, 2000). This can be achieved if the basis lies on an explanation of the interactive process between institutions (genesis, development, substitution) and individuals involved in economic activities.

From an institutional point of view, the transition of the former socialist countries introduces a unique perspective as it calls for a strong suspicion of all institutions inherited from the socialist past, accompanied with a redefinition of all economic processes and individual selection that occur during the transition. In this perspective, transition is itself a typical model of institutional change where institutions are conceived as *"a collective production disposition and interpretation of rules"* (Vercueil, 2000). This definition provides the opportunity to integrate the collective dimension of institutions, both for groups and individuals, acting through mediation of rules.

Among all Capitalism Models - which one to choose?

Economic policy debates focused on the fatality of the "black and white" view: if centralized planning was a failure then we would have to immediately shift to the free market. This was the subject of any economic policy in the former socialist countries during the first years of transition. The same existing belief for socialist institutions was then replaced by the market beliefs, making the myth of the hero Marxism-Leninism be replaced by the myth of miraculous liberalism. In this context, the governments of the eastern countries, advised by international experts and institutions, were more than willing to radically change any kind of institution considered to be the "legacy of the past" and to shift to capitalist systems.

Schematically, the principle model of capitalism at "circulation" as an option for Central and Eastern European countries in the early 1990s were:

- **"Anglo-Saxon Capitalism"**, primarily the British and American one, dominated by the role of the market in organizing economic relations, not only in the productive and financial system, but also in the labour market, public services, and "functions of the government" such as health, education, research, fiscal system, social protection, etc. Individual freedom and free competition are the fundamental values behind this model, while its strengths are dynamism, innovation, flexibility, adaptation, law and contract, etc.

- **"State Capitalism"** applied in countries such as France, Spain, Italy, etc., is in favour of the great role of the State in intervening in economy and public affairs to regulate the organization of economic activities, to control the market orientation, to ensure better social justice, etc. Equality and solidarity are considered the most obvious values of this model.

- **"Rhénian capitalism"** or the Social-Democratic model, applied mainly in Germany, Austria, Sweden, Finland, Norway and Denmark, is featured by a high partnership between trade unions, owners/entrepreneurs and the State, direct State intervention to the economy and the behaviour of economic stakeholders, a highly developed system of social protection and social rights and a sustainable monetary policy and the important role of banks, mainly regional ones.

- **"The Asian Corporate Capitalism"** model implemented in countries such as Japan, South Korea, Taiwan, Hong Kong, etc., which relies on a high level of interaction and complementarity between relatively regulated markets, a poor social protection system acknowledging a high degree of social differentiation, a financial system oriented towards long-term relations between banks and enterprises. This model provides an important central role for large companies/enterprises in terms of professional training of managers and manpower, and guarantees a sustainable career system.

Upon their own choice, eastern countries had to make decisions conditioned by 4 four dilemmas or real opportunities: firstly, to follow one of the already known and consolidated models of capitalism by "copying" the respective legislation, institutions, etc., of that model that seemed the most efficient; secondly, to adopt "acquis communitaires" as a necessary condition for the integration into the EU, however without any specific reference to any model; thirdly, try to understand the historical

¹ Mancur Olson observed a paradox in "the logics of collective action". According to him, the mobilization of individuals in favour of a common cause is not the same. Olson found that "even when there are situations where individuals can benefit from various advantages by engaging collectively, a part of them are never engaged again."

trajectory and the fundamental changes that the four models themselves had undergone and suffered under the influence of globalization, European integration, the impact of economic and financial crises, etc.; fourthly, to exclude the possibility the Asian capitalism that proved to be very complicated and closely linked to Confucian traditions and Asian cultural and historical specifics.

Under these conditions, it seemed that the most reasonable and probable option was to choose between the model of state capitalism that somehow complied with the historical eastern tradition of the role and intervention of the State in the economy, its regulatory role, its necessity in the application of redistribution, the resolution of social conflicts, social protection and the Anglo-Saxon disputes, which would eventually remove these countries from the dominance of politics over economy, from the bureaucratic power that would enable them to implement real structural reforms and give the utmost legitimacy to the free market, which would establish a consumption society that these countries had long dreamed of, and which would ultimately best "satisfy" the demands of international institutions such as the IMF or the World Bank. In its 2000 report, the EBRD learned an "important lesson from the experience of transition countries", according to which "during the decade 1990-2000 there was no single transition path from the centralized economy of the communist regime towards the unique and easily identifiable form of free market and capitalism ... it seems that most of these countries were developing their own specific capitalism."

Profile and features of capitalism in Central and Eastern Europe. Comparative Analysis

Different authors divide the transition period into two parts: the first part, 1990-2000, when the various transition trajectories "fluttered" into some sort of post-socialist emergent capitalism composed of various national specifics; and, the second part, 2000-2008, when the consolidation and profiling of the capitalism model begins, compared to the standard models of developed capitalist countries. Driven from the specific analyses of specific countries or similar groups of eastern countries, several specific features and characteristics may be evidenced regarding such capitalism models. A relatively homogeneous group with similar features is the group of countries such as Hungary, Poland, the Czech Republic and Slovakia.

Hungary. It is estimated that the "Hungarian Model" of capitalism is characterized by a high degree of paternalism of the State, which translates into a high level of income distribution, under a significant fiscal pressure, into a universal social protection regime, based on a high financial support for enterprises. J. Kornai (1997) highlights that this situation is somewhat a long-lasting Hungarian tendency that began in the 1960s, consolidated under the objective of "calming down socio-political tensions and protecting the population living standards". Additionally, in the early 1990s, Hungary proved to be one of the most advanced transition countries, and its reformist traditions associated with the will for unrestricted opening to the West provided Hungary with great confidence as regards foreign investment and the confidence of investors in making Hungary one of the most important FDI destinations in Eastern Europe. The very original and highly effective form of privatizations involving companies, banks and public enterprises facilitated industrial companies to benefit from financial support provided by banks, which were guaranteed under a special state guarantee fund. If we compare it with the above standard models, Hungary shows a very close tendency to the model of State Capitalism.

Poland. The "Polish Model" of capitalism is characterized by the existence of an important state sector in the economy that generates about 25% of the GDP of the country, with large public enterprises and a state that through its interventions appears to be one of the main stakeholders of the economy (through the provision of support for enterprises facing difficulties, provision of financial facilities for vulnerable enterprises, prioritisation of certain sectors they consider to be "locomotive sectors of the economy", striving to ensure a transparent compromise between employers and employees to guarantee employment and minimum level of wages), with a significant influence of trade unions being imposed to the market and entrepreneurship in filing their claims, etc. Poland ranks among the most successful eastern countries as regards economic, financial and social development, and in general it is estimated that it is trying to build a "Hybrid Capitalism Model" similar to the French and the social-democrat German-Scandinavian one.

The Czech Republic. The Czech post-socialist capitalism model implies that the state continues to have an important role, regardless the almost constant liberal orientation of most of the Czech governments of these two decades of transition. During the first decade of transition, in which state-owned banks controlling investment funds became owners of state-owned enterprises, the State, directly or indirectly, became the main owner of a part of the capital of banks and companies.

These links and state support facilitated access of large companies to banking loans, significantly mitigated their budget constraints in terms of restructuring, guaranteed employment in central and Eastern Europe, and paved the way to an efficient social protection regime. The Czech model demonstrates a high level of compatibility and institutional harmonization in the context of a genuine combination between economic liberalism and social democracy.

Slovakia. It is considered as a surprising "Original Model", given the analysis of the first years of transition where Slovakia was considered to be the most problematic part of former Czechoslovakia: heavy industry with old technology, specialization and orientation mainly towards the Soviet Union, limited natural resources, etc. However, Slovakia surprised everyone with the special path it followed: transforming the political power of old elites into economic power, using privatizations as a privileged tool for acquiring and ensuring the necessary capital for young businessmen, preferential sale of public enterprises to managers close to political power, encouraging large industrial companies to buy state-owned banks to consolidate powerful industry-financial groups, strong mediatization of the relationships between political power and economic power to identify the stability of the system, etc. Political and economic ties between state-owned enterprises and banks, with the support of the State, guaranteed them, especially in the first phase of the transition, strong access to banking loans. Export dynamics and high public investment were the first strong incentive for the Slovakian economic growth during the first decade of transition. The State presence was also very high as regards income distribution, social protection system, poverty reduction, etc.

Bulgaria. Transition started as a fiery supporter of "Ultra-Liberal Policies and Anglo-Saxon Capitalism," but gradually, especially in the first decade of transition, it was highly confused "between liberal capitalism and the social market economy". Lawrence Nowicki (1994) describes the Bulgarian solution and transition as a "market-friendly" version, where all best efforts to build a "free market" are outlined, however highlighting that "the difficulties to build such kind of market and its failure to operate according to the western free market logic, force the state to play a priority role in the operation and management of the economy." According to him, the most appropriate term for Bulgaria would be "mixed economy".

A typical Bulgarian characteristic lies in the fact that the difficulties in establishing a free and real market were replaced by the creation of economic-financial networks and clientelist relations among the representatives of the old political power, as many authors conclude that "these networks expanded so much that they replaced the market". These networks did not operate according to market rules and laws, but according to their own "rules of the game." Instead of the "market economy", the "networking economy" was established, dominated by the former communist era nomenclature. This also favoured the privatization process where former high officials of the communist period became the first and largest beneficiaries. In Bulgaria, the clientelist networks became the fundamentals over which capitalism was built. Under these circumstances, the State was transformed into the only force that could safeguard the competition rules and balance the emerging interest groups and collective interests, especially vulnerable social groups.

Even two decades following the beginning of the transition, the Bulgarian reality proves that "the redistribution of assets" is generally performed in the interest of a small social group made up of the former communist nomenclature. During the popular protests of 2013, Tsvetozar Tomov underlined that "the Bulgarian government must break the bonds between the power and the grey economy of monopolies. Bulgaria can no longer be ruled by the oligarchs, especially after becoming an EU member state." All this proves that Bulgaria can be profiled as a "state capitalism" that tends to apply a model of "social market economy".

Slovenia. Resistance on behalf of gradualism. After gaining independence from the former Yugoslavia in 1991, Slovenia continued to believe in the values and benefits of the old system "self-administering" especially in the area of social services, health, education, etc., which had been on many levels higher. In this sense, during the transitional period, Slovenia preferred becomes almost totally governance of "left centre" social-democratic, very sensitive to populist pressures and resistant to the liberal policies of "creative destruction" recommended by the IMF and the World Bank. Slovenian gradualism was profiled as a result of the struggle and populist aspirations that met the building capitalism objectives, always demanding the fragile balance between the "neo-liberal program" and social syndication pressures on behalf of a "social-liberal" capitalist model.

Unlike many other socialist East European countries, Slovenia proved more "resistant" to liberal policies package "consensus of Washington": slow privatization rate in the name of creating a "mass popular force" and elimination of a "aggressive privatization", State storage as the largest shareholder in large enterprises, banks and strategic sectors

stagnated over the pension reform, rejection of the flat tax, no liberalization of wages, openness and slow liberalization of the market, doubts positive effects of FDI, etc.

The situation changed sense in 2004, when Slovenia became an EU member, moving away from the "gradualism" and resistance to liberalism and undertaken a number of reforms required by the European Commission such as pension reform, labour flexibility, taxation, openness to FDI, applying a flat tax, reform of VAT, deepening and acceleration of privatization in the banking sector, insurance, telecommunications and energy, reduce structural imposing force, expanding the policy range in favour of competitiveness, expanding the public-private partnership, etc. For these reasons, Slovenia is classified as a "specific capitalism model" Social-Democratic nuances.

Estonia. It is evidenced in its economic model and very specific social. Member of the EU in 2004 and the euro zone in 2011. The country that experienced two difficult moments during the transition years in 1990-95 when it achieved with rather liberal measures the post-Soviet transition from plan to market, and from 2008 to 2012 when it was severely affected by the global financial crisis, it is developing an original capitalism, which is an intermediate form between social-democratic capitalism and the corporatist one. All Estonian governments since 1990 have respected the policies that guarantee economic success: macroeconomic stability, balanced budget, public debt control, liberal legislation "Business friendly" for foreign investments, liberalized trade, moderate fiscal policy, etc.

Although regarded as one of the countries with the most liberal economy of northern Europe, Estonia is known for successful efficient social policy. What differentiates Estonia from other former socialist countries? Firstly, the existence of a broad consensus of stable political when it comes to key macroeconomic policies and strategies of economic and social development, a consensus has never been in doubt since 1990. Secondly, the lack of political polarization ideological and a special practice of consensus arising particularly from their religious roots of cultural Protestant Lutheran. Thirdly, their consensus is perceived as a synonym for "state corporatist" and transparent. Fourth, Estonians are known to quite a high level of trust and respect for institutions as a place where laws are drafted, are adopted and implemented with extraordinary transparency.

Russia. Despite its specificity, it seems that Russia is consolidating a "State Capitalism" post-Soviet. From this perspective, the Russian transition can be analysed in two specific periods: 1990-1998 period, the stage known as "neo-liberal" of transition, characterized by a large presence of the IMF and US advisers, which culminated in financial crisis of 1998 and a strong decline of 40% of GDP compared with 1990, and 1999 to 2013 periods, or "Putin Era" characterized by the presence of a new model of "state developer and guardian" and a strong discretionary policy.

The strong development sectors mainly rentier Russian economy as petroleum, natural gas, various metals, timber, etc., and complication of the international context, made the option "liberal-pragmatic" in the first decade of transition, to be replaced with state capitalism and "the strong hand of the state" by creating opportunities to be realized basic Russian targets such as industrial restructuring that should increase Russia's competitiveness on international markets, developing strategic sectors such as aeronautics, nuclear energy, telecommunications, the arms industry, etc. After 1999, all the unearned income coming from the sale of raw materials and energy sources, by this time in the hands of large oligarchs who benefited from the chaotic clientelist privatizations, He passed completely under state administration. Return in capitalism model with strong and very present State, was constrained by weaknesses and problems that showed the banking system and financial markets in Russia, prompting the state to take direct responsibility for their management.

Another important element that profiled Russia as a state and capitalism was "coping with the crisis of legitimacy faced by many Russian governments in the years 1993-2000, as a result of very dubious privatizations in key sectors of the economy, which Russian society regarded as an "open stealing" national assets. This lack of legitimacy associated with an impoverishment of and blocking the development in many regions of the country, pointed to the need plan the design and implementation of active development policies should be guaranteed by a strong State presence and a better distribution of economic growth, which was also guaranteed by the State as the only credible actor and strong at the moment.

After 2005, Russia concluded an attempted for compromise between "interventionist" strong state representatives and "liberals" who sought a greater role to the market and private sector development, making Russia go towards capitalism model more or less similar to France or Italy of the 1980s, a kind of system dominated by "development state" that does not exclude a strong private sector (Sapir, 2013).

Albania. Has had never been known in the past experiences with the capitalist system. Consistently regarded as one of the countries at the end of the Second World War, they tried to build socialism without passing the stage of capitalism, and whether partial or short-term period. Considered as the "*Orthodox Socialist Bastion*" that had begun the transition "from plan to free market" later than all the other countries of central and eastern Europe, he managed, however, that within a few years was successful country in reforms its structural macroeconomic in full conformity with the "Washington Consensus" (Williamson, 1994).

During the 1992-1996 period, Albania was able to control its galloping inflation beginning of the post-socialist period, GDP increased steadily, reduced unemployment, improved budget deficit, the exchange regime adopted free currency, a banking system built with two levels to ensure the functioning of an independent central bank, liberalized trade and prices, etc., being described as "excellent student of the IMF's" (McAdams 1997).

Despite huge political pressure when it came to the economy, micro and macroeconomic restructuring, finance and fundamental reforms, everything seemed to be perfect for Albania. But the collapse of financial pyramid schemes in early 1997 "blew up" this positive situation. But while the credit for this successful way of constantly receiving IMF, World Bank, etc., Who were present in every decision-making in the country, the birth and the extraordinary spread of financial pyramid schemes and destruction within a few weeks the state and its institutions, including the army and the police, they were seen as "*mistaken sense that the Albanians had to capitalism*" (Wall Street Journal, 1997) "*as an illusion and wrong dream about liberal capitalism*" while Albania began to be regarded as a "*laboratory experience*" for the realization of the transition.

Albanians proved terrible severity of a false and naive illusion about money, capitalism and the light of rapid benefits. The basic argument that attempted to explain the reason for the spread so large "Ponzi scheme" in Albania was "*a combination of the effects of restrictive monetary policies, lack of instruments of market regulation institutions, the massive entry of capital and weaknesses in governance*" (Bezemer, 2000). Even stock exchange could have been an important element in the formal capital movement was formally opened in May 1996, while that proved to be very weak in attracting and movement of capital in the economic development.

Even in the first decade of XXI century, Albania continued to believe and undertake policies in favour of building a liberal Anglo-Saxon capitalism, applied flat and low taxes, reduced the size of state and government, massively privatized all sectors of the economy, liberalized the economy and trade, etc. But the effects of the global economic-financial crisis during 2008-2013, in particular the Greek, as well as a number of "typical Albanian diseases of transition" such as corruption, the high degree of informality, political clientelism, poor quality of institutions and democracy itself, severe political conflict, state capture by certain clans with economic interests, etc., made the image and trust in liberal capitalism reels. Government coalition PS-LSI come to power in June 2013, in the context of a more social and populist orientation, signaled a "correction" of the Albanian capitalism model in favour of an intermediate model between state capitalism and that of social democracy.

Conclusions

Basing on the analysis of "capitalism types" to significant elements of post-socialist economies, such as: production system, the financial system and the banking sector, capital structure between private and public, socio-economic compromises, the State role etc., estimated that in similar models with these countries and stay also other countries. With more specific capitalism, closest to the Anglo-Saxon, but rather political will and desire that its concrete and correct application, presented Albania, Romania and Moldova. In these conditions, it seems that the real transformation is not a matter of months or years as highlighted with rage at the beginning of the transition, but the issue decades of entire generations. Examples of the above countries and challenges of each of them on the long road during the transition to a better capitalist model clearly show such a conclusion.

Moreover, the transition process highlighted another factor without taking into consideration the unique liberal prescriptions: "Start" unequal or different level of preparation that had the former socialist countries "to absorb the transition period." The legacy of their production structures, mechanisms of decision-making, their political culture and its ability consensus mentality to law and contracts, Previous historical relations with capitalist society, etc., showed that "transition does not only depend on factors or market actor, but also from the historical heritage in its broadest sense" making every country, regardless transition universality as a process, face and walk in its specific path to capitalism.

I am concluding this study with the analysis of a well-known economist, Magni, in his report to the capitalism models, it finds that "*Analysis of the transition trajectory of the former communist countries of central and eastern Europe, already an*

EU member, testifies to the emergence of an original capitalism form, highly customized model to history and economic reality, social, political and their psychological ".

References

- [1] ADAM, J.(1995) *Why did the Socialist System Collapse in Central and Eastern Europe? The Case of Poland, the Former Czechoslovakia and Hungary*, MacMillan Press, London and Martin's Press, New York.
- [2] Adrienne, Ch. & Jeffrey, D.(1996) «*Fiscal Transition in Countries of the Former Soviet Union: An Interim Assessment*», MOCT-MOST: Economic Policy in Transitional Economies (*Pays-Bas, volume 6, pages 7–34*).
- [3] Aglietta M. et alii,(1992) « Repenser le soutien de la communauté internationale en Europe de l'Est », *Observations et diagnostics économiques*, n° 42, Octobre.
- [4] Bezemer Dirk J., (2000), "Post-Socialist Financial Fragility: the Case of Albania", Tinbergen Institute and University of Amsterdam, 2000.
- [5] Boyer R. (1993) : « La grande transformation de l'Europe de l'Est : une lecture régulationniste » ; Préface à l'édition japonaise de Boyer R., Yamada T. (Eds), « La Grande Transformation du Socialisme ». Mars.
- [6] Boyer R. (1996 b), « The Seven Paradoxes of Capitalism... Or is a Theory of Modern Economies still Possible?», Document de travail n° 9620, Cepremap.
- [7] Boyer,R.(1994) « Quelles réformes à l'Est ? Une approche régulationniste », *Revue Problèmes économiques*, n° 2374, mai, page 2.
- [8] Bruno, M. (1992) *Stabilization and Reform in Eastern Europe*, IMF Staff Papers.Ferry J.P.
- [9] Dell'Elce G., Frigerio G., (1997), *Vento dell'est. La complessa transizione dei paesi postcomunisti*, Editore: Milano, Sperling, Lingua: Italiano.
- [10] Dewatripont, Roland G. (1996): « Transition as a process of Large-Scale Institutional Change », in *Economic Policy*, Vol. 4, n°1, pp.1-30.
- [11] Havrylyshyn, O. (2001), "Recovery and Growth in Transition: A Decade of Evidence", IMF StaffPapers 48, numéro spécial, pp.53-87.
- [12] International Monetary Fund (2000) *Transition : experience and policy issues* , *World Economic Outlook*, September,pp. 127-147.
- [13] Kornai , J. (1990) *Du socialisme au capitalisme, l'exemple de la Hongrie* , Le débat, Gallimard.
- [14] McAdams, D., (1997), *An Albanian Tragedy. Albania - CRISIS '97 News Centre*. Internet address <http://www.albania.co.uk/crisis/daniel.html>;
- [15] Stiglitz J., Whiter reform.(2000) *Ten years of the transition*, in Stiglitz J.,Pleskovic B.,dir., *Annual World Bank Conference on Development Economics 1999*, Banque Mondiale.
- [16] Stiglitz J.E.(1997) (vice-président et économiste en chef à la BM) « Banque Mondiale- L'Etat, le retour... », *Revue Courrier de la planète*, n° 41, juillet - août, page 19-21, Montpellier, France.
- [17] Tanzi V., and G. Tsibouris (1999), « Transition and the Changing Role of Government, » IMF Conference on A Decade of Transition: Achievements and Challenges, February 1-3, Washington, D.C.
- [18] Vercueil J.(2000), *Ouverture et transition de l'économie russe (1992-1999) : contribution à une économie institutionnelle du changement* , Séminaire GTD, Grenoble, 10 mars.
- [19] *Wall Street Journal* (1997: March 24). "Anarchy in Albania" in the Europe Section of the Wall Street Journal.
- [20] *Wall Street Journal* (1997: March 24). "Anarchy in Albania" in the Europe Section of the Wall Street Journal.
- [21] Williamson J.(2004) "A Short History of the Washington Consensus", Paper commissioned by Fundación CIDOB for a conference "From the Washington Consensus towards a new Global Governance," Barcelona, September 24–25.

Profile and Features of Economic Growth in Albania during 1992-2018. What is the best Strategy for Economic Growth?

Oriola Musa

PhD. Cand. European University of Tirana; Faculty of Economics, Sustainable Economy & Development

Abstract

The Economic Growth Stimulation is one of the major objectives of the Public Policy. Political, Economic and Social debates continue to have in their essence the finding of "means and ways to boost the Economic Growth as the only way of Economic Development". Expressed and measured as a percentage of GDP, the Economic Growth is represented by the Economists and Politicians as the "only way to convey Social Progress and Prosperity". In fact such a conclusion has long raised debates and reflections, not only among the Economists, but also inside the Civil Society, the Academics and the Political Community, by analysing "whether the Economic Growth is synonymous or not to the Wealth Creation and Prosperity?". GDP accounts all forms of Economic Activity without making any separation between those that genuinely bring social benefits and those who have the opposite effect, the Profit only, destroying the Environment, the Health, etc. The GDP does not provide any data over the quality of Life, the access of many group of Populations to the Basic Services, the state of Physical and Mental Health, the level of Economic Freedom and Democracy, the Sustainable Development, etc. Thus, GDP growth does not automatically respond to the Welfare Growth and Social Progress neither is enough to give a clear profile of the Standard of Living and the Well-Being of the majority of the Population. This is the reason why the Economists have begun to look for other more significant Indicators to express and measure the Social Progress and Well-Being.

Keywords: Economic Growth, Public Policy, GDP, Social Progress, Prosperity, Wealth, Quality of Life.

A brief overview of GDP and its challenges

In order to understand better and more simpler the "royal" content, essence and role that GDP has in public policy and economic development, the historical conditions in which this concept was born and developed should be known in advance. During the 1930s, at the height of the crisis of great depression, US and UK finance ministers in trying to find an efficient way to continuously follow the effects of their policies of economic support and development created the National Accounting System.

In that period, rapid economic growth and expansion of manufacturing capacity was for the United States, Great Britain, France, Germany, etc., the biggest challenge facing unemployment at 25-30%, as well as income generation base for a large part of the population who lacked money to the basic needs. The beginning of the Second World War further emphasized the need for this national accounting in order to assess the opportunities and consequences of participating in the war.

American economist Simon Kuznets, also considered as "the architect of the national accounting system", warned that in 1934 American authorities "the welfare of a nation could not be reconciled with national production". But at the famous 1944 Bretton Woods's conference in which the great powers of the era gave birth to "creating a world economic rule that would create opportunities to accelerate global economic progress", the GDP was crowned as "the only indicator that guaranteed the realization of reconstruction and development objectives".

Even the institutions established at the Bretton Woods conference, such as the World Bank or the IMF, make this indicator the king of their activities and performance. Simon Kuznets opposed this practice by pointing out that "political decision-

makers should know how to distinguish between the quantity and quality of economic growth, between the short-term and long-term benefits costs."

In this respect, criticisms addressed to GDP are not new. After Simon Kuznets, many prominent economists and sociologists have questioned "the expression of the welfare level only through GDP", while notions such as "social equity", "fair distribution of income and benefits," "degradation or improvement living conditions and services "," quality of the environment ", etc., derive significantly from the success or failure of economic growth, but do not find any meaningful expression of GDP.

Consequently, prioritizing only GDP or supporting the success or failure of just the government's GDP only means to neglect responsibility for the growth of prosperity, quality of life, social relations, social justice and distribution the more equal the fruits of economic growth. Translated into a more political language means not having the information and indicators needed to design and apply the appropriate social welfare policies.

Is it time to come down from the "royal throne" as the single and most important indicator of the socio-economic development of a country's Gross Domestic Product? Is it just his evidence that a government or an economic system is praised or criticized in its performance? Apparently, at this early twentieth century, the answer is denying.

But is it just a "statistical technique" to "break down" GDP into some of the most significant elements associated with the well-being and enjoyment of different social strata or geographic distribution of the "centre-periphery", "urban- rural, society? Apparently, it's a lot more complicated than that. This fundamental shift from a traditional macroeconomic indicator to a much more complex developmental indicator that encompasses it, social satisfaction, quality of governance, relationships with the environment and living conditions, policy efficiency, etc., looks very complex. In addition to pure statistical, economic or financial aspects, it has many "implications" of a philosophical, psychological, sociological and political nature. Focusing on "prosperity" reflects the need to reflect what "people want" and not just the dynamics of what "been given to people", not just the measurement of income, but the quality of life that is provided not only by these incomes but also from many other public or private services.

First of all, at least from the statistical point of view, the issue is not a "revolution" in the collection, processing and quality analysis of new data that does not exist, which would really require a colossal commitment of funds and human resources to be realized. On the other hand, as outlined in the "Stiglitz Report" or "Cameron Proposal", the issue focuses on the perspective and prism of the analysis that needs to be done to the many figures that directly or indirectly exist in any national or international statistical institute the level of employment or unemployment, income, prices, education and health system, housing conditions, freedom of expression, law enforcement, participation in networks and social activities, degree of security, quality of the environment, assessment of the efficiency of the policy and governance, "boredom" by corruption and clientelism, etc.

In fact, the overwhelming majority of data sets seem to be "sleeping" in statistical offices or losing bulletins that are used by very few decision-makers and the general public. The archives and variety of their data should be "opened" far more than ever and re-evaluated from the perspective of the welfare and satisfaction that every nation or country requires from its economy and finances, its politics and governance, comparison with neighbours or developed countries, etc.

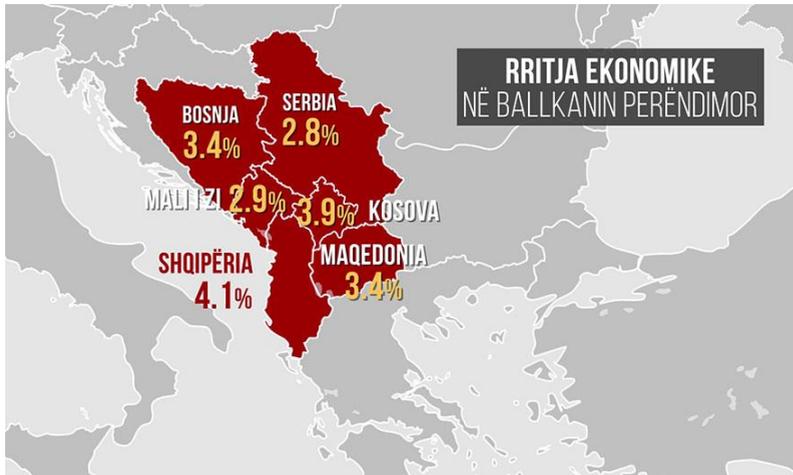
Specialist statisticians and key experts on these issues suggest that even the use of macroeconomic indicators should be "modernized" gradually shifting attention from GDP and raising interest for "real household incomes", "purchasing power", "quantity and the quality of public services we obtain, "" water quality, air, public park surfaces, etc. ", " the number of sports and cultural activities that the environment they live and reside ".

Introduction

Economic growth is the cornerstone of the health of every economy, the opportunities for stabilized finances, employment opportunities and the reduction of unemployment, consumption opportunities, sustainable development policies, and so on. Major international institutions such as the IMF or the World Bank, or any government, keep the country, its pride and success or face the criticisms of the economic growth figures it does. Gross Domestic Product (GDP) accounts for public debt, budget deficit, public investment, foreign direct investment, fiscal burden, etc.

French economist Ch. Comelieu writes, "*Are you a poor country politician? Then, make efforts to increase your national income. Your country has a lot of internal and external debts? You can not fulfil your obligations and reduce them without*

the economic growth.... In your country there are economic, social and territorial disparities? Then start adding the size of the "cake" you need to distribute, so add economic growth to make more money available. Is the public budget never enough to meet the requirements and objectives? Improve fiscal policy and increase the likelihood of productive activities in all sectors of the economy. The shareholders of the company are advertising more and more benefits? Then, try to add the volume of production and sales. Ask for a job and you can not find it? Looking for higher salaries and greater consumption opportunities? Be patient, businesses expect only the improvement of economic conjuncture and the growth of economic growth to meet these demands". (Comeliau, 2007).



WiiW, Monthly Report 2017/07-08, Central, East and Southeast Europe: Recent Economic Developments and Forecast ¹

The Concept of Economic Growth

Naturally, when talking about economic growth, considerations of numerous economic, financial and social debates and discussions, which do not absolve or qualify as the magic wand that solves everything, should be considered, recommending that the analysis and estimates for it be accompanied by always with questions and conclusions such as:

- At what level economic growth is transformed into economic and social development?
- How and how does it "translate" into prosperity and progress?,
- Do we have a quantitative or qualitative economic growth?
- How does economic growth affect sustainable development?
- What are the links between economic growth and financial and banking stability?
- Is it a "friendly" or "aggressive destructive" economic growth with the environment?
- How satisfied is the population with economic growth and its effects on everyday life? etc.

In this respect, economic growth is considered a "thermometer" or "voter letter", which on the one hand reflects and demonstrates the state of the economy and the financial system whose functioning, efficiency and capacity are reflected in the percentage of economic growth and on the other, reflects concrete opportunities and outcomes for the realization of a series of economic, financial and social policies, which are heavily dependent on the incomes coming from the very figure of economic growth. The biggest contribution to economic growth continues to be "Agriculture, Forests and Fishing" with

¹ In the report covering 22 countries in Central and Eastern Europe, the Vienna Institute estimates that developing countries in the continent are experiencing a good economic moment, which is expected to last for several more years.

According to the report, the country with the best performance continues to be Romania, where national production is expected to expand this year by 4.7 percent. After Romania ranks Turkey, 4.5 per cent, while Albania is ranked the third-largest economy of 22 developing countries, with an expected national output growth of 4.1 per cent. According to the Vienna Institute, Albania will lead economic growth in the six Western Balkan countries, supported by major infrastructure projects, consumption growth, and the tourism sector. But other countries in the region will also grow, though with a slightly lower, ranging from 2.8 to 3.9 percent.

about 23%, "Trade; Transport; Hotels "with 18.2," Extracting Industry; processing; energy; Water "with 14%," Public Administration; Education; Healthcare "with 12.5%," Construction "by 10%," Real estate activities "by 6.6%," Information and communication "by 3.5%," Financial and insurance activities "by 2.8% Economic growth has been broadly based. It is backed by increased consumption and private investment as well as by expanding exports.

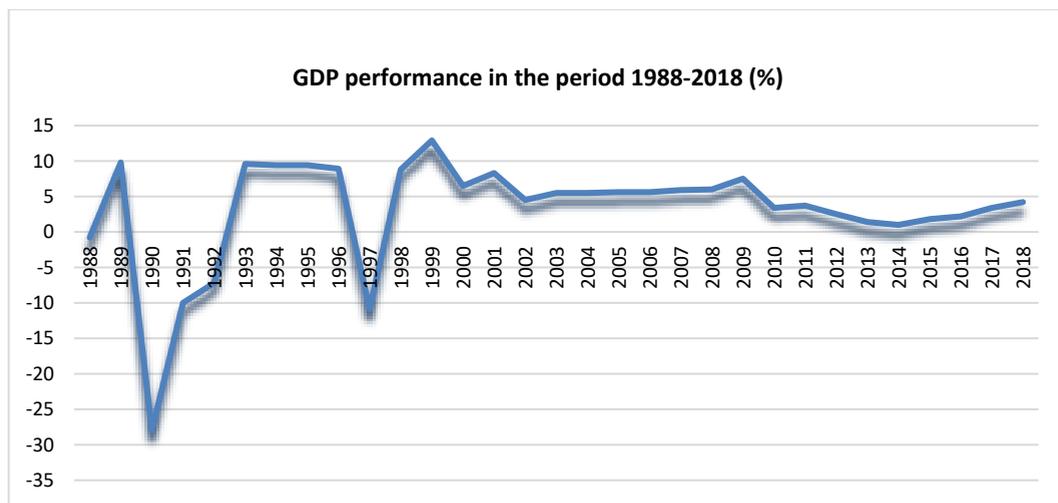
In this sense, the "portrayal of economic growth", "its main features" more clearly confront us with the responsibility for building a stable, well-structured and efficient economy that is capable of withstanding the crises or difficulties that arise from business cycles and important structural reforms, as they face our responsibilities for social policy, sustainable development, etc.

By synthesizing in some essential elements the economic growth features in Albania in these 27 transition years (1991-2018), some important elements that characterize it can be outlined and on this basis the main factors for stabilizing a stable growth and identifying the most important funding directions and its support, such as

Features of Economic Growth

Economic Growth in these 27 years has been irregular in nature.

There have been major fluctuations that reflected the specifics of Albanian transition - starting from a very low starting point, persistent political conflicts, severe social unrest in 1997 of 1998, the effect of structural and transformational reforms in the framework of agreements with IMF and WB starting from 1992 until today, favorable regional and international economic situations or the global financial crisis, the economic situation of neighbors such as Greece and Italy, etc. We have witnessed a 5-6% increase in 1994-96, a negative growth in 1997, reaching nearly 8% in 2008 to fall to 1.3% in 2012 and 0.9% in 2013. Albania experienced a positive economic growth trend 2013-2018, reaching a 4.2% increase.



MONITOR, 4 December 2018

Forecasts by the Ministry of Finance or international institutions such as the IMF, the World Bank or the EBRD do not see a 4.2 - 4.5% ceiling between 2019 and 2022, although the ratio with other countries in the region is expected to be among the countries that (3.2%), Bulgaria (3.6%), Croatia (2.8), Serbia (3.5), Montenegro (3.7%) and the same as Kosovo and Serbia will have accelerated economic expansion. While from emerging Central and Eastern European countries, the best performance is expected to have Poland, with 4.4% .in.

Economic Growth has not produced symmetrically the positive collateral effects expected from it.

For example, it did not go in the same sense of being far away and what is known as the "Okun law", ie a symmetric increase in employment in function of economic growth. Albania is part of the group of countries in which a relatively poor cause-effect relationship is established between economic growth and declining unemployment. However, in recent years,

especially in 2017 and 2018, referring to the World Bank (Western Balkans Economic Report No. 14 | Autumn 2018), "Employment in Albania grew by 4.1 percent in June 2018 in annual terms as a result of all-inclusive improvements made in the labor market. It also has the highest employment rate in the region as well as the lowest youth unemployment rate. "For many years, unemployment has been the emigration relief valve in countries like Greece, Italy, Germany, etc. Economic growth has produced and differentiated regional, territorial and social development.

It's most positive regarding the poverty line. Studies show a positive correlation between economic growth and poverty reduction, hence a more inclusive growth. For example, in the period 2002-2008, in which growth went from 4.2% to 7.5%, poverty fell from 25.4% to 12.5%, while the decline to 1.3% in 2012 affected the relative increase in poverty.

Labor markets play a limited role in reducing poverty, as in total household income only 50% of them come from wages. The labor market continues to lack the optimal flexibility and absorption capacity reflecting the structural shortages of the Albanian economy. There is little demand and qualitative job opportunities requiring high levels of qualification and education, while thousands of job vacancies of the "craftsmen" category that require "professional training" are advertised.

Another paradox for the conditions of Albania is the high rate of "voluntary unemployment", which is mostly due to the very low salaries offered by businesses or different economic sectors, discouraging the unemployed jobseekers' engagement in these jobs

Economic growth has largely been driven by Consumption, Remittances and Imports rather than Production, Investment and Exports ... has been more of a quantitative nature than a qualitative Economic Growth deriving from highly efficient sectors and activities and Modern Technology Innovations.

For example, in the period 2000-2008, total consumption accounted for almost 64% of total demand growth, while in the period of impact of the global financial crisis, this figure has also been steadily declining.

The economic slowdown that began after 2008 also caused a drop in labor demand, affecting households' income reductions and their consumption.

Meanwhile, analyzing the structure of job creation in the last 10 to 15 years, it is evidenced that main employment is in services without many standards, high quality, industry, call center, and so on.

When talking about the capital or the amount of investment needed for a new job, we are talking about minimum 3000 to 5000 Euros for a job, while efficient employment - and human resources are as well prepared and efficient - fluctuates between 20,000 and 30,000 euros for a job, which, of course, has much higher salaries.

Referring to the World Bank, it is evidenced by the fact that in Albania "productivity has little impact on economic growth: total factor productivity, labor and human capital or labor stock has fallen in the period 2000-2016".

The level of labor productivity in Albania is lower than in any other country in Europe¹. Productivity is also under constant threat, as Albania's population is aging, which in the medium to long term will put pressure on productivity growth. The number of Albanian emigrants increased more than threefold over the last decades: from 0.2 million in 1990 to 1.05 million in 2017, a figure that makes up almost 40 percent of the resident population. This figure is the highest in the Western Balkans, after Bosnia and Herzegovina. Albania faces fearfully the flight of skilled workers. Statistics testify to the loss of about 40% of the educated workforce. According to INSTAT, about 70% of men and 61% of Albanian women work more than 40 hours a week. An Albanian employee spent an average of 42.9 hours a week, almost 7 hours per week more than the EU average, but job productivity is much lower than in countries where the working hours are reduced in Albania ².

¹Comparisons show that labour productivity, measured by Gross Domestic Product (GDP) per worker, in the last 2-3 years in Albania is about 31,000 usd, in the US it was 60000 usd per worker, in Lithuania it was 57000 usd, Estonia was 48,000 usd. Productivity in Albania is as much as one-third of the regional average and one-fifth of the 11 most developed European Union countries.

²Compared to the EU average, poor productivity is characteristic for the entire Western Balkans region, which, according to the EBRD, has an average productivity of around 60%, compared to developed EU countries. A worker in Macedonia creates only 43.8 percent of the average value added that EU workers create. Greece is twice as good as Macedonia with 85.6%, Croatia with 70%, Romania with 57%, and Slovenia with 81.6% of the European average value added of workers. Workers more productive are those of Luxembourg with 170% of the European average, Norway by 146% and Switzerland by 122%.

Labor productivity is estimated by an EBRD study of around 10,000 euros a year, from 15,000 euros in Macedonia, about 30,000 euros to the Western Balkans and about 50,000 euros in the 11th EU countries. In the region, Bosnia and Serbia have the highest productivity, while Macedonia and Kosovo, resulting in the two penultimate countries, have a labor productivity of around 50-55% higher than Albania.

According to INSTAT (Measurable Productivity by Employees by Economic Activity and Enterprise Size, 2015), in Albania, with higher productivity productivity, there are large companies with over 250 employees, especially those of the extractive industry, with lower indicators those of the housing and food service sector. While for SMEs, the highest productivity has the construction enterprises and lower those of utilities, electricity, water and waste management. The sectors with the highest level of labor productivity are trade, with 7.8 million leks / year, extractive industry with about 7 million lek per year. The lowest level is the hotel-restaurant sector, with 780 thousand leks / year and the processing industry sector, with 2.4 million leks / year, a sector that holds a significant share of employment in the country.

In Albania, the main factors of the problematic level of productivity relate to the low use of new technology innovations in manufacturing and service processes, the low quality of vocational training of the workforce and managers, the fragile business structure and our entire economy entirely dominated by micro and small businesses, the systematic lack of economic and development policies addressed in productivity growth, the FDI structure, and so on.

Beyond the very positive fact of reducing unemployment to 12.4% and creating over 220,000 new jobs in the last 4-5 years, in relation to the low level of productivity, a worrying problem remains the structure of new jobs created and their inactivity limited to socio-economic development and productivity growth. According to the World Bank, most of the new jobs created in Albania are benefited by people with elementary education or 9 years of age. Only 20% of new countries are occupied by people with secondary or higher education, while, for example, new jobs created between 2014 and 2016 have been on average less productive than existing ones, driven mainly by from self-employment and employment to low-paid jobs such as the fasonry or call-center sector.

The reason for this situation is caused by two factors of a structural nature and long-term impacts: the low educational and professional level of the available labor force and the dominance of open jobs with minimal investment or modest self-employment. This is the main reason why Albania has the lowest and the lowest average wage in the Balkans and Europe.

Economic Growth continues to be very sensitive to Public Investment and Banking Sector Loans

While the larger the private sector, the financial market funding, etc., have to be taken into account. It is evidenced that economic growth and fiscal sustainability depend significantly on the realization of public investment and bank credit. Over 90% of the financing in the economy and consumption comes simply and only from the banking system, while in developed countries this indicator is almost overturned in favor of financial markets, stock exchanges, investment funds, the private sector of industry or services, etc. According to BoA, "banks still represent about 90% of total financial system assets, equivalent to 92% of GDP, while the rest of the financial sector is small and accounts for only 10% of total financial system assets".

IMF classifies Albania as one of the countries with the most underdeveloped financial markets in the world¹. In the World Financial Development Index (2016), Albania ranks 107th in the list of 183 countries. The financial sector has developed considerably across the globe and modern financial systems are being applied as opportunities investment citizens, while in Albania, the financial system remains dominated by banks, while its other components are still in embryonic stages. Financial markets continue to be in their embryonic stage. Access to financial services continues to be low, both in relation

¹ In the IMF study, financial development includes improvements in such functions provided by financial systems such as: (i) pooling savings; (ii) the allocation of capital to productive investments; (iii) monitoring these investments; (iv) Risk and diversification; and (v) the exchange of goods and services.

Each of these functions can affect the savings and investment decisions and the efficiency with which the funds are allocated. Consequently, the development of financial markets affects the accumulation of physical and human capital and is an important factor of productivity and the three factors that determine economic growth. Over time, the financial sector has evolved across the globe, and modern financial systems are being applied in many respects. For example, while banks traditionally occupy most of the market, other lines such as investment banks, insurance companies, investment funds, pension funds are increasingly evolving. Similarly, financial markets have developed ways that allow individuals and firms to diversify their savings. (<https://businessmag.al/fmn-shqiperia-ne-harten-e-kuqe-te-tregjeve-financiare>).

to the countries of the region and those of the EU. This explains why the poor credit growth, or the high figure of bad loans, have a direct effect on the weak growth of economic growth.

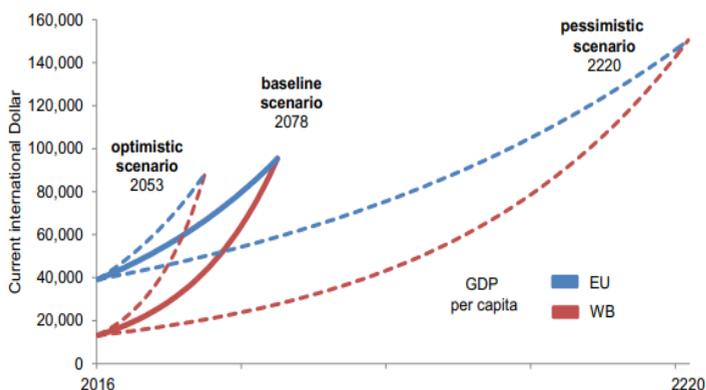
Economic Growth and convergence with Regional and European Economies.

When we analyze the structure of the Albanian economy, efficiency, competitiveness, salary level and prices, etc., we relate this to specific policies that guarantee convergence and bring us closer to the region and the EU. In many essential economic, financial and social indicators we are behind those regional and European averages. A steady economic growth of over 5-6% needs to be created to enable convergence, especially with the EU average. According to estimates made by the World Bank, with an economic growth of 4.5%, Albania needs around 36 years to reach the average per capital income of EU countries, with a stable economic growth of 6% it takes about 25 years. But referring to the medium-term macroeconomic forecasts, Albania plans that economic growth at 5-6% levels may be feasible only after 2020-2022.

According to the Economist Intelligence Unit report (2018), almost three decades have passed since the beginning of transition in Central and Eastern Europe in 1989. Revolution in revenue convergence with Europe's most developed countries has been modest, especially since the global financial crisis in 2008.

In general, Western Balkan countries have taken steps since 1989. The difference between the average level of their income and the EU15 was deeper in 2017 than in 1989. The report sets out three stages of this transition. The first phase, during the 1990s, particularly in the first half of the decade, was marked by a deep recession and under the influence of conflicts. After 2000, there was a rapid recovery and acceleration of EU level achievement 15. But this lasted until the 2008 global financial crisis. After that, the convergence pace slowed down.

Economic convergence scenarios: EU - Western Balkan countries



Burimi: IMF World Economic Outlook, 2018

The figure of Economic Growth has been and remains subject to many debates and discussions in Albania

In addition to the misuse of political and, in some cases, institutional conflicts, which faces the growth rate given by INSTAT with political frustrations and chronic mistrust for its authenticity, this is stimulated by the fact that the collection of information or data remains difficult, while we can not make corrections and measurements in real time due to difficulties in the coordination of institutions regarding the transparency of public and private finances ... taxes, treasury, ministries, customs, INSTAT, BOA, Banks, etc. Of course, this impedes the efficiency of public policy and decision-making in the private sector or FDI.

Economic Growth and the New Economic Model

Or a new economic model that has to do with the contribution of different sectors to GDP". This debate has been opened by the World Bank in 2005 with the study on the factors of sustainable growth and development in Albania, while we have been in the 10 years not giving an all-inclusive, strategic response:

What are the objectives and strategies for a structural change in the contribution of the branches or sectors to GDP for the next 10 or 15 years?

How and how will we replace the "holes" caused by the progress and stability of GDP from the construction sector's decline, the reduction of remittances, the more limited privatization opportunities "?

How much do we depend on economic growth from structural changes in our economy?

Do we already have a clear strategy of economic and financial development for the next 20 years with defined priority sectors and sectors? "

Without a direct effective response to this issue it is hard to be fully convinced that our economic policies, business climate, fiscal and budget policies, etc., go in the right direction. Important is the dominance of philosophy, which seems to have been understood, that growth should be driven by investments and exports rather than consumption and imports.

Need to build the new "profile" of the Albanian Economy for the next two decades

Guaranteeing sustainable growth means the fact that we will be able to find and identify "new sources that feed economic growth" and "substitutes" of some of the current growth sources in the short to medium term are expected to contribute far less than so far. How will we fill the "pit" that is creating the contraction of the construction sector, remittances, or "finishing" of potential privatizations. How will we eliminate or narrow the trade and pay gap? How will we restructure the rural space where mini-farms prevail and improve the tendency towards an active farm market or the rise of cooperatives that is still low? How will we develop, restructure and modernize the Albanian business dominated by small family businesses and reflect archaic and informal elements? What are the structural policies that converge with the European economy? What will be the sectors that in the next one or two decades will constitute the "real engine" of the Albanian economy? Agriculture and agro-industry? Energy? Tourism, Industry, Infrastructure, Education? Services? Private business development, etc.

The time has come to be clearer on the underlying development objectives and the economic growth model for the next two decades. We must urgently build the "profile" or "portrait" of tomorrow's Albanian economy. This disadvantage makes it even more difficult that the main political forces are in constant antagonism between them, expressed in the denying attitudes of any major economic development policy and economic and social mutual achievement, as well as the apparent neglect of the concept of a "national development strategy" prepared with political and scientific consensus, both respected and respected by both parties in governance or opposition.

We are in an essential moment to pinpoint a clear concept of a pattern of economic growth and its essential factors. Closing the transition period "and the effects of the recent economic-financial crisis have put us in front of an irrefutable fact.

The current economic growth model in Albania, largely based on the income from emigration that over the years has been even higher than 1.2 billion euros a year, donations as a poor and developing country that we have benefited from wholesale, soft and foreign aid that has been an important artery that regularly provided our economy, the massive privatizations that have created our budgets the luxury of being in balance and with a minimal deficit, primarily agricultural self-employment, the "boom" over the 15 year old sector construction, dismissal of unemployment through immigration to Greece, Italy, Germany, England, the "binding recommendations" of the IMF in the framework of its agreements in the periods 1992-2008 and 2013 2017, etc., seem to be heading towards total depletion partial.

Even the 25-year-old policies with the priority "maintaining macroeconomic balances" creating opportunities for economic growth seem to be no longer dominant. The time has come to make more structured, well-addressed and broader policies for maximum growth of economic growth, factual guarantee of its sustainability, increased domestic production and exports, massive job opening, increasing the productivity of the economy with the focus of new technologies and innovations, for a comprehensive and non-exclusive economic growth, etc.

The economic growth for a country like Albania can be promoted in several ways, where among the most important we can mention:

1. Through debts and loans from abroad;
2. Through the export of raw materials of natural resources, some finished products and a certain category of services;

3. Through economic restructuring and real structural reforms, priority growth of domestic production, diversification of products and services, adoption of new technologies, increased productivity of the economy, increased competitiveness, etc.

The first two ways are judged to be high-risk and not so stable "in relation to the third. To support economic growth only on foreign investments or credits means feeding the illusion of a lifestyle and developing beyond your concrete means of being dependent on frequent flows, "deviations" and "capricious" international financial markets means producing unrealistic economic growth based on robust and over-estimated currencies that synthesize an economic structure and consumption away from our reality.

Under the conditions where public debt in Albania is at high levels, when the budget deficit is only a few years relatively low and under control, opportunities to consider this path are limited, so much so that the current challenges and fears of any the government in the world is the "public debt boom".

Even economic growth based exclusively on raw materials, natural resources and their export, or "free labor force exports" when it comes to the fauna sector is considered as unsatisfactory, especially due to large price fluctuations of them in international markets and the fluctuations that this sector faces from regional and international developments. The occasional crisis that severely affects the industry sector, exports to fason, etc., are a testament to this conclusion.

The third way, which according to positive examples in the world has produced a constant long-term growth is "promotion of processed products and provision of modern services". Given the expansion of international markets and the demand for processed products as well as the positive effects they have on increasing domestic employment, many specialized centers and institutions should place countries like Albania into specific economic growth policies with this focus. The focus remains on "the growth of domestic production", the increase of GDP from production and not consumption, as the dominant model so far and the productivity growth of our economy.

Since we want to stimulate long-term growth, we should not remain in the "core policies" of structural adjustment programs such as macroeconomic stability, budget sustainability, deepening privatizations, economic liberalization, but focusing on productive policies, especially energy policies, industrial and rural development, be careful with financial stability, be inclined to massive introduction of new technologies in all sectors of economy and business, focus on expanding human capital and wider involvement of the active population territory on "contribution and benefits from economic growth".

The economic growth that exists in an economic and financial field dominated by the balance of payments deficit, the trade deficit, the import-dependent food market, the subjective stimulation of domestic demand, the widespread exclusion of different social groups and territorial integrity in the contribution of the benefits of growth are not considered as sustainable and efficient economic growth. The vertebral column of this change must be economic freedom, good business climate, private business development, restructuring and modernization.

This objective seems far from reaching if we consider the current situation. We have made and continue to make favorable policies for "improving the business climate," "tax cuts and simplification of the tax and fiscal system," "easing fiscal pressure on it," but that's not enough. Disturbing is the "quality" of this business, it is the fragility and in many cases "amateurism" is its high informality. In the language of economic policies this translates as "a necessity for policies that develop, expand and consolidate business" rather than simply "improving the business climate".

Conclusions

The economic growth for a country like Albania can be promoted in several ways, where among the most important we can mention:

Through debts and loans from abroad

Through the export of raw materials of natural resources, some finished products and a certain category of services;

Through economic restructuring and real structural reforms, priority growth of domestic production, diversification of products and services, adoption of new technologies, increased productivity of the economy, increased competitiveness, etc.

The first two ways are judged to be high-risk and not so stable "in relation to the third. To support economic growth only on foreign investments or credits means feeding the illusion of a lifestyle and developing beyond your concrete means of being dependent on frequent flows, "deviations" and "capricious" international financial markets means producing unrealistic economic growth based on robust and over-estimated currencies that synthesize an economic structure and consumption away from our reality.

Under the conditions where the Public Debt in Albania is at high levels, when the Budget deficit has been only the last few years relatively low and under control, the opportunity to consider this path is limited, what's more currently the challenge and the fear of any government in the world is the "public debt boom".

Even economic growth based exclusively on raw materials, natural resources and their export, or "free labor force exports" when it comes to the fashion sector is considered as unsatisfactory, especially due to large price fluctuations of them in international markets. The periodic crises that seriously affect the industry and countries worldwide are a proof of this conclusion.

The third way that, according to positive examples in the world, has produced a constant long-term growth is the "promotion of processed products and provision of modern services." Considering the expansion of international markets and the demand for processed products as well as the positive effect of giving rise to the growth of domestic employment, from many centers and specialized institutions, countries such as Albania should make specific economic growth policies with this focus.

The focus remains on the "Growth of the Domestic Production", the increase of the GDP from production and not because of consumption which has been the only dominant model so far, and the general Productivity Growth of our economy. The vertebral column of this change must be Economic Freedom, Good Business Climate, Private Business Development, Restructuring and Modernization.

References

- [1] Bank of Albania, Annual Reports 2010 - 2017
- [2] Bank of Albania, Economic Journal (2017). "The Sources of Labor Productivity in Albania: Records from Enterprises Data, 2006-2015". Authors: Elona Dushku and Ola Çami
- [3] BTI 2018 | Albania Country Report
- [4] Civici A. (2017). *State or Market - Which Economic Model to Choose?*. UET- Pres Editions.
- [5] Civici A. (2014). *The Great Transformation - from Plans to Market*. UET- Pres
- [6] Christian Comelieu, 2006, *La Croissance ou le progrès ? Croissance, décroissance, développement durable*, Seuil. Paris, France.
- [7] EBRD (2016). *Life in Transition: A Decade of Measuring Transition*. London: EBRD.
- [8] EBRD (2018). *The Western Balkans in Transition: Diagnosing the Constraints on the Path to a Sustainable Market Economy*. February 2018.
- [9] European Central Bank (ECB), Convergence Report 2018
- [10] IMF - Albania: Staff Concluding Statement of the 2018 Article IV Mission, November 20, 2018
- [11] IMF World Economic Outlook, 2018
- [12] INSTAT (2018), "Albania 2018 Figures", Brochure.
- [13] INSTAT, National Accounts (GPD), Years 2011-2018, INSTAT Publications.
- [14] Joseph Stiglitz, Amartya Sen, Jean-Paul Fitoussi, 2009, *Richesse des nations et bien-être des individus*, Paris : Odile Jacob, 326 p.
- [15] Lorenzo Fioramonti, (2017), *Presi per il PIL. Tutta la verità sul numero più potente del mondo*, Editore: L'Asino d'Oro, Collana: Le api, Italia.
- [16] Simon Johnson, Jonathan D. Ostry and Arvind Subramanian (2006), *Levers for Growth, Policy lessons from earlier bouts of growth in developing countries*, Finance & Development, march 2006, vol 43, nr.1.
- [17] World Bank (2018), *Doing Business 2017 : Equal Opportunity for All – Albania*.

- [18] World Bank (2018), Doing Business 2018 : Reforming to Create Jobs – Albania.
- [19] World Bank, Higher Economic Growth but Lean, Regular Economic Report for the Western Balkans, no. 14 | Autumn 2018
- [20] World Bank (2018), Western Balkans Labor Market Trends: 2018.
- [21] WiiW, Monthly Report 2017/07-08, Central, East and Southeast Europe: Recent Economic Developments and Forecast

Educational Situation in the Prefecture of Elbasan in the Years of the Albanian Parliamentary Republic 1925-1928

Rudina Mita

Prof.Asoc. Dr. ,University: "Aleksander Xhuvani", Elbasan-Albania

Enkelejda Balla

Msc., University: "Aleksander Xhuvani", Elbasan – Albania

Abstract

Our study aims to highlight one of the most important aspects of the Elbasan Prefecture, the educational aspect during 1925-1928. In order to analyze the education during the mentioned years, the attention and tradition and educational environment of Elbasan had to be considered during the earlier periods since the Ottoman conquest. The historical educational experience culminated in the opening of the "Normal" School in 1909, the first high school that trained and prepared teachers' teachers for the Albanian language; experience and educational achievements of 1920-1924, years in which education was given priority on the basis of the principles of massivization, nationalization, secularization and unification. Given this educational tradition even during the years we have been studying, the Prefecture of Elbasan has taken important steps in Education. In the educational development of Elbasan, the intellectual elite and educated teachers in the West, Austria and Italy, etc., who together with their scientific formation brought together the Elbasan City and the educational experience of the countries of who came. Problems, the level of primary and secondary education, the difficulties in the education system, the lack of school buildings and funds for opening and maintaining them, the education of women in special schools by males, and the charitable activity of elbasanas in terms of education, the school of education of the children of the region are some of the aspects that we have included in our study. Through this paper, the educational aspect of 1925-1928, a little handled in the context of the local history of the Elbasan Prefecture, sheds light on. ¹

Key words: education, school, inspector of education, general director of education, "normal" school, plotor, student

Educational Situation in Albania to the eve of Lushnja Congress

In Albania, the level of education left to be desired for a number of factors, which had influenced its deep backwardness. The five centuries-long Ottoman rule had left its repressive trace on the education of Albanians in their language and the opening of Albanian schools. Despite the efforts made by the Albanian intellectual elite in and out of the country in this regard, the educational aspect was very severe. A large part of the existing schools in Albania were close to religious institutions and teaching was done in a foreign language. Illiteracy included 90% of Albanian society. In the course of the efforts of the Albanian intellectuals, several Albanian elementary schools and a high school in Elbasan were opened in 1909, called the "Normale"² School, which prepared teachers' cadres for the Albanian schools in the country. This school with the pressures of the Ottoman state and the financial difficulties (financed by the Albanian people) passed several stages of closure and reopening again. The situation continued the same in the years 1912-1920. In the early 1920's, after the Lushnja National Congress, education had some growth, albeit with slow steps, guided by orienting policies in the field

¹ The used literature is based on documents of the Central State Archives of the Republic of Albania, local historiography, written print and memoirs of memorials.

² The "Normal" school was a school that was opened at the time of the Ottoman conquest with the contributions of the Albanians, and keeping it alive and its functioning was carried out not with the teaching staff's salary from the Ottoman Empire but with the money donated by itself Albanians

of education aimed at massaging, nationalizing, secularizing and unifying education. Many individuals in the country and Elbasan were educated in Western countries, making up the elite basis for generations of education in Albanian schools.

The educational state of Elbasan in the years 1920-1924

In terms of education, Elbasan was one of the territories of Albania, which had demonstrated and had given the clearest example that a country's progress could only be achieved on the basis of a nation's education. Despite the efforts made, over 80% of the population in this area continued to be illiterate. If we make a retrospective of the educational level on the years 1920-1924 show that this area had to develop education in two levels, both primary and secondary. The Normal School until 1924 consisted of 4 classes: 1 cookie and 3 normal, as the school expanded, the number of students grew up, returning to a boarding school. On October 21, 1923, for the first time in Elbasan, near the Normale school, the training school that depended on it was opened. Teachers who served as pedagogical staff who helped and contributed to this school were: Sul Harri, Karl Ljarja, Ahmet Duhaxhiu and Fasil Gurmani turning this school back to: "... *the first fire that devised a qualitative increase of didactic nationally in Albania.*"¹ During the first year of its opening, the Exerciser had 1 class with 18 students. An important event in 1924 was the emergence of this school of the first 15 graduates, educated in a full 4-year cycle. In the years 1920-1924, the number of students in the Elbasan Prefecture² was over 10,100, while the number of teachers in 59. Of these 59 teachers, 53 teachers were male and 6 were female. At three levels, only 6 students had completed universities in Western countries, 31 students had finished normal school, 34 students and students were studying in Europe at universities in Italy, Austria and Yugoslavia.

Education in Elbasan Prefecture in 1925-1928

At the beginning of 1925, the Albanian state entered the Republican stage of government. In the light of the financial difficulties created during 1924, in the six months of June's June Revolution (June 1924 - December 1924), the educational situation was severe.³ Teachers had months without receiving salaries from the state and were not the only ones in this regard. The policy of the Albanian Republican Government (1925-1928) focused on the development of education, the increase of the number of Albanian (local) schools and the strengthening of the role of state education compared to the foreign schools that existed in the country.

During this period all over the country in Elbasan, besides the growth of the role of the state in this sector, attention was focused on the important role that would be played by the aids provided by the people for building the educational infrastructure. In orienting policies to the government this influence had left an important place in terms of shortages and hardships that were evidently visible in the Albanian state budget. The people's aid consisted in voluntary collection of money for building school buildings, aid for the books and the necessary tools for poor children, so that they could be educated like others by facing the costs of education, offering their homes for school, or wealth donation for help and assistance in education in the area. In each Prefecture there were Education Inspectors who were the spokespersons of the General Directorate of Education.⁴ The role of the Education Inspector was to expand the education in the areas, identify obstacles, difficulties, deficiencies, transmit them to local or governmental bodies, meet the needs of the education staff and follow up governmental policies in the field of education for massive and inclusive education. Albanian society in it etc.

In the Elbasan Prefecture the education sector was controlled by the Inspector and district teachers. In 1925 Elbasan's education inspector was Fot Papajani. Difficulties in education in the area of Elbasan were numerous, but also factors and inhibitory factors as well. Often, the intervention of the Prefecture Elbasan was required for the solution of unfavorable and impossible situations for the Institution of Education Inspectorate, for the solution of the created situation or cramp. According to an information provided by the Education Inspectorate to the Prefecture of Elbasan, we are aware of the lack of school buildings in the villages surrounding Shijon, Karakullak, Reçan, Fikas, Petresh, and the difficulties for the Old

¹ Abdyl Paralloj, "The Contribution of the Exercise School to the Albanian Pedagogical-Didactic Thought, taken from" Normality in Tradition ", Elbasan 1995, pages 78-79

² The Elbasan Prefecture consisted of Elbasan District, Sub-Prefectures: Peqin e Gramsh

³ Our Note: The difficult financial situation was due to the lack of knowledge of the government of Fan Noli, the government emerged from the Revolution of June 1924, by internationalists due to the manner and form chosen by the liberal-democrats to come to power , by dropping a government out of the vote by the legitimate elections of December 1923

⁴ From 1925 to 1927 did not work the Ministry of Education but the General Directorate of Education

Testament family near Shijon for finding a school building. The inspector asked the Prefecture to command elders to resolve this problem.¹

One of the tasks of the Education Inspector was the inspection of schools. In October 1925, the Inspectorate of Education informed that it had inspected the schools of the villages of the Cermenika Districts, Librazhd of Quka and the school of Shinkolli in the city, also conveyed the information that Elbasan was opened and the night school in which they attended the lesson about 60 students.²

Although some progress has been made in some areas in Elbasan, great difficulties have arisen in the sub-prefectures of Elbasan, especially in the Gramsh Prefecture, where: "*Education is held in all branches, schools are rare, in places where pupils continue the poor education.*"³ The picture in this sub-prefecture forced the Prefect of Elbasan, Izet Dibra, to order the Prefecture Education Inspector to take the necessary measures to change the situation. In the report to the Inspectorate it was emphasized that "... *education is a weaker pretext ... this weakness of how it stems, whether the lack of care or lack of teachers, or not the continuation of knowledge in schools ...*"⁴ According to the Secretary of the Sub-Prefecture Gramsh Petar Xhuvani stressed one of the difficulties created in education and the functioning of schools was due to the lack of timely appointment of teachers at the Gramsh school and the Grabova and Christina schools. The intervention of the Education Inspector made possible the appointment of teachers, a measure which influenced the start-up and functioning of the schools normally.⁵ Another factor for the difficult state of education in the sub-prefecture of Gramsh, according to the Education Inspector, was budget constraints that prevented the opening of new schools in this Subprefecture.⁶

In February 1926, in the Elbasan district, on the basis of instructions from the General Directorate of Education on the implementation of the Law on the Establishment of School Commissions, Elbasan's Education Inspectorate asked the Prefecture of Elbasan to order the establishment of the School Committee as in the Prefecture and Sub-Prefectures Peqin of Gramsh and proposed some teachers to be included in these commissions. The Inspectorate had nominated as secretary of the Elbasan Commissioner Maliq Mullahollin, the Peqin Commission Director of the Center School, and Gramsh as the secretary was the teacher of that Sub-Prefecture.⁷ The Elbasan Education Commission was chaired by the Mayor and consisted of three members: Taqi Buda, Emin Haxhi Ademi and Kamber Gjergjani.⁸ The activity of the Education Councils in the Elbasan Prefecture was diverse and aimed at not only highlighting the problems that arise in the localities but also taking concrete measures for the delivery of education in the area where it operated. The Elbasan Educational Council reviewed numerous problems encountered in education in the area it covered, and related to the difficulties created by pupils in attending schools and the lack of staff in some schools. At its meeting on December 14, 1927, the Education Council of Elbasan under the chairmanship of Prefect Murat Podgorica and with its members⁹ reviewed the problems of the School Directorate for the regular non-attendance of 10 pupils of this school, or the complain of the Homeland of Martha's the continuation of the teaching of that village Sabri Skile.¹⁰ From the measures taken by the Educational Council, the school of Martanesh had started functioning on December 26, 1926: "*Zdrajshë schools have remained locked without teachers, that of Martanesh continues on a regular basis.*"¹¹

To give a detailed picture of the educational situation in the Prefecture of Elbasan, we have relied on several documentary sources, which although state sources of information provide alternative results with regard to schools, teachers and the number of pupils in them.

¹ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 161, page 1, 1925

² Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 194, page 2, 1925

³ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 152, page 3, 1927

⁴ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 161, page 5, 1925

⁵ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 161, page 6, 1925

⁶ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 161, page 9, 1925

⁷ Central Archive. of R. Al., F. 271-Prefecture of Elbasan, D. 161, p. 3, 1926

⁸ Central Archive. of R. Al., F. 271-Prefecture of Elbasan, D. 161, p. 10, 1926

⁹ Members: Deputy Mayor Haxhi Ali, Commissar of the Gendarmerie Llesh Mirashi, Director of the Planned School of Plotore Fot Papajani, and members of the Commission Emin Haxhi Ademi, Taqi Buda, Ali Çausi

¹⁰ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 116, page 2, 1927

¹¹ Central Archive. R. Al., F. 271-Elbasan Prefecture, D. 42, page 37, 1927

In the District of Elbasan the education situation, teachers 'and students', schools¹ for each school in 1927 were as follows: **Baltës:** Ali Tola (30), **Bashant:** Mustafa Gjata (11), **Bajilil:** Hysen Pajenga (39), **Belshi:** Sabri Skilja, Haxhire Daiu, Afërdita Caku, Ruzhdi ... (29), **Bixëllenj:** Ruzhdi Balliçi (68), **Bradashesh:** Tefta Përmeti e Kostaq Xhuvani (90), **Franesh:** Murteza Dylgjeri (28), **Broshkë:** Gani Hardhija (33), **Cacabezë:** Ruzhdi Hoxha (66), **Cerunjë:** Henrietaj Kallupi (99), **Cingarë:** Gani Dulja (42), **Dëshiran:** Xhaferr Qosja e Sanije Mitarja (120), **Darëzezë:** Ibrahim Gjergji (45), **Dragot Dumre:** Qemal Matraxhiu (92), **Dragot Sulovë:** Ollga Shuraja (69), **Fush Buell:** Kadri Qoli (40), **Godolesh:** Petrit Harja e Afërdita Andoni (88), **Gurizi:** Afërdita Caridha (45), **Curani:** Ibrahim Zabzuni (70), **Grykësh:** Xhaferr ...kja (90), **Gjergjan:** Afërdita...²(55), **Gjinar:** Perikli Bebi (57), **Gjorëm:** Nazmi Nixha (34), **Gjyralë:** Ali Domi (118), **Jatesh:** Hysen Hoxha (34), **Jagodinë:** Kadri Kashari (54), **Joronisht:** Refik Myftiu (27), **Kajan:** Myrteza Xhani (66), **Korrë:** Petri Caridha (36), **Kozan:** Ali Grada (34), **Kuqan:** Persefon Lazri (52), **Kulej-Papër:** Sulejman Karaj (42), **Kuturman:** Shefqet Buzo (34), **Kryezjarrth:** Aspasija Paporisto (56), **Kllojkë:** Nazi Zengjenari (...), **Labinot katund:** Musa Shehu, Petrit Guranjaku (55), **Labinot Fush:** Maliq Molloholli (49), **Linas:** Mehmet Dardha (57), **Quvhan:** Merhmet Turhani (62), **Lixhë:** Manduh Skikuli (60), **Mamël:** Ryzhdi Haseqiu (33), **Mollas:** Hasan Tallesi (84), **Mollagjesh:**Skënder Haxhihyseni (74), **Mëlizë:** Parashqevi Dedja (42), **Murriqan:** Mehmet Urupi (44), **Pajengë:** Ymet Beqiri (33), **Pakan:** Mahmut Çaushti (60), **Pashtresh:** Myrteza Sejdini (44), **Pekisht:** Demir Koçi (54), **Qyrkan:** Xhevdet Ekmeçi (68), **Rrasa:** Gjusepina Fishta e Shefikat Bardhi (95), **Serije:** Xhemil Tela (48), **Selitë:** Muharrem Sarja (28), **Seltar:** Zigfrid Zylfi (43), **Seferan:** Nashifere Biçoku (54), **Shalës:** Alush Balza e Genc Zylfi (102), **Shilbatër:** Flutur Sejdini (34), **Shinavlash:** Mir Nosi (39), **Shëngjon:** Fatushe Çerma (34), **Shirgjan:** Hysni Minga (49), **Shushicë:** Ibrahim Shingjergji (86), **Shelcan:** Mahmut Verçani (51), **Shtëpaj:** Xhavid Haxhihyseni (45), **Shtërmën:** Krat Biba, Marianthi Biba, Burbuqe Kamami (147), **Xheria:** Behexhet Shopi (43), **Valëshi:** Abdulla Shabanaj (42), **Zavalinë:** Albina Deljana (59).³

In the Peqin Prefecture the educational situation, the schools that existed in 1927, the number of teachers in them, the number of pupils for this sub-prefecture was as follows: in the "Mustafa Gjinishi" City School, during 1927, 354 pupils and educational staff in consisted of: Shefki Spahiu - Director and Teacher Qemal Kaçila, Fatime Kola, Fani Kaçila, Artemis Hoxholli, Mili Kadzadej, Afërdita Mano, Mejner Voci, Meleqe Ballhysa.⁴ The schools of the suburbs of Peqin Prefecture, the teachers and the number of students during 1927 were presented as follows: **Ballagat:** Ismail Shyti 61 students, **Bishqem:** Hasan and Fatime Skilja 96 students; **Fatishë:** Miriminsa Zaimi 50 students; **Galush:** Salih Çala 68 pupils; Gjuzaj: Ferid Pajova 63 pupils; **Gjocaj:** Gjenoveva Shyqja 79 students; **Hasdushkaj:** Nazmi Bulykbashi 61 students; **Hysgjokaj:** Riza Cëriku and Hatixhe Kadiu 128 students; **Kazije:** Ethem Bedalli 54 students; **Kurtaj:** Abdurrahim Ballolli 65 students; **Mahmut Aga:** Hasan Dilja 85 students; **Mushnik:** Gani Kaziu 51 students; **Osmanlija:** Sadik Vrijoni 56 students; **Pajova:** Adem Bedalli 75 students; **Pojan:** Isuf Çerekja 35 students; **Rrogzhinë:** Zyhni Ballhysa, Hasan Shingjergji 83 students, **Rrostej:** Hysen Lulja 36 students; **Sinanballaj:** Ymer Gjata 65 students; **Shezë:** Kadri Baltëza 65 students; **Vrapi:** Ymer Behluli 46 students; **Vashaj:** Osman Bylykbashi 58 students.

Table: Number of students and teachers in Elbasan Prefecture in 1927⁵

Prefecture Elbasan	Students	Teachers
S/P Centes	4156	78
Librazhd	2334	41

¹ Our Note: Schools presented are in the Elbasan District. According to data based on documentary information (AQSH), there were 67 schools together with teachers and the number of students. The school concept according to the merciless data implies their existence in the villages, where in the concept of a school could be understood the existence of a class, with teachers and students. Many of these villages, despite the fact that they were taught in their village, could have had their own school center in another village (one school could include several villages). This way of creating a school (schools of some schools) as an inclusion criterion had a close relationship between them, the administrative organization and so on. Therefore, the 67 villages and schools in them were in total in 19 schools in the Elbasan District. We make this explanation for the facts and materials we have presented, where the total number of schools across the Elbasan Prefecture was 29 at primary, full and normal levels

² Our note: Countries with ... Are unreadable in the archive document. While the numbers entered in (...) coincide with the number of students for each of them

³ AQSH (Central Archive), F. 271, D. 70, Viti 1927, pages 3-4, My Note: The paper was in a difficult state to be decoded, perhaps some of the data may be tailored or judged to be such, because of their inability to read them

⁴ Central Archive. of R. Al., F. 271, D. 70, Viti 1927, pages 3-4

⁵ Central Archive. of R. Al., F. 271, D. 70, Viti 1927, pages 3-4

Peqin	1734	33
Gramsh	1533	29
Qyteti	2264	61
Total	12 021	242

So when comparing data on the number of pupils, schools and teachers in 1924, the number of pupils was 10,100 in 1927 in the Elbasan Prefecture, the number of students was 12,021, thus in five years the number was increased by 1,921 students. While the number of teachers in 1924 was 59 in 1927 was 242 an increase with 183 teachers. As we can see, education has made slow progress, while in the educational context of the number of teachers we have a significant increase in this framework. Despite the progress in the field of education according to Teki Selenica the situation in the country continued to be unsatisfactory, only 15% people are taught and 85% are illiterate ...¹

Regarding the number of schools and educational staff based on Teki Selenica's data, it resulted that in the Prefecture of Elbasan during 1926-1927 there were 1 Normal school² 148 students,³ 2 full-time schools 480 students were one in Elbasan (350 pupils) and the other in Peqin (130 pupils). The total primary school in Elbasan Prefecture was 26 (1150 male students); 2 full primary schools (204 female students) in total 28 school with students 1354.⁴ Number of staff in infant school facilities 41 men and 6 women; while staff in high school 12 men.⁵

In the District of Elbasan there were 19 elementary schools (466 students out of which 275 males and 191 females), 4 primary schools were in Peqin (240 pupils out of which 40 women) and 3 primary schools in Gramsh subregion (118 pupils male). According to A. Hastopallit⁶ Elbasani had during 1927 a population of 83,672 inhabitants, and had 29 schools if we rely on the facts above could calculate 26 elementary, 2 full and 1 normal schools.

Normal School

Normal School During the school year 1924-1925 by the Normal School as its structure there were five classrooms, one cooker and four normal classrooms, 8 teachers and Exercise two teachers and two classes. In 1925-1926 three classes, the order he kept until 1929. The Exercise School is called "... *the daughter of Normales* ..." *the first pedagogical center in Albania "Its educational activity in the didactic plan in two directions: the level of high school content and teaching methods, willingness and willingness to move on the achievements of contemporary Western pedagogy, with the goal of making it as Albanian as possible."*⁸

In 1925-1926 Normality drew 31 normalists, and had the same number of teachers and 2 teachers of the two classroom practitioners. From 1926 until 1928, Normali regularly issued 25-30 normalists every year. During the year 1927 regarding the state of the school building we can emphasize that it was very heavy and under conditions not suitable for the development of the lesson. During August (1927), in the press of the press there were significant explanations of the Minister of Education Xhafer Ypi, regarding some misunderstandings created by individual individuals regarding the existence or not of the funds for the building of the Normal School building by this Minister. Efforts made by the Ministry of Education for this purpose were not concrete but consisted of **taking precautionary measures. During 1928, the ministry had sent the engineer and architect Soli to Elbasan to notice the situation of Normales and to determine the plan for the changes that could be made according to the possibilities.**

Many elbasanas in these years carried out higher studies abroad mainly in European countries, Austria and Italy. There were a total of 12 students with scholarships.⁹

¹ Teki Selenica, "Albania in 1927", Tirana 1928, page 200

² According to the newspaper "Telegraf", on Sunday, March 6, 1927, among other things was cited: "After the information of the Directorate of Education, in the nine High Schools that after our Republic, learn 1270 pupils and students where the Normal School for Elbasan Boys has 200

³ Teki Selenica, the work mentioned, page LXV

⁴ Teki Selenica, the work mentioned, page LXVIII

⁵ Teki Selenica, the work mentioned, page LXVII

⁶ Official Gazette, Tirana, 6 November 1927

⁷ Reshit Koburja, Genc Trendi, "The Normality in Tradition", Elbasan 1995, page 90

⁸ Reshit Koburja, Genc Trendi, "The Normality in Tradition", Elbasan 1995, pp. 87-91

⁹ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D.119, page 22, 1927

Education in Elbasan in 1927-1928

In 1927 in Elbasan there was also the Women's School "*Ali Agjahu*", which in this year had started adjusting because of the difficult condition in which it was and the inappropriate hygienic, technical and infrastructural conditions in it. The work on arranging the Namazgjase¹ Women's School continued during November 1927, and even the Elbasan Prefecture cautioned the Municipality to delay the work for its regulation.

The establishment of new schools was one of the successes of the work to improve, expand and improve the quality of education in the Elbasan Prefecture. From July to September 1927 according to the data of the Prefecture it was informed that Elbasan district was the 21st elementary school. The city school students had continued normal teaching and rebuilding the schools at the circuit and completing them with the necessary furniture was carried out in a timely manner. At the Night's school, there were 75 students studying with two groups that liked their cultural level.²

By December 1927, according to the data of the Peqin Sub-Prefecture, the number of schools and the number of pupils in it, presented by the School Directorate Plotor³resulted: Peqin Plotor School consisted of 6 cadres, and 103 students of registered students, from which they continued the 88-90 school regularly. The Women's School consisted of 2 rankings, registered 47 girls, and continued to study 30-35 girls regularly. The school of Rrogozhina had 1 class and 33 pupils, of whom 27 students regularly studied. The School of Gjuzejt consisted of 1 class, with 49 students, of whom 16-20 pupils frequented regularly. The School of Uruçaj could not be opened after 9 Heads of the County of this school had not been able to collect the necessary aids for repairing the school building and its furniture in time. This school opened in March 1928 and 12 students were enrolled.⁴

In the District of Elbasan and in the Sub-Prefectures of Peqin and Gramsh regarding the non-attendance by the school students, it was informed that strict measures were taken that would penalize their parents. This was an obligatory way to increase the attendance of students in schools.

In 1928 in support of the education of Elbasan, the local population contributed and collected financial assistance. The collected amount of 252.56 gold francs, of which one part was handed over to the Directorate of Normal School.⁵ During this year, a commission of 12 members for the collection of aids for the reorganization of the Internat (dormitory-R.M., E.S.) was established in the Gramsh Prefecture, the Commission collected an amount of 9027 gold francs. The establishment of the Internat building was set up in an area near Devoll, 200 meters from the Gramsh Government Building.⁶ In 1927-1928, primary dormitories were opened in Elbasan's Bërzeshtë.⁷ In these years an important role was devoted to the fight against illiteracy, which continued to exist at high levels in the prefecture and in the country.

At the end of this paper we conclude that Albania and Elbasan as an integral part and as one of its prefectures during the period of Republican Government from 1925 to 1928 in the field of education marked achievements but not enough in the delivery of primary education and the middle one. During these years in the country, important steps were taken in the implementation of Reforms in the field of education, which consisted of changing the organizational structure of the school, the programs, the connection of the theory with the practice, On the basis of these reforms in the area of Elbasan opened new schools, dormitories, improved education in the existing schools, schools that did not work with the educational framework, schools of night classes were opened. Despite the steps taken and the attention paid to by the governing policies, despite the efforts of encouragement and development, it should be noted that the educational situation remained again at satisfactory levels. The difficult financial situation in the country was a decelerating factor in terms of investments in this sector. But Elbasan and peoples of Elbasan, in spite of the difficulties that they had in everyday life, united their efforts, and unleashed their generosity, to give life and development to education in their area, despite the difficult economic

¹ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 70, page 7, 1927

² Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 173, pp. 2-6, 1927

³ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 42, p. 28, 1928

⁴ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 45, p. 28, 1928

⁵ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 116, p. 33, 1928

⁶ Central Archive. of R. Al., F. 271-Elbasan Prefecture, D. 66, page 2, 1928

⁷ "10 years Kingdom 1928-1938", Tirana 1 September 1938, page 153

situation in which they lived. Through it (education) the Elbasan's children could absorb the oxygen of knowledge and through it serve in the future with all their potentials Elbasan of Albania.

Bibliography:

- [1] Central Archive. of R. Sh., F. 271-Elbasan Prefecture:
 - File 161, 1925
 - File 194, 1925
 - File 152, 1925
 - File 116, 1927
 - File 42, 1927
 - File 70, 1927
 - File 119, 1927
 - File 173, year 1927
 - File 42, 1928
 - File 45, 1928
 - File 116, 1928
 - File 66, 1928
- [2] Albanian Academy of Sciences, "The History of the Albanian People," Vol. III, Toena 2007 Official Gazette, Tirana, 6 November 1927
- [3] "10 years Kingdom 1928-1938", Tirana 1 September 1938
- [4] "Telegraph" newspaper, Tirana, Sunday, March 6, 1927
- [5] Magazine "Normalisti" Elbasan, Nr. 3, May 1929
- [6] Musa Tafa, "Normalist-on the occasion of the 50th anniversary of the opening of the Normal School (1909-1959), Elbasan 1959
- [7] "Normality in Tradition", Elbasan 1995
- [8] Teki Selenica, "Albania in 1927", Tirana 1928

Financial Institutions Involved in the Bankruptcy and Liquidation Process in Kosovo

Naim SPAHIU¹

PhDc. Law Faculty, University of Prishtina Hasan Prishtina, Kosovo

Abstract

In modern states, economic system of state it function through financing institutions. So, financing system plays an important role in business and economic activities. Bankruptcy and liquidation process in finance sector in Kosovo has intended avoiding the failure of the economic enterprise and its one of the important cases in finance direction. Therefore, studies of this form shows a big interes from scientific researcher in our state and wider. This paper is focused in bankruptcy and liquidation process of finance institutions, studing the most important elements of bankruptcy and liquidation process in out place and region. Research model gives a visual describe of research and this topic elaborates very well. Financing institution are registered and licensed from CBK and it consisting of: Banks, Pension Funds, Ensurance Companies, microfinancial institutions and other nonbank financial institutions. Central Bank of Kosovo (CBK) has executive responsibilities for licensing/ registering and monitoring financial institutions such as: banks, ensurance company, pension funds, microfinancial institutions, nonbank financing institutions and other legal subjects that exercising financial activity with Kosovo legislation. As th bankruptcy process starts ealry, by taking signals from financial indicators, research preliminarily do actual evaluation of finance statements of financial institutions. The purpose of this paper is to give general frame of bankruptcy and liquidation of financial institutions in Kosovo. Financial performance measurement which is thought to be a model of performance is limited with CAMEL model for banks and Dupont model for other financial institutions. Excepted of those, research is a subject of only financial institutions in Kosovo, so it could not be generalized.

Keywords: bankruptcy, liquidation, financial institutions, process.

1. Introduction

The bank is enterprise with business specific, which are regulate with action, the practice and specific provision. Bank is special system financial monetary-creditor institution, with it takes and giving credit in professional way, and with the intermediation in the flow of competent payments². Dr. Felx SOMARY (Swiss), on his write "plotitical bank" which is published on Thubingen in 1934 cites: Bank is an **apoent** institution , the main work is taking credits in money form. Somary accesses bank function not from the aspect of giving loan but from the aspect of loading with bank debt, that it means from the way of funds mobilization³.

Today, banks leads "market money" but at the same time they are producing industry.

Every loan repaid reduce quantity of money on the market but at the same time it increase wealth of banks. Banks has an important role because they orient money on their direction they need to have and to not forgetting and their contribution on the state economy⁴.

Kosovo Banks serves citizens and businesses of Kosovo offering a wide range of financial services.

¹PhDc. Naim SPAHIU, Low Faculty, University of Prizren, Prizren, Kosovo,

² Prof Dr. Gazmend LUBOTENI, Banks and Banking Business, page 6, Prishtinë 2013.

³ Sabahudin KOMONI: Financat, Text entity and learning tools of KSA of Kosovo, Prishtinë 1985, pg. 124

⁴<https://sq.wikipedia.org/wiki/Banka>

Kosovo's banks make it possible for businesses to start and expand their activities, to increase their employment and to offer better services to their clients.

Also, banks help familiar economy to realise their goals making possible to finance their living, to finance their education or to afford other needed costs¹. Kosovo's Banks also empower society through their charity activities and financial support for important project of society. Banks sector also have take good initiative last years to support increase of children capacity and youth though financial education. Today, in Kosovo operate 10 (ten) commercial bans and they have 67.5% of total assests of financial sector. Products and their services include bank account, local and international payment, bank cards, bank guarantess, credit letter, e-banking. Access to this bank services enable actually though 233 branches and nines, 500 ATM and 12.303 POS and 228.745 e-banking account².

The bank is created on the base of system that it has for the goal to obtain with monetary provisions, saving of costumer savings and lending for financial goals. Her services offer through an agency network. Over time and fast development of technology it is showing more new opportunity of action³. The bank it takes savings, credit giving, payment intermediation in society and economy. **The Word of the Bank**, supposed from Italian word "**banco**" where in translating it will shows a set up stall, and on his history it started as it below: where this job done "**thesauri**". Nowadays it is using expression "**thesauri**" where it has notion of some fast instrument collection jobs or bank production. **First function was exchange**, or the replacement of various to then metal coins with different weights and quality.

Center Bank of Kosovo (CBK) is responsible for bank licencing. CBK regulate publish the list of banks where operate in Kosovo⁴.

2. Branches of foreing banks on Kosovo

Commercial banks in Kosovo have various stock structure. Eight of them are banks with foreing capital and two of them with local capital⁵. On the base of law for banks: Banks we call the person who is organised, it has own seat and it has licence to engage in bank activities in any other jurisdiction except of Kosovo⁶. While based on the regulation of CBK for licencing of Banks and foreing Bank branches in Kosovo, **Article 2point b**, its said: *Branches of foreing banks* - is a person who is organised and licenced from CBK, to perform bank activities in Republic of Kosovo, but the mother bank that it has their main headquarter and it hold licence to perform banks activities in other jurisdiction out of Republic of Kosovo⁷, which is the responsibilities of CBK to give licencing, CBK has exclusie responsibilities to give licence for every bank and enrollment of all Microfinance Institution and non-bank Microfinance Institution for issuing permits of the foreing banks regarding the establishment of representative offices. A central register is kept by the CBK for inspection from the public which it register every Financial Institution, the name, address of central directorate and banches and actual copies of the founding act or similar documentation of foundation and bylaws act⁸.

All of foreing banks that develop business in Kosovo where they work in base of Regulation forlicencing of banks and branches of foreing bank in Kosovo designed by the board of CBK on December 2012.

1. The abovementioned regulation lays down the conditions, requirments, the procedures and deadlines to be followed for applying and granting a license to a bank and/ or a branch of a foreing bank;
2. This regulation will apply to all applicants for a license from the CBK to engage in banking activity in the Republic of Kosovo.

Article 7 of regulation said:⁹ 1. When a foreing bank apply for establishment of a branch in Kosovo, the conditions will be the same for local banks. CBK will appreciate the resilience of shareholders and the group as a whole, especially when the

¹<https://www.bankassoc-kos.com/Al/sektori-bankar/>(Last updates: June 2018)

²<https://www.bankassoc-kos.com/Al/sektori-bankar/>(Last updates: June 2018)

³<https://sq.wikipedia.org/wiki/Banka>

⁴<https://bqk-kos.org/?id=20>

⁵<https://www.bankassoc-kos.com/Al/sektori-bankar/>(Last updates: June 2018)

⁶Law No. 04/L-093 for Microfinance Institutions Banks and Non-banks finance institutions pg. 3.

⁷CBK regulation for licencing of Banks and foreing Bank branch in Kosovo 2012,

⁸Law No. 04/L-093 Microfinance Institutions Bank and Non-Bank institution financepg. 4.

⁹CBK- Regulation for bank and foreing bank licencing in Kosovo, pg. 3.4. December2012 (based on article 3 of Law no. 04/L- 093 for

mother banks it isn't main bank on the group. But except of this, as it looked with Article 7 of Law for banks, CBK will looking for evidence to prove that supervisor of mother bank it hasn't any opposition for this proposal.

Also CBK must be convinced that the banking group, part of the new bank will be is subject to effective consolidated supervision.

3. On the case when the foreign bank apply for licensing establishing of her branch in Kosovo, CBK requires from the supervisory authority of the jurisdiction of the mother bank:

A proof that the applicant is a well-organized institution and possesses a valid license of the institution for receiving deposits;

Additional information about the final bank's examination within a hundred and eighty (180) last days, indicating that the level of capital, asset quality and liquidity ratios are assessed by that authority at least with a satisfactory level rating;

That the applicant is not subject to remedial measures or under an early warning program set by the supervisory authority;

That the branch establishment and its activities in Kosovo are allowed without any predetermined condition;

4. In the case of applications for a license for branches of foreign banks, a security letter addressed to the CBK by a foreign mother bank will be required, by which it is recognized the legal obligation of the foreign bank to pay all its liabilities foreign bank branch in Kosovo.

5. Article 17 of the Law on Banks requires any foreign bank operating with one or more branches in Kosovo to uphold the demands of Kosovo residents higher than its obligations to residents of Kosovo. CBK determines the level of claims requirements on residents of Kosovo depending on the branch's assessment on an individual basis.

6. CBK has the right to request a foreign bank operating through its branch in Kosovo to return its branch to a subordinate subject in accordance with Article 12 of the Law on Banks.

7. If, according to the CBK's assessment, the foreign bank's branch is acting contrary to the interests of its depositors, CBK has the right to withdraw a foreign bank license to act as a branch and block the equivalent capital deposit.

8. In cases where a foreign bank establishes two or more branches in Kosovo, one of the branches should be designated as the main administrative center of the bank. Regulatory Reports will be sent to the Consolidated CBK, including all details of the branches of a foreign bank in Kosovo¹.

3. Microfinance Institution in Kosovo

Financial Institutions All Banks, Non-Bank Financial Institutions and Microfinance Institutions that are Regulated by Law². In Kosovo there are 14 microfinance institutions, with over 110 branches. Their activity is the provision of loans and the provision of a limited number of financial services for micro and small legal entities. Mainly, they are focused on granting loans to agriculture³.

For economic affairs experts, these institutions are safe, as they do not accept deposits, but only have their bids. In general microfinance institutions are organizations that provide small loans to low-income individuals or household businesses. The majority of microfinance institutions operating in Kosovo are members of the Association of Microfinance Institutions of Kosovo (AMIK), which was established in 2012. The AIMK supports the development of micro-entrepreneurial programs to assist small entrepreneurs in starting, stabilizing and expanding business.

AIMK coordinates activities such as joint training, mutual visits between other MFIs established in the region, and other activities as required by member institutions.

banks, microfinance institutions and non-bank finance institutions (On below: Law for banks),

¹CBK- Regulation for licencing of banks and foreing branch bank in Kosovo, pg. 1. December 2012(Article 3 of Law no.04/L-093 for banks, Microfinance institutions and non-bank finance institutions(onbelow: Law for banks),

²Law for microfinance institutions bank and non-bank finance institutions, No. 04/ L-093 12 April 2012, Prishtinë.

³<https://www.evropaelire.org/a/24930983.html>

The aim of the AIMK is to become the leading association of microfinance institutions in the region. Below is a brief description of the microfinance institutions currently operating in Kosovo, most of which are AMIK members.

Microfinance Institution in Kosovo are listed below as well based on the activities:

Timi Invest- and offers individual loans for home businesses and small businesses. START which offers loans for agriculture, handicrafts and trade;

Perspective 4 offer loans for, agriculture, handicrafts and trade;

Meshtekn provides lending to the village, lends to individual businesses, manufacturing, trade, agriculture;

Kosovo's Rural Credit provides lending to the village, lend to small businesses, agriculture and individuals;

Kosova Aid and Development offers small loan for businesses, loans for trade, produce and agriculture;

Kosinvest World Vision offers group loan solidarity, individual business loans, agricultural loans;

GMAMF offers loans for agriculture, livestock and trade;

KEP TRUST-i offers solidarity loans, individual loans and village bank;

FINCA offers group loans, individual and business loans, home improvement loans and rural loans¹.

3.1. Non-bank financial institutions

Non-Bank Financial Institutions (NBFI) provide specialized financial services to clients, such as loans, leasing and mortgages. Below is a brief explanation of the products and contact details for non-bank financial institutions in Kosovo².

Non-Bank Financial Institutions (NBFI)- is a legal entity that is neither a bank nor a microfinance institution licensed by the CBK under this law to engage in one or more of the following activities: granting loans, borrowing and leasing contracts - leasing signing, trading, mediating or distributing securities, acting as an investment company or investment advisor or providing other financial services such as foreign exchange; credit cards; factoring, guarantees, or other financial, training, training, advisory and operational services as well as other activities as determined by the CBK³;

3.1.1. Insurance companies and insurance intermediaries

Insurance companies in Kosovo are organized in a united association called the Kosovo Insurance Association (KPS). KPS is established in 2002 after the agreement of representatives of licensed insurance companies in Kosovo⁴.

The aim of the association is to improve the insurance industry in Kosovo, assist in stabilizing the insurance market and provide training to member company staff⁵.

More information can be found on the website KPS.

The insurance companies in Kosovo are listed as follows on the basis of the following activities:

Security was established in June 2000. Security provides third-party liability insurance, casco insurance, personal, property, home security, and building risk. Sigkos was established in 2006 as a private insurance company by two local businessmen. SIGKOS provides insurance for vehicles, casco, personal, health, property, liability, all contractual risks, all construction hazards, cash in cash and cash in transit.

Sigma Vienna Insurance Group - was established by the Insurance Supervisory Commission decision in February 1999 as the first insurance company in Albania.

¹<http://www.itg-rks.com/sq/Institucionet-mikrofinanciare>, 16.07.2018

²<http://www.itg-rks.com/sq/Institucionet-financiare-jobankare> 16.07.2018

³Law No. 04/ L-093 for microfinance institutions bank and non-bank finance institutions, 12.04.2012, Prishtinë.

⁴<http://www.itg-rks.com/sq/Kompanite-e-Sigurimit>

⁵<http://www.itg-rks.com/sq/Kompanite-e-Sigurimit>

Sigma was licensed to work in Kosovo in November 2004. In September 2007, Sigma became part of Vienna Insurance Group. Sigma provides property, vehicle and health insurance coverage. Sigal Uniqa Group Austria Kosovo: SIGAL operates in Kosovo since October 2003. SIGAL provides health insurance, life insurance, vehicles, property, financial guarantees, engineering, liability, agriculture, marine, aviation and transport of products. Kosova e Re is the successor of the company "Kosova". Founded in 1974, it is the oldest insurance company in Kosovo.

In 2002, New Kosovo received a permanent license from the Central Bank of Kosovo.

New Kosovo offers personal insurance, guarantees, property and vehicle insurance. INSIG Kosovo established in 1991 by the Government of Albania. In March 2000 INSIG-Kosovo was licensed to work in the Kosovo market as a subsidiary of INSIG-Albania. Insig- provides health, property, and liability insurance. Illyria was licensed and started working in February 2002. The company is part of the Sava Re Group. ILLYRIA offers health insurance for vehicles and property.

GRAWE ELSIG is part of the Austrian financial group GRAWE.

The company was established in 2008. The company offers insurance of vehicles, from accidents, property, health, guarantees and liability insurance. Dardania entered the insurance industry in 2002 through a temporary license issued by the United Nations Mission in Kosovo (UNMIK). Later in 2002, Dardania received a permanent license from the Central Bank of Kosovo. Dardania offers insurance for accidents, health, home, vehicles and property. Croatia Sigurimi sh.a is a branch of Croatia Osiguranje headquartered in Croatia.

Croatia Insurance was established in 2005. CROATIA Insurance provides Casco insurance, transport of healthcare products and vehicles¹.

3.1.2. Pension funds

A pension fund is defined as a pool of assets purchased through participatory contributions created to generate sustainable growth over long-term periods, with the sole purpose of financing the contributors' pensions when they reach retirement age².

Pension funds emerged and developed later than the insurance companies, with a strong development they had in the post-World War II period. While in insurance companies insurance policies are contracted on an individual basis, pension funds have to do with the pension insurance of employees in large companies, on a collective basis³

Pension funds are financial institutions that develop their business activity on the basis of contractual insurance, and can count on the support in the assigned revenues in their logs on a monthly basis. These monthly income in their accounts based on pension insurance contracts constitute appropriate circumstances for the program of financial potential of funds and their adequate investment in understanding the formation of the optimal structure of the securities portfolio⁴. Pension funds, through investments made, are shareholders of a large number of large companies and can be very important investors of capital markets.

Therefore, based on the overall value of the investments that these funds make, they are rated as the largest institutional investors in the globe, and that based on the activities carried out, they are going through hedge funds, pension companies and foreign exchange reserves.

The Kosovo Savings Pension Fund (KPST) is an independent and non-profit public institution, established by the Assembly of the Republic of Kosovo. KPST is eligible according to the defined contribution pension model, which means that each contributor saves the pension in a pension log. KPST is an institution established in December 2001 and started its activity in August 2002 to administer and manage the obligatory pension (and voluntary) contributions of Kosovo employees. The KPCC General Activity is regulated by the Assembly of Kosovo (MA). KPST is committed to maintaining and investing pension contributions saved by Kosovo citizens during the employment relationship, pension funds were characterized by a positive performance in 2017. The total value of the pension sector's assets reached 1.65 billion euros, a significant

¹<http://www.itg-rks.com/sq/Kompanite-e-Sigurimit>

² Investopedia – www.investopedia.com

³ Fadil GOVORI: Finance, 2010, Fq. 125

⁴There.

increase in assets of 16.0% in 2017, mainly as a result of the increase realized by new contributions and the increase in return on investment.

The pension sector almost doubled the return on investment reaching 103.1 million euros in 2017, unlike the return of 65.3 million euros in 2016¹.

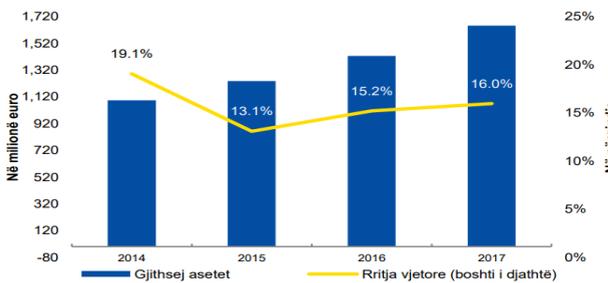
3.1.2.1. Pension sector in Republic of Kosovo

Pension sector on 2017 year characterized with asset increase from 16.0%.

General value of assets of pension sector reached to 1.65 million euro, where this it done as a second biggest sector on finance sector with 27.9% of assets (figure 1.).

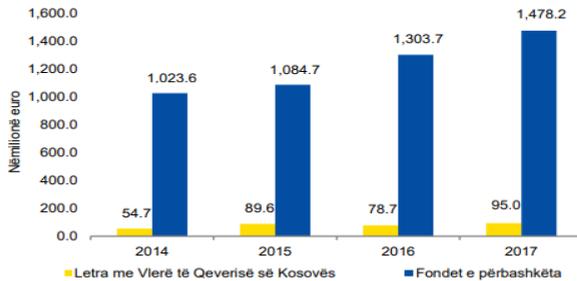
On this contribute increases gives increase in contributions received from both funds and return on investments from the Kosovo Pension Savings Trust (KPST)².

Figure 1. Pension assets sector, in million euro



Source: (Annual Report of CBK 2017 Prishtinë, June 2018)

Figure 2. FKPK investment



Source: (Annual report of CBK 2017 Prishtinë, June 2018)

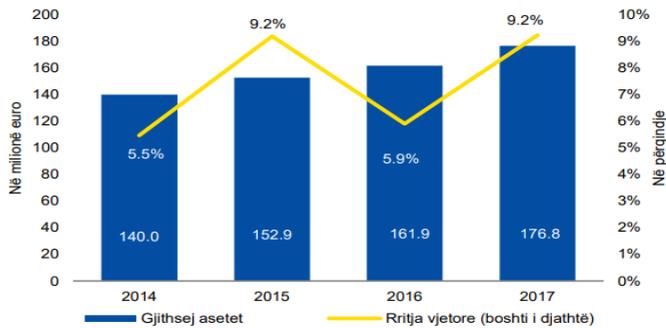
The value of contributions received from the pension sector amounted to 160.3 million euros (152.0 million euros in 2016), representing an annual growth of 5.4%. The Savings Value of the Kosovo Pension Savings Trust (KPST) amounted to 159.8 million euros. The pension sector almost doubled the return on investment reaching 103.1 million euros, unlike the return of 65.3 million euros in the previous year. KPST realized a positive return on investment of 102.6 million euros, which consists of 99.5% of the assets of the pension sector, marked an increase of investments in Kosovo Government securities at the level of 20.8%, while investment in mutual investment funds, which are abroad, recorded an increase of 13.4% (figure 2).

¹ Annual report of CBK pg. 15, 2017 PRISHTINË, June 2018

² Annual report of CBK PG. 40, 2017 PRISHTINË, June 2018

The pension insurance sector - The insurance sector today represents about 3.0% of total financial system assets, in December 2017 recorded an annual growth of assets of 9.2% and amounted to 176.8 million euro (figure 3). One of the main contributors to asset growth was the increase in liquid assets, ie cash held in commercial banks, which has the highest share in the assets structure of insurance companies.

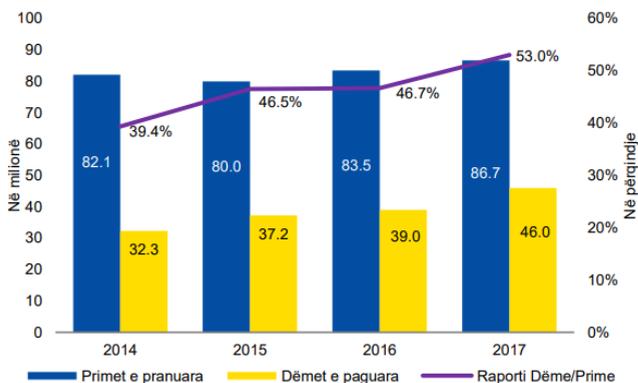
Figure 3. Insurance assets sector



Source: (Annual report of CBK, 2017 Prishtinë, June 2018)

Non-life insurance, which at the same time has the highest share of total sector assets (87.8%), recorded an annual growth of 6.7% in 2017. Meanwhile, "life" insurance, which is the remainder of the assets, recorded an annual growth of 31.5%¹. During 2017, the value of premiums written by insurance companies amounted to 86.7 million euros, an annual growth of 3.9%. The written premiums structure is headed by non-life insurance premiums, which represent 97.1% of total written premiums. Their value during this period of 84.2 million euros is 4.1% higher than in 2016. While the premiums written by insurance were 2.5 million euros representing a lower value by 3.4%.

Figure 4. Written premiums and paid damages



Source: (Annual report of CBK, 2017 Prishtinë, June 2018)

Damages paid by the insurance sector, including damages to insurance companies and the Kosovo Security Bureau (KSB), marked a significant annual increase of 17.8% in 2017 (an increase of 4.9% in 2016). The higher growth of claims paid during this period, in addition to the smaller increase in written premiums, resulted in an increase in the ratio of total damages paid to written premiums (figure 4)².

¹There

² Annual report of CBK, page. 42, 2017 PRISHTINË, June 2018

Insurance sector performance: The insurance sector closed this year with a positive financial result, unlike the previous year. Net income from insurance premiums in 2017 recorded an annual growth of 4.7%, while in the same period expenditures were characterized by an annual decline of 7.1%, and the incurred damages recorded a significant annual decline of 47.1%. As a result of revenue growth versus the sharp decline in expenditures and damages, the insurance sector recorded a profit of 6.4 million euros. Measures taken by the CBK through the entry into force of the Regulation on the sale of compulsory motor liability insurance and the management of insurers' expenses at the beginning of 2017 have resulted to be effective in reducing and limiting expenditures by taking into account the decline significant expenditures of the entire insurance sector during this year. Also, the positive financial result realized during 2017 was also affected by the increase in the payment of damages by some non-life insurance companies and the change of secondary legislation of the CBK in accordance with legal requirements regarding the Regulation of the Compensation Fund. These steps have contributed to the reduction of technical reserves, resulting in lower costs and consequently in profitability.

The annual growth of cash and cash equivalents of 8.3%, coupled with the 5.7% drop in technical reserves of the insurance sector contributed to the improvement of the liquidity level. The ratio between cash and cash equivalents to reserves increased to 104.3% in 2017 from 90.7% in 2016, and the ratio between cash and cash equivalents to total liabilities increased to 91.3% (83.1% year 2016)¹.

Conclusion

The purpose of this paper is to do evaluation of financial performance of financial institutions in Kosovo, to see if those institutions risking to go bankrupt. To do this research with financial institutions are selected *bank sector*, pension funds and insurance companies. The reason of choosing these is that banks represent 66% of financial activities according report of CBK for 2017 year and 27,7% pension funds.

So, banks and pension funds, together, represent over 90% of financial sector in Kosovo.

Therefore, we can say that financial sector in Kosovo represents from banks to a great extent and pension funds. Then, these are selected insurance companies for research, as institutions that immediately after the banks and pension funds.

From banks, are selected Ekonomik Bank of Kosovo, National Commercial Bank, Bank for Business, NLB Bank, Raiffeisen Bank and TEB Banka, and from funds are selected two funds which operated in Kosovo, **Kosovo Pension Saving Trust** and Pension funds Slovenian-Kosovar, and from fifteen insurance companies are selected companies as Elsig, Eurosig, Illyria, Illyria life, Dukagjini, Prisig, Sigal Uniqa Group and Sigkos.

Selected process is based on availability annual financial reports online. After of selected of these institutions, financial reports are reviewed for last of three years, 2017, 2016 and 2015. From these financial reports, are taken financial indicators by using CAMEL model for banks and eleven financial indicators and using DuPONT system for pension funds and insurance companies with five financial indicators.

CAMEL model is a very good model for evaluating performance of banks and it used in a lot of cases like ours. Financial indicators of CAMEL model show for a good average performance of all banks in Kosovo. Banks in Kosovo are managed very well and they have fulfilled all their obligations. Non of banks are not evaluated to have low performance or doubtful and this means that banks are performing very well and they are far away of bankruptcy.

Recommendation

Based on the results obtained, below recommendation will be take considering:

Despite that financial indicators shows good financial performance of the banks and it shows studied are far away of bankruptcy and liquidation, however, there were significant statistical difference between banks. These banks should be careful that their report should not fall below the recommendation values according the best bank practice.

Generally, banks such as BEK, BKT, BPB and NLB have poorer capital adequacy ratios and should be careful not to diminish this ratio.

¹ There

An important case we can see about banks performance is asset quality report.

Despite that the banks year by year they work in minimizing of coefficients of quality assets, they are again found on the accepted criterion according best bank practice, that for non-performing loans to total loans and to total capital is suggested to be below 1%, while the loan loss provisioning coefficient is suggested to be below 3%.

All banks, should work in this direction, that these three indicators to approximate to these values, by keeping lower rates of non-performing loans and provision for losses.

Regarding the financial funds, there is a different performance compared to the banks.

First of all, it can be noticed that the Slovenian-Kosovar Pension Fund has a higher profit margin compared to the Kosovo Pension Savings Trust, however other reports present a more positive performance for the Kosovo Pension Savings Trust.

Pension funds should be care to save actual financial position. KPSF should have attention to the profit margin, as year-to-year fluctuations point to a destabilization of profit.

As well, and back norm of assets (ROA) and back norm of capital (ROE) should be managed nearly, as high movements presents for a stability of these reports, while KPSF despite the lower values of these reports, there was a more stable stability.

So, KPSF should control base and customer portfolio and carefully manage thier accounts.

In the end, studied ensurance companies in this paper, shows non stable statement of financial sector.

Ensurance companies should see their financial stable nearly and considering showed informations in financial statements, which often tell us for negative value reports.

It can be noticed that most insurance companies have operated at a loss and have overcome negatively negative values from year to year.

So, we are talking about instability, different from banks and pension funds.

Excepted this, all other reports shows extreme crossing year by year, or continuation negative statement. Therefore, ensurance companies should be managed nearly and with carefully, offering their customers safety services, beneficiary and reliable, to increase customer portfolio, that ensure them a statement profit, reasonable back of assets and capital and and a continuity in the future.

Literature

- [1] LUBOTENI, Gazmend (2013) Banks and banking business, University of Prishtina, Prishtin
- [2] CBK (2017). *Financial Stable Report*, Prishtin,
- [3] CBK (2017). *Annual Year 2017*, Prishtinë,
- [4] DAUDERIS, Henry; ANNAND, David (2014). *Introduction to Financial Accounting*, Second Edition, Valley Educational Services Ltd.
- [5] KALAYCI, Şeref (2017). *SPSS Multi-Variable Application Techniques*, (Translated book, Translate Kujtim Hameli)
- [6] DRAKE, Pamela P.; FABOZZI, Frank J. (2010). *The Basics of Finance. An Introduction to Financial Markets, Business Finance, and Portfolio Management*, John Wiley and Sons, Inc.,
- [7] A world Bank Group Flagship Report: Doing Business 20117, Equal Opportunity for All,
- [8] Assembly, Republic of Kosovo (2012) "Law for Banks, Microfinancing Institutions and Banks Financial Institutions", Law No. 04/L-093,
- [9] Fadil Govori: Finance, 2010 Prishtin,
- [10] MAYO, Herbert (2012), "Finance Base – Introduction of financial institutions investments and directions", UET Press, Tiranë,
- [11] Investopedia – www.investopedia.com
- [12] Republic of Kosovo, Assembly, Law No. 04/L-093. *Law for Banks, Microfinancing institutions and Nonbanks Financial Institutions*,

- [13] www.bqk-kos.org,
- [14] Fadil Govori: Banks Economy, ISBN 9951-491-00-6 Prishtin 2011,
- [15] Davis, M., and V. Lo (1999) "Infectious Defaults," working paper, Tokyo Mitsubishi International PLC
- [16] Law for bankruptcy in Republic of Kosovo 05/L-083, date 9 June 2016.

Imereti Region's Natural - Recreational and Historical - Cultural Potential as Tourism Development Factor in Georgia

Davituliani Tsitsino

Mikautadze Rusudan

Kutaisi Akaki

Tsereteli State University, Georgia

Abstract

Imereti – is one of the smallest region on the Black Sea coast in Georgia. The geographical location, historical-cultural and natural monuments, the rich Imeretian hospitality traditions are a good prerequisite for the development of recreation and tourism. Imereti region is a growing tourist segment. For more than 900 historical and more than 350 natural monuments continuously presents the rich history of the country from the primitive societies until nowadays. Myths and legends related to Imereti (Colchis kingdom, myth about Amirani (Prometheus), Golden Fleece, King Aetees and Medea and etc.) are well-known for the Western society. The work done for the popularization of these tourist products has greatly contributed to the growth of both organized and unorganized tourism. (80,000 men in 2007, in 2017 - more than 450,000). Today, tourism in Georgia is developing at a fast pace. Natural and historic monuments are the "Golden Keys" of the tourism potential of the region. We believe that tourism is a stimulus for the development of the local economy, and it should facilitate for staying of youth in the small towns by creating different jobs in order not to leave their country and therefore alienate from their national identities and culture.

Key words: natural monuments; historical-cultural heritage; national identity; recreational resources.

Introduction

Georgia has an important strategic location in the Caucasus, on the eastern coast of the Black Sea. It contains all elements of recreational resources: the warm sea, mild climate, vast hydrographic network, constant glaciers, karst caves and rich cultural and historical monuments.

Today, Georgia, with its unique culture, traditions, hospitality, natural and historical monuments, attracts more and more attention on the tourist market. Because of its small territory, tourists can fully imagine its natural-recreational resources and historical-cultural heritage.

We'd like to introduce you one of the regions of Georgia, Imereti and to show you its tourist prospects and potential using various visual, scientific and statistical materials. To analyze the issue we have used two scientific views : theory of unbalanced economic growth¹ (Cooper, et.al, 2008: 248) and Lane's criteria². The first approach is effective especially for developing countries. If investment is implemented in one particular or in several sectors, development of the main field will result in revival, progress and proper functioning of the rest of fields. The second view- Lane's criteria determines the values of the agrotouristic place: 1. The value and beauty of the landscape 2. Territories with wild nature. 3. Cultural - historical and ethnic heritage, 4. favorable conditions for hunting, fishing and skiing. 5. Customer's access to foreign markets. 6. Effective and professional advancement and commercial activity management. According to these views such paramount role in Imereti region can be performed by tourism.

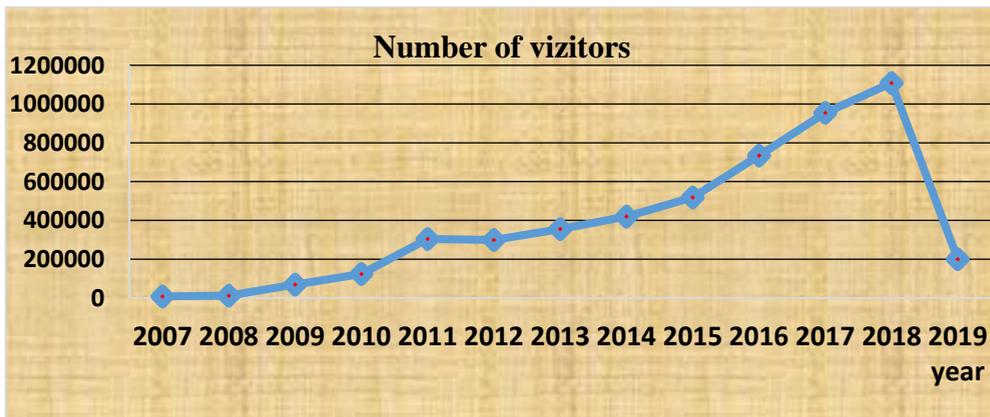
Imereti region is not rich with strategic natural resources, but it can create its own competitive advantage over culture, historical monuments, nature reserves and natural-recreational environment. Therefore, tourism can become one of the main sources of income for the region and promote the development of neighboring fields in the country. For this purpose in 1998-2001years with the participation of foreign and Georgian experts was elaborated National Tourism Development

Strategy and in 2012 was designed tourism development and marketing plan for the Imereti region and was proposed a series of actions to be implemented to improve the contribution of tourism for the local population's economic and social life

The diagram shows cultural tourism destinations which can be found in Imereti.

Imereti natural sights and their perspectives

Imereti Nature is a major factor for the tourism development. At present, 4 categories of the protected areas are located in the study area. According to the data of the last 10 years, most visitors - 1 108 503mln, in the protected areas are registered in 2018, while this figure was 12 226 in 2008, that means that the number of tourists in the last 10 years increased 91 times³.



Imereti region is particularly rich with karst caves. There are up to 1000 karst funnels only in Kutaisi surroundings. Taking into consideration this fact, Georgia adopted the Law on the Creation and Management of Imereti Caves Protected Areas (June 21, 2011, # 4864). It includes Sataplia Nature Reserve, Sataplia Managed Reserve, Natural Monument of Prometheus Cave, Ocatse Canyon Nature Sight and other 17 different sights of nature. Now information about Imereti Cave Protected Areas of Georgia is available on the official web-site of International Show Caves Association (ISCA)⁴.

The most attractive objects for tourists are Prometheus and Sataplia caves with well-equipped infrastructure. Visitors are amazed with breathtaking views of stalactites of unique forms, stalagmites, petrified waterfalls, underground rivers and lakes. You can have a trip by boat on the underground river.

Sataplia complex protected area has preserved a prehistoric nature with wooden relics, labyrinths of karst caves and fossilized tracks of dinosaurs. There are only 3 places in the world where you can find such traces of dinosaurs, and one of them is in Sataplia. The central point for the tourists is the "Stone heart"- a huge heart shape stalagmite. Tourists make a wish near the "sculpture".

An observation deck at the highest point of the Sataplia reserve with a transparent floor, opens up a breathtaking view of the surroundings of Kutaisi and Colchis valley.

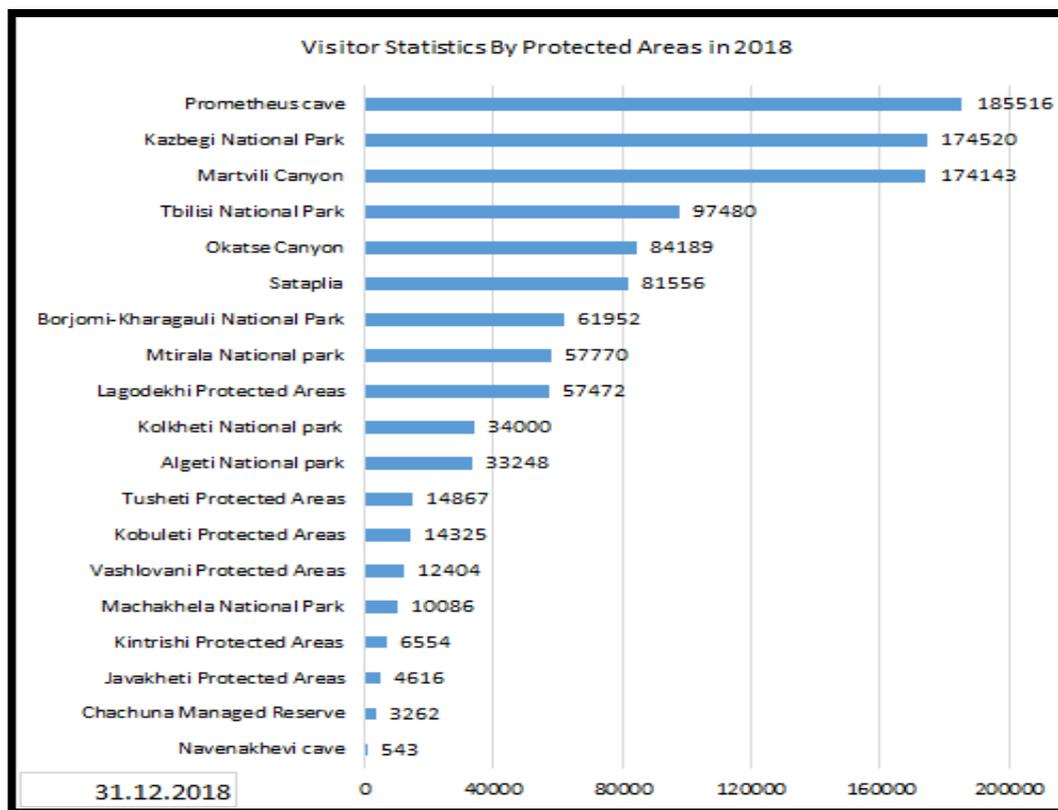
Very special is Tsutskhvati cave located 24 km from Kutaisi, which has no analogy in the world. The cave consists of 13 floors. Unfortunately, due to its complexity, the cave is not very popular among tourists, but it is a great place for extreme tourism lovers.

Imereti caves microclimate and stable temperature are accessible and useful for 76 different diseases, including bronchial asthma, hypertonic and hypotonic diseases. Nowadays, Czech specialists have chosen Satsurbliya Cave for speleo-recreational purposes which will receive the first visitors from this spring. We assume that people with respiratory tract problems will be able to perform different treatments in this healing place.

Nowadays, untrapped caves for extreme speleotourism are few in the world, so the caves of Imereti region can be very interesting for them. In order to develop extreme tourism, the region is rich in mountain rivers too, where rafting can be developed.

The Okace canyon is one of the most popular attraction among tourists. Recently built high quality tourist infrastructure offers tourists magnificent views to the canyon and its surroundings especially in spring, when everything is green and in blossom. Nearby, one can find the tallest waterfall of Georgia – Kinchkha together with another water abundant waterfall nearby.

This diagram shows the number of visitors by protecting areas in 2018. Imerian natural monuments are in the top ten.⁵



The growth of tourism in these places successfully affected on the local population of the high mountain villages of Gordi and Kinchkha. Earlier village Gordi was the health resort for children and native people were involved in different activities including renting their houses. This experience helps them to manage their small businesses. Local small businesses collaborate with touristic agencies and tour operators which ensure constant visits of tourist groups. They are aware of the strategy of success of their own activities and try to satisfy the regular visitors in order to increase their number in future. However, it would be noted that if the state and regional authorities are interested in gradual growth of agrotourism in this part of Imereti, it will allow local residents to use more their resources intensively to enlarge the number of small farms and make them attractive to tourists in order to increase their income.⁶ (Kharaisvili,2017: 368).

Little awareness of tourism potential in the region directly effects on the structure of tourism sector in Imereti. The local population is often unable to understand the significance of Imereti's natural monuments as a tourist destination for the future. The problem is pollution of the sights with household waste by community members, in times carst funnels are used as landfills by locals. Local authorities must conduct meetings and trainings to increase their awareness on these issues, involve them in local tourism infrastructure management and take strict measures against environmental pollution.

Historical-Cultural and Religious Tourism Development Perspectives

70% of tourists around the world travel to see the cultural heritage sites. Heritage is cultural diversity and the best way to see the links between cultures. When cultural heritage tourism in the region develops properly, it helps the region to protect and save country's natural and cultural treasures and improve the quality of life of local residents. It has economic impact on the local level by creating new jobs and small businesses, increases the pride and interest of the local population in tourism. The increase of tourism flow gives opportunity to promote the protection and maintenance of cultural heritage monuments⁷. (http://icomos.org.ge/ge/wp-content/uploads/publicationPolicy_GE.pdf)

The cultural-historical potential of Imereti includes: archaeological sites and historical towns, numerous ecclesiastical and civic architecture, museums and other sites. Visiting the unique historical monuments is a great motivation for tourists to get acquainted with the history and culture of Georgia which due to its geopolitical location, represents the place of meeting of Eastern and Western cultures.

Kutaisi and its surroundings in Imereti tourism industry are important attraction. The city is located along the banks of the river Rioni. Its age varies from 3000 to 3500 years. The city and its surroundings are rich in natural, archaeological and historical-cultural heritage monuments.⁸ (<http://kutaisi.gov.ge/ge/turizmi>) Due to its diversity, cognitive tourism in this city can really become an essential part of economic development.

The main attraction in the city is Bagrati Cathedral, built in 1003, as a symbol of unity of Georgia. Here are represented archaeological layers from the first millennium to the present day. Bagrati Cathedral, along with the Gelati monastery complex, was included in UNESCO World Cultural Heritage List in 1994. Unfortunately, after its hastily reconstruction by the government, the cathedral lost its authenticity and in 2017 UNESCO removed it from the World Cultural Heritage List which was a huge loss. Nevertheless, the monument still makes a great impression on the visitors.

Nowadays, Cultural Heritage Protection Agency of Georgia and the Polish archaeological expedition lead an intensive work to enter Kutaisi as a "cultural landscape" into the UNESCO World Heritage List. Kutaisi, as one of the oldest cities in the world, satisfies all these criteria. In this case there is a chance that the Bagrati Cathedral will return to the UNESCO nomination. As a result of recent archaeological studies, the materials found on "Gabashvili and Dateshidze Gorges" dates back to XII-VIII centuries BC, which proves that Colchis's civilization was really existed around Kutaisi. This fact is another motivation that archaeologists' work will be finished successfully.

Six km from Kutaisi is located the Motsameta Monastery Complex, which dates back to the eighth century (and 11 kilometer from Kutaisi is situated the Gelati Monastery Complex, built in the first half of the 12th century by the greatest Georgian King David Aghmashenebeli or David the Builder as "New Athene and Other Jerusalem". It is listed on World Cultural Heritage from 1994. The main cathedral is distinguished with a monumental mosaic that is a high-artistic design art.⁹ (<http://www.dzeglebi.ge>)

In the Kutaisi suburb is the ruins of Geguti royal palace. The importance of the ruins of the Geguti palace is emphasized by its largely secular nature as most of the surviving monuments of medieval Georgian architecture are churches and

monasteries. In 2015, there was installed a special glass construction, which allows the viewer to see the monument in its original form. This technology is unique in our country.¹⁰ (<http://sputnik-georgia.com>).

There is still a lot to do in the direction of cultural heritage tourism. There is no appropriate coordination among the state, church and local population to make these tourist destinations more attractive in identifying the country through cultural monuments. It is urgent to improve the existing infrastructure, ecumenical relations between the tourists, church and local representatives, to protect the reliability of the information about cultural heritage monuments, which is provided to tourists because, unfortunately, some foreign guides, who accompany tourism groups, distort the history and culture of our country.

In Imereti, tourists are interested in Antique City Suriumi, today's Vani (VII-I centuries BC) which is located on the 40-minute drive from Kutaisi. Although only a third of the site has been studied, it has produced an astonishing number of artifacts: temples and sacrificial altars, Colchis pottery, imported Greek luxury items, graceful bronze sculptures and exquisite golden jewellery. Despite their diversity, the gold ornaments found at Vani are characterized by unity of style and technique, which clearly points to their belonging to a Colchian school of art.¹¹ (<http://vani.org.ge/municipality>)

While researching the tourism potential of Imereti, it is important to determine the role of sustainable tourism for overcoming the poverty of the local population. It is worth noting, that this direction is particularly related to the issues of developing countries where income is scarce and unstable. According to Geostat data, in 2016 the share of population, which was below the absolute poverty line, was 21,3%. The poverty rate is especially high in rural areas. We have studied several dissertations and scientific works on this issue¹² (T. Doghonadze, (2018: 69); Kharashvili E (2017) Devidze Eka. <http://www.nplg.gov.ge/dlibrary/collect/0002/000609/Devidze%20E.pdf>;) to find out which part of local population has gained the benefits from tourism. It appeared that touristic development in the region is mostly effectively reflected on non-poor families, which have a small amount of initial capital. They have the initiative to combine their material and social-intellectual resources and through labor diversification get benefits from tourism. Poor population is less successful in this regard.

Studies show that after the amenities of tourist monuments in the region were created new family hotels, increased the number of renting vehicles, opened catering facilities, appeared additional jobs.

Nowadays one of the distinguished role in touristic business belong to the cuisine. Georgian cuisine - Imeretian Khachapuri, Khinkali, Kupati, Satsivi, Wine and Churchkhela are popular among foreign visitors. In the hot tourist season, there are loads of food facilities nearby tourist attractions which promotes the growth of local population income. Studies show that Kutaisi is the leader in variety of Georgian cuisine and gourmet food.¹³ /Kharashvili E. (2017: 373/

According to the influential edition Bloomberg report in 2017, Georgia ranks second among the fastest growing tourist destinations in Europe with an increase of + 27.9%. They claim that Georgian traditional dishes are the best reason to visit Europe Untouched corner."¹⁴ (<https://www.geotourism.ge/news/evropasi-yvelaze-swrafad-mzard-turistul-qveynebi> 2018). The growth of tourism potential of Kutaisi and its surroundings has significantly contributed to rehabilitation of Davit Aghmashenebeli International Airport in 2012, from which flights are available in any weather and visibility. The airport is the first international airport in the region, offering cost-efficient airline services, which greatly influenced on increase of tourists flow from Europe and Asia¹⁵ (<https://www.geotourism.ge/news/wizz-air>).

Nowadays in the development of Imereti tourism prevails the inner tourism. This is probably due to its geographical location. Imereti mostly serves as a link between other regions of the country. However, the State representative-Governor's Administration in Imereti and Kutaisi City Hall do much to make Imereti and Kutaisi more attractive for foreign tourists and increase their awareness on the international tourism market.

Recommendations and conclusion

However, there are a number of factors that have a negative impact on tourism development, namely: Imereti tourism system lacks competitiveness in certain aspects. This concerns the infrastructure that needs perfection. There is lack of activities which can be interesting for tourists. Besides, it is essential to improve employees' skills and experience who work in the sector, to promote and stimulate the work of tourist agencies and tour operators, good advertising has paramount importance in order to increase awareness about the region and create desirable image on tourist market. The sector needs more support and regulation from the government. There is weak coordination between administration, private business and native population. Unavailability in marketing information prevent them to conduct their commercial

work in an effective way. It would be fruitful if we engage local residents in different tourism activities, provide goal-seeking trainings and consultations. Proper management will enable us to increase the number of visitors and social-economic benefits for the local population.

Taking into account existed touristic potential of Imereti region we can arrive to the conclusion that tourism can become an essential part of the economic development for such a small region as Imereti, which will support the preservation of natural-recreational and historical-cultural heritage, increase employment of local population, social activity and income of communities, contribute to the development of small businesses, create healthy competition in marketing and facilitate to develop new international programs and projects.

References

- [1] Cooper Ch., Flether J., Fyall S., Gilbert D., and Wanhill S. (2008). *Tourism: Principles and Practices*. Prentice Hall.
- [2] Lane B. (1994). *Whatnis Rral Tourism*. *Journal of Sustainable Tourism* Vol.2 # 7
- [3] www.APA.GE
- [4] <http://www.i-s-c-a.com/show-cave/131-imereti-caves>
- [5] www.APA.GE
- [6] Kharaihvili E. *Agrotouristic Areas Assessment with the Lane Criteria and the possibilities for Economic Development of Related Sectors Geography in Gblal Context: Achievements and Challenges*. Collected Papers. 2017. Kutaisi. Akaki Tsereteli State University
- [7] ICOMOS, *International Cultural Tourism Charter. Principles and Guidelines For Managing Tourism At Places Of Cultural And Heritage Significance*. ICOMOS International Cultural Tourism Committee. 2002. http://icomos.org/ge/wp-content/uploads/publicationPolicy_GE.pdf
- [8] <http://kutaisi.gov.ge/ge/turizmi>
- [9] <http://www.dzglebi.ge/>
- [10] <http://sputnik-georgia.com>
- [11] <http://vani.org.ge/municipality/>
- [12] Tatia Doghonadze, *The Spöial Aspects and Peculiarities of Sustainable Tourism Development in the Imereti Region*, an abstract from the presented dissertation for obtaining the academic degree of Doctor of Geography, Kutaisi, 2018 p. 69; Davidze Eka. *Cultural heritage and Tourism Development problems in Imereti Region*. Dissertation for obtaining the academic degree of Doctor of Business Administration. <http://www.nplg.gov.ge/dlibrary/collect/0002/000609/Devidze%20E.pdf>; Kharaihvili E. *Agrotouristic Areas Assessment with the Lane Criteria and the possibilities for Economic Development of Related Sectors Geography in Gblal Context: Achievements and Challenges*. Collected Papers. 2017. Kutaisi. Akaki Tsereteli State University
- [13] Kharaihvili E. *Agrotouristic Areas Assessment with the Lane Criteria and the possibilities for Economic Development of Related Sectors Geography in Gblal Context: Achievements and Challenges*. Collected Papers. 2017. Kutaisi. Akaki Tsereteli State University
- [14] <https://www.geotourism.ge/news/evropasi-yvelaze-swrafad-mzard-turistul-qveynebi> 2018
- [15] [.https://www.geotourism.ge/news/wizz-air](https://www.geotourism.ge/news/wizz-air)

The Innovative Integration of SBIRT raining Using Standardized Clients and Computer Simulation in Social Work Education

Sheri Boyle

Rosalie Smiley California University of Pennsylvania

Thao Pham

Rosalie Smiley California University of Pennsylvania

Abstract

Through a Screening, Brief Intervention and Referral to Treatment (SBIRT) grant from NORC and the Conrad Hilton Foundation, the Department of Social Work at California University of Pennsylvania (Cal U) integrated SBIRT throughout the social work curriculum. A combination of computer simulation and standardized clients was developed to evaluate students' skills in assessing for substance misuse and engaging with clients. Along with the development of students' skills with assessment, motivational interviewing and active listening were an unintended outcome of student activism. Students, drawing from their new knowledge, training, and experiences, organized advocacy events on campus to promote awareness of the opioid epidemic impact on surrounding rural communities.

Keywords: SBIRT, social work students, advocacy, social work education

Introduction

The common teaching format of social work education in the United States consists of traditional lectures, face-to-face role-playing, video viewing, and field practicum and internships. Recently, social work schools have incorporated simulated client practice in their curriculum. Simulated training has been used in medical and health training for decades. Oftentimes, simulated patients are actors drawn from the community who have been trained to act and respond as everyday patients would in given situations. The benefits of simulated patients have been well-documented in various studies (Tofil, et. al, 2010; Wang, et. al., 2013; Williams, et al., 2016). Recently, medical schools have also found tremendous benefits in using computerized simulation to help train students (Abas and Juma, 2016). However, simulated training alone does not support long-term learning outcomes (Kohl and Dubrowski, 2016). Accordingly, this project granted CalU Department of Social Work the opportunity to combine the traditional curriculum of social work training using both real-life simulated clients and computerized simulation. The results have been not only positive but also transformative.

Background

The opioid epidemic has plagued the United States with crippling addiction and exponential death rates for over a decade. Pennsylvania (PA) is one of 20 states in the United States of America to experience a statistically significant increase in overdose deaths from 2016-2017. PA ranks third in the highest rates of death due to drug overdose (44.3 per 100,000) (CDC, 2018)¹. The Drug Enforcement Administration (DEA) and the University of Pittsburgh recently released a report titled "The Opioid Threat in Pennsylvania," providing up to date information for every PA county. In the communities that surround CAL U, overdose deaths have increased significantly over the past two years and many of the highest overdose rates in the country occur within this region. In 2017, the national average of overdose deaths was 21.7 per 100,000 people; every county within our area of focus has double this rate. Allegheny County experienced 49 overdose deaths per 100,000 people, Fayette County experienced 44 overdose deaths per 100,000 people, Greene County experienced 41 overdose deaths per 100,000 people, Washington County experienced 44 overdose deaths per 100,000 and Westmoreland County experienced 46 overdose deaths per 100,000 people. From 2015-2017 overdose deaths increased 74% in Allegheny County, 88% in Fayette County, 33% in Washington County, and 53% in Westmoreland County. These counties also rank

4th, 10th, 9th, and 8th respectively out of 67 counties in overdose deaths statewide. Though Greene county saw a 7% decrease in drug overdose deaths during this time, it still ranks 12th statewide.

California Borough, home to CalU and the basis of this project, is a fine example of community life in Northern Appalachia. It is a small town with a mixture of both rural and industrial in character. Its total population 6,795 (U.S. Census Quick Facts, 2018) is less than the total enrollment at the University. Sited on flat land at the edge of the Monongahela River, its one stoplight illuminates a historical marker named not for a member of the economic elite, but instead for a leader of laborers. Joseph "Jock" Yablonski, a resident of California, was well known for his leadership and commitment to and on behalf of miners through the United Mine Workers Union (UMW).

Of recent concern, to not only the nation but also counties close to the University, like Washington, Fayette, and Westmoreland, is the opioid crisis. In August 2015, Washington County made headline news in the Washington Post for eight overdoses in 70 minutes. In a recent report by the University of Pittsburgh in conjunction with the US District Attorney Western Division, David Hickton, Washington County was cited as having the highest accidental poisoning deaths for white females between 25-34 years of age (University of Pittsburgh, 2016) This report also highlights the opioid crisis is as much a rural issue as an urban issue.

Cal U is in a rural region, where area providers have limited financing options and are more dependent upon government programs for funding (such as Medicare and Medicaid). Given the characteristics of the population in this rural area, it is not surprising that these counties include medically underserved areas and places that lack access to health care professionals, including behavioral and mental health care professionals. The at-risk populations of the surrounding areas exacerbate these problems. Two of the four counties near Cal U, Greene and Fayette, currently have the highest death rates for drug overdose cases in Pennsylvania (PA). With PA having an increase of 89 percent of drug-related deaths since 1999, the need to train social work and counseling students to address substance abuse in our community is critical.

SBIRT Grant

This epidemic in the University's backyard prompted faculty to apply for an SBIRT grant to prepare BSW and MSW students to assess and intervene with individuals, families, and communities affected by the opioid crisis. CalU's Social Work Department received a seed grant from NORC/Conrad Hilton Foundation to infuse SBIRT with Adolescents into the Master Social Work (MSW) and Bachelor of Social Work (BSW) curricula in spring 2016. At that time, Cal U Social Work Department had 217 students, of which 120 were undergraduates and 97 were graduates. Undergraduates' ages ranged from 18 to 56, and graduate students' ages range from 22 to 54. Ninety percent of BSW students were female, and ten percent are male. Eighty-five percent of MSW students were female, and fifteen percent were male. Aside from the international students, who matriculated from the Middle East and Africa, the racial/ethnic compositions of the students reflected our surrounding rural communities. This composition of students was approximately 65% White (non-Hispanic), 17% African-Americans, 1% Asian American/Other Asian, and 17% Other (Multiple Race/Ethnicity or Unknown).

Although two of the thirty-six courses in the Social Work Department focus on substance abuse and addiction, the social work curriculum at Cal U needed to expand this topic more depth. For example, the substance abuse courses were offered as electives and students would use role-playing to practice case scenarios. In fact, aside from the field practicum, the majority of in-class practice for students is role-playing. The seed money from NORC, University of Chicago and Conrad Hilton Foundation not only provided funding to begin infusing the Adolescent SBIRT in the curriculum but also added more dynamic and robust tools for teaching and training students in the classrooms by adding a computer-simulated training (KOGNITO) along with the use of standardized clients to train social work students on SBIRT. Kognito is an interactive role simulation where health professionals build and assess their skills in conducting substance use Screening and Brief Intervention with adolescent populations and providing referrals to treatment where appropriate.

The goals of the grant program were: to infuse SBIRT content in the social work programs; improve the provision of SBIRT and mental/behavioral health referrals and services available to youth and adults; and create a strong network of service providers that are better able to address the needs of adults and youth at-risk of substance abuse. Goals were met by the Department through the infusion of SBIRT in our BSW and MSW foundation and MSW specialization courses. Additionally, the MSW Department hosted continuing education programs for the community on SBIRT and substance misuse topics with the Washington County Drug and Alcohol task force and other related programs and departments on campus. The

Social Work Department is currently working on collaborating with a large social service agency to train social workers and other professionals who work with children and adolescents on SBIRT.

METHODS

Cal U's, Department of Social Work implemented SBIRT through traditional and online teaching formats. Our MSW students' area of expertise is Advanced Generalist with a Rural Social Work focus; however, our students are not circumscribed by this focus and have found employment in metropolitan areas. Students in the MSW Foundation practice courses, advanced practice courses, and Differential Assessment received classroom lectures and reading on SBIRT and substance misuse, as well as, completed the online Kognito computer simulated training along with standardized clients. Standardized clients are a teaching technique more often used in medical and nursing school and less often in social work education (Sacco, Ting, Crouch, Emery, et al., 2017; Osborne, Brenner & Sprague, 2017). In order to enhance training for both BSW and MSW students, BSW and MSW students were recruited as simulated clients for the different programs. The BSW students acted as clients for the MSW program and the MSW students acted as clients for the BSW program. All students were required to go through the Kognito prior to their training and preparation by MSW faculty to be the simulated client as well as debriefed after the sessions.

With the implementation of Adolescent SBIRT, we enhanced knowledge of substance abuse; provided new practice for our students, field supervisors, and faculty; provided a new plan in addressing an important social problem; and enriched our skills lab by adding the computer simulated training of Kognito with our current use of standardized patients. We also uploaded the recordings in our skills lab using Adolescent SBIRT to our website for further training and education and to increase the awareness and exposure of the project.

RESULTS

In one year, overall 423 BSW and MSW students were introduced to SBIRT through classroom instruction, KOGNITO simulated computer training and/or simulated standardized clients. Table 1 describes how SBIRT was integrated into the curriculum. In addition, all thirteen full-time faculty (five BSW, seven MSW and one Field Coordinator) and five part-time faculty were trained. Nine faculty members also serve as Faculty Field Advisors (FFA). We trained 48 of our Field Placement Supervisors (MSWs) in the community.

Table 1.

Name of Course	Program Level	Course Setting	Actual Number of students trained	Educational Activity or Content Covered	Evaluation: Competencies Assessed/Measures Used	Additional Notes/ Comments
Generalist Practice	Masters	Traditional	53	SBI & Motivational Interviewing; practice with Kognito	Kognito scoring, final exam with content on SBI	Course completed with students trained in Kognito with post scores 75% and above.
Field Practicum I	Masters	Internship	34	Practice SBI with clients in the field; practice with Kognito	Progress notes, field supervisory reports, rating of competencies	9 students Completed practicum; found SBIRT useful; 13 students are currently in progress for the Spring semester since this is a yearlong course.
Differential Assessment (Advanced Practicum)	Masters	Traditional	71	Substance Abuse and SBIRT training with Modules 1-4 & Kognito	Practice with Kognito and standardized client; instructor and peer evaluation of simulated interviews in class	33 students completed standardized clients practice using SBIRT for the final exam. All scored 85% and above. Two students dropped the course.

Practice with Children and Youth	Masters	Traditional	96	2 sessions/6-hr lecture (Risky behaviors, substance use, CRAFFT, SBI video demo)	Practice with Kognito	22 MSW students completed this online course with lectures on SBIRT and practice with Kognito.
Substance Abuse (Elective)	Masters	Traditional	75	5 sessions/3-hr lecture per session on substance abuse, motivational interviewing, SBI with youth	Online lectures; reflection papers; case studies with discussion	Course was changed to online. 25 students completed coursework on youth and addiction and KOGNITO was given extra credit for those who have not completed it.
BSW Field Education (Practicum Seminar, Capstone)	Bachelors	Internship	44	Learner's Guide Module 1&2	Pre-/post-tests; practice with Kognito	18 students completed training with Kognito
Family Practice	Bachelors	Traditional	30	lecture on youth substance use; motivational interviewing practice	Role play in class; practice with Kognito	15 students completed training this semester.
Field Practicum II	Masters	Internship	20	Students placed in educational plan	Supervisors will evaluate students	20 have completed; 20 more in progress this semester and the next. This is a yearlong course.

Findings

Results of assessment of Differential Assessment the year of the grant indicated that 61% of students achieved mastery of knowledge and skills in Engaging and Assessing clients; and 12% of the students achieved accomplished.

The original integration of the computerized simulation of SBIRT provided students with training and practice that they could not have had in the traditional lecture format with role plays. The computer simulation gave students opportunities to apply their knowledge with computerized clients and was critiqued and encouraged by computerized coaches and trainers along the way. Students who received SBIRT training reported:

"SBIRT was such a wonderful learning experience because it assisted me with improving my ability to assess clients. It was helpful taking on the roles of both the client and the social worker. I enjoyed reviewing the scripts and scenarios and I remember all of the laughs when we were all getting into character. We were provided with the opportunity to give and receive constructive criticism, which was extremely helpful, as well. Overall, it was fun and it was an experience that I will always remember. "

'My experience as a Standardized Client for students in the Masters of Social Work Program has been eye-opening and enriching to my own education in the Bachelors of Social Work Program and career development. Gaining empathy-evoking experiences around issues of drugs and alcohol, especially in younger populations, has already proven to be crucial as a Mentor for a non-profit-conducted After-School Program. The practice and feedback that Masters students receive through these simulations has granted necessary and valuable opportunities for young social workers to put their knowledge and skills to the test before stepping into the real world with real clients."

"I enjoyed the SBIRT experience. I found it very helpful in terms of motivational interviewing and how to reframe questions or responses to make them more strength based. I remember the number scale when if you asked someone where they were on a 1-10 if they respond 3 you say great that's good you are at a 3 versus something like why aren't you a 7. I found those the most helpful."

The SBIRT training in the BSW and MSW programs provided a unique opportunity for students to practice and demonstrate many of the Council on Social Work Educations' (CSWE) competencies. This included Research Informed Practice and Practice-Informed Research, as well as, Assessing, Engaging, Intervening and Evaluating practice with Individuals, Groups, Families, and Communities and most interestingly Advance Human Rights, Social, Economic, and Environmental Justice.

An unintended outcome of the research was BSW student's reaction to serving as standardized patients and their ability to integrate policy and practice.

Social Work Student Advocacy

The unintended consequence of the SBIRT grant was the conscious-raising and the student advocacy that resulted from learning about SBIRT and taking on the roles of clients. The process is similar to the Paulo Freire's *conscientization* or the process of awakening or opening awareness of a person to be more sensitive to social, political, and economic conditions in the environment (Freire, 1993). Although we did not use a collaborative teaching format with the SBIRT curriculum, we quickly embraced an intentional collaborative learning approach with our students when they approached us about being affected by what they had learned about the opioid crisis in our region and how SBIRT had made them aware that people do not discuss substance use and abuse enough in their communities. The incorporation of Freire's theory into social work research practice entails facilitating and actively listening to the community to understand their needs and collaborate with community members on finding ways to meet those needs, resolve problems, and foster growth (Branom, 2012; D'Cruz, Gillingham, and Melendez, 2007; Pham, 2016; Sachs J. , 1992; Sachs and Newdom, 1999). The community in our case included our social work students.

During a time when some BSW students were role-playing with MSW students in the use of SBIRT, the death of a fellow student gave rise to an impassioned desire to reduce the stigma that is too often associated with opioid use and overdose. This led to students organizing one week of events on campus designed to educate and empower students to address issues relating to the opioid epidemic and overdose awareness and focus on the impact of substance use. Students organized and collaborated with social work faculty, university administrators and community leaders to present various events.

The students focused on the events designed to advocate for awareness of the effects of the opioid crisis in rural populations and to promote a reduction of stigma around this topic (Drake, 2018). These students, focusing on the dignity and worth of individuals and the implementation of empathy among the student body, made use of resources provided through the Bachelor of Social Work Association (BSWA) student organization to host a campus-wide candlelight vigil, panel discussion, and lunch and learn presentation.

A brown bag luncheon included a student presentation of information about addiction, opioid use, treatment options, and local, state, and federal statistics regarding the impact of the opioid epidemic. The candlelight vigil allowed individuals to acknowledge, honor and celebrate the lives of those most dramatically affected by the opioid crisis and to share a dialogue about International Overdose Awareness Day (Harm Reduction Coalition, 2018).

"The Impact of Opioid Use in the Rural Communities" was the subject of a panel discussion among professionals in the substance use arena and covered topics including program development, stigma, the use of suboxone in treatment, and availability of Narcan and Naloxone on campus (Harm Reduction Coalition, 2018, Pennsylvania Department of Human Services, 2018). The Centers of Excellence, Harm Reduction Coalition, and campus Counseling Center are some of the resources available for addressing the need for accessible services regarding opioid use. Additional opportunities have been provided on campus to learn about Naloxone, its availability, and how to use it to prevent overdose fatality have been offered, at no cost, to students, faculty and staff members of the university.

Conclusion

Through the SBIRT grant, CalU's Social Work Department has been able to increase student's knowledge of substance misuse, enhance student's intervention skills and change attitudes. Along with the traditional teaching format, simulated client training, and the computerized simulation, social work students acquired the knowledge and skills to screen, briefly intervene, and refer clients for treatment for substance misuse and abuse. What was not anticipated in this educational process, was the advocacy and leadership role that the students took.

With the support and encouragement of faculty, the social work department, counseling center, and campus drug and alcohol facilities, students were able to achieve their aim, as the message of advocacy and empathy reached many

individuals through this series of events. The BSWA leadership received verbal feedback and positive recognition about the events from members of the Panel, fellow BSW students, and social work professors.

They are hopeful the next leaders will carry on this tradition and continue to make substance misuse a priority for the organization.

The SBIRT grant did more than prepare students for clinical practice, it also prepared students for leadership roles and advocacy.

The collaborative project with social work students raised awareness of the opioid epidemic in our communities and provided leadership and service-learning experiences for our students.

It is unfortunate that Paulo Freire's theory of practice has not been widely known in social work curriculum in the United States (Hegar, 2012).

This combination of practice and advocacy has created a unique teaching-learning experience.

It is the combined experiences both inside and outside the classroom that are essential for quality education (Spicuzza, 2003). It is this type of experience and education that will better prepare social work students for leadership and advocacy.

References

- [1] Abas, T. and Jumas, F.Z. (2016). Benefits of simulation training in medical education. *Advances in Medical Education and Practices*, (7), 399–400.
- [2] Branom, Christina. (2012). Community-based participatory research as a social work research and intervention approach. *Journal of Community Practice*, 20(3), 260-273.
- [3] Centers for Disease Control and Prevention (2018). Drug Overdose Deaths. Retrieved from, <https://www.cdc.gov/drugoverdose/data/statedeaths.html>
- [4] D'Cruz, H., Gillingham, P., and Melendez, S. (2007) Reflexivity, its meanings and relevance for social work: A critical review of the literature. *British Journal of Social Work*, 37 (1), 73-90.
- [5] Drug Enforcement Administration Philadelphia Division and the University of Pittsburgh (2018). The Opioid Threat in Pennsylvania. Retrieved from <https://www.dea.gov/sites/default/files/2018-10/PA%20Opioid%20Report%20Final%20FINAL.pdf>
- [6] Drake, C. E., Codd III, T. R. & Terry, C. (2018). Assessing the validity of implicit and explicit measures of stigma toward clients with substance use disorders among mental health practitioners. *Journal of Contextual Behavioral Science*, 8, 44-54. doi 10.1016/j.jcbs.2018.03.005
- [7] Freire, P. (1993) *Pedagogy of the Oppressed*. 3rd Edition. New York, NY: Continuum International.
- [8] Harm Reduction Coalition (2018). Overdose Awareness Day [web log comment]. Retrieved from <http://harmreduction.org/blog/overdose-awareness-day/>
- [9] Hegar, R. (2012). Paulo Freire: Neglected mentor for social work. *Journal of Progressive Human Services*, 23(2), 159-177.
- [10] Kohl, J. and Dubrowski A. (2016). Merging problem-based learning with simulation-based learning in the medical undergraduate curriculum: The PAIRED framework for enhancing lifelong learning. *Cureus*, 2016 Jun; 8(6): e647.
- [11] Osborne, V.A., Benner, K., Sprague, D.J. and Cleveland, I.N. (2014) Simulating real life: Enhancing social work education on alcohol screening and brief intervention. *Journal of Social Work Education*, 52(3), 337-346.
- [12] Pham, T. T. (2016). Engagement in knowledge production, authentication, and empowerment: The transformation of the Moudawana workshops in Spain. *International Social Work*, 59 (3), 368-380.

- [13] Pennsylvania Department of Human Services (2018). Centers of Excellence. www.dhs.pa.gov. Retrieved from <http://www.dhs.pa.gov/citizens/substanceabuseservices/centersofexcellence/index.htm>
- [14] Sachs, J. (1992) 'Action and reflection in work with a group of homeless people.' *Social Work with Groups*, 14(3/4), 187-202.
- [15] Sachs, Jerry, and Fred Newdom. (1999) *Clinical work and social action: An integrative approach*. Binghamton, N.Y.: Haworth Press.
- [16] Spicuzza, F.J. (2003). Preparing students for social work advocacy. *The Journal of Baccalaureate Social Work*, 8(2), 49-68.
- [17] Tofil N.M., Benner K.W., Worthington M.A., Zinkan L., White M.L. (2010). Use of simulation to enhance learning in a pediatric elective. *American Journal of Pharmaceutical Education*, 74(2), 3-21.
- [18] University of Pittsburgh (2016). Patterns and trends in accidental deaths: Pennsylvania's experience 1979-2014.
- [19] U.S. Census (2018). Retrieved from <https://www.census.gov/quickfacts/californiaboroughpennsylvania>.
- [20] Wang Z, Liu Q, Wang H. Medical simulation-based education improves medicos' clinical skills. (2013) *Journal Biomedical Research*, 27(2), 81-84.
- [21] Williams B., Abel C., Khasawneh E., Ross L., Levett-Jones, T. (2016) Simulation experiences of paramedic students: a cross-cultural examination. *Advanced in Medical Education Practice*, 7, 181-186.

Visual Communication through Female Body in Art and Design

Doğan Arslan
Assoc. Prof. Dr. , Istanbul Medeniyet University

Abstract:

Woman' body was used often in art and design through history. There were, probably, many reasons to use woman's body as an object. While artists wanted to explore the woman's body through an aesthetic form in the name of art, designers used the body to communicate for an advertising purpose. This research will investigate how artists and designers approached woman's body in their works. In order to analyze concrete visual images, Dadaist and Surrealist artist, Man Ray's artworks were studied in this research. Two prominent designers, Anthon Beeke and Lex Drewinski, whose posters were also analyzed in this research too. This paper will explore logical reasons of how and why artist and designer use female body in their works. The study also will explore designers' intentions of why such approaches were needed. This research focused on qualitative method to understand the behind the usage of female body in art and design. The works of Man Ray, Anthon Beeke and Lex Drewinski were also analyzed through comparison methodology in this research. This study found out that the artists and the designers used female body to reach and communicate with targeted audience to share their thoughts and feelings. Ray, as an artist, merged photograph and line drawing to create disturbing and shocking visual images in his works. His approach was to create a meaningful works. It is possible to say that Ray was one of pioneer artists who used photography with line drawing to communicate with people in the name of conceptual photography. On the other hand, Beeke and Drewinski, as designers, used female body to promote some theatrical plays in their design works. Their intention was to communicate with audience. They illustrated the content of the theatrical play in their poster work to get attention of people. While designers, Beeke and Drewinski, used the image of female body in their commercial posters to communicate with audience clearly, but Ray used female body to aestheticize and politicize through disturbing of people's beliefs.

Keywords: Female Body, Man Ray, Anthon Beeke and Lex Drewinski, Communication

Introduction

Human body has been used frequently in art and design throughout human history. The body represents both visual desire and aesthetic phenomenon. Especially the female body is often used in art and design. Artists often use women as an aesthetic figure for their painting or drawing. Designers, on the other hand, use woman's beauty to lure for their product and advertising. These women figures are often portrayed as passive, submissive and vulnerable. This may be due to the fact that men are active in the world of art and design.

Women's body is considered to be an ideal phenomenon in both art and design. Particularly during the Renaissance and later periods, artists' subjects were religious facts, daily life and finally the beauty of women. Leonardo Da Vinci's work titled Vitruvian Man shows the ideal measure of a human body in a circle and square. Although artists such as Rubens in the Baroque period depicted more realistic female figures in the paintings, the female body was always at the center of his works.

Man Ray

Man Ray was born in Philadelphia in 1890. He and Marcel Duchamp set up the New York Dada group and published "New York Dada" magazine in the 1920s. Francis Naumann says that the New York Dada movement has not the same impact compared to the other cities of the world; therefore, Man Ray went to France in 1921 in order to join the Paris Dada Movement. Man Ray published his photographic works in various publications, taking portraits of famous artists, poets and artists in order to support his life in Paris. Marina Vanci-Perahim states that Man Ray had started as "a designer and painter" and he also produced paintings under the influence of "cubism". Merry A. Foresta states that Man Ray created

works as “a designer” for the covers of numerous magazines such as *International Socialist Review* and *Emma Goldman’s Mother Earth*. Amy Dempsey states that Man Ray “was the first Surrealist photographer” and adds that he worked as a “commercial photographer” in some fashion magazines such as *Vanity Fair* and *Vogue*.

First of all, Man Ray worked as a Cubist painter and then as “a designer” and produced photographic works for the advertisement agencies. Then, he found himself inside the Paris Dada Movement and was identified with this group.

How can we evaluate the status and especially the works of Man Ray who produced film, photographs, drawing, and painting and wrote essays on art, in both the Dada and Surrealist movements? Sandra S. Philipps points out that Man Ray did not focus on a certain technical style and art form, and elaborates, “If there is anything consistent about Man Ray’s art, it is that its inconsistency was deliberate and, indeed, typical of the “whole” man-painter, photographer, filmmaker, writer.”

Philipps also states that Man Ray had “marvelous discontinuity, irreverent” and “effulgent contradictions”, especially in his photographic works. Moreover, Arturo Schwarz supposes that Man Ray could not constitute a style in his works because his aim was to carry out different “ideas” in his artistic products, and because of “the fact that Man Ray’s ideas become painting, objects, photographs, and writing.” In this respect, Schwarz quotes Man Ray on this subject: “I use the medium best suited to express that idea.”

I think there are strong parallel relations both technically and practically between the aspects of “ideas” in some of the works of Man Ray and the visual images in the works of some contemporary poster artists. In other words, the “idea” obtained in some of the photo-collages of Man Ray are used by contemporary modern poster designers with often different purposes and directions. My findings will hopefully enlighten us about Dadaist and Surrealist images in modern poster art.

Perahim mentions that Man Ray had a special concern for three-dimensional objects. Man Ray’s interest lay in his ability to photograph objects such as an iron in his *Gift* (1921), which was “freed of its banality” through his “creative” photography method. Some examples his style is *Priapus Paper Weight* (1920/1972), *Obstruction* (1920/1964) and *Untitled* (1931). Neil Baldwin points out that the “juxtaposition” method was significant in the works of Ray, and he quotes the following from the artist: “I need more than one factor, at least two...Two factors that are not related in any way. The creative act for me rests in the coupling of these two different factors in order to produce a plastic poem.”

I think “the creative act” that is obtained by the coming together of more than two factors creates a narrative solution that is the concept of the work. For instance, in *Untitled* (1931), he affixes a screw in the stem of an apple. Philipps interprets the apple in *Untitled* as a “female body”. In another work, *Obstruction* (1920/1964), Man Ray adds many hangers to a hanger, thus changing its functionality by interfering with the natural application of the hanger that people use for hanging clothes.

Man Ray’s creative and provocative photographs were published for years in Paris, when he started to adapt the essays and writings of his writer and poet friends Duchamp, Breton, Max Ernst and Arp to his photography. For instance, Man Ray’s photographs were published in the Surrealist magazine *La Revolution Surrealiste* in 1925. He also produced photographs for the cover of *NU*, which was a fashion and culture magazine of the same period. He carried out experimental works by using Rayagraphy or Photogram technique in the art of photography, especially in the Surrealist period. In the following pages, I would like to analyze two photographic works of Man Ray and compare them with examples of modern poster.

Martin considers Man Ray’s *L’Violon D’Ingres* (1924), (see following image, Figure 1), as a masterpiece created in the photo collage technique. As he points out, the woman who poses half-naked and turns her back to the audience is Ray’s longtime mistress Kiki. In the photograph, Kiki wears a headscarf-like cover extending from her naked back to her hips, and sound-holes are placed on her right and left parts. Martin suggests that the aforementioned work can be interpreted “in several ways”.

It is possible to interpret the woman as a violin giving aesthetic and beautiful emotions due to woman-music. The very reason for our interpretation in this way is the violin image illustrated by the artist by means of the music-holes placed on the hips of the woman. Kiki’s naked body appearing from behind resembles the form of a violin.

In this regard, Man Ray benefits from the naked back of Kiki as a photographic source, whereas the meaning constituted with the graphical musical notes adapted to the work leads us to discover the very “idea”. Schwarz considers the works of Man Ray to be “more conceptual than visual”, whereas the new relationship constituted by the two factors—“the woman

portrait" and "musical notes"—can be considered in light of the "concept". On the other hand, Jane Livingstone refers to Man Ray's attitude in *L'Violen d'Ingres* as "conceptual" and another work, *Manument a D. A. F. de Sade*, as "aesthetic play".

Figure 1. *L'Violen D'Ingres* (1924), by Man Ray

The term "conceptual" refers to the relationship between the woman and musical notes in Figure 1, leading us to different interpretations. What was Man Ray aiming at by establishing the relationship between the naked woman and the violin? How does the equal representation of the woman and the violin affect the existence of the woman? Does Man Ray imply that the woman body is used like a violin? The answers for these questions may change from person to person and may lead to different viewpoints. In this regard, it is possible to consider what Schwarz said about the "ambiguous and contradictory" features of the works of Man Ray as being applicable to his works.

In another work, *Monument a D. A. F. de Sade* (1933), (see following image, Figure 2), a similar ambiguity and contradictory note, as well as eroticism and provocation, are highlighted. In this work, Man Ray has taken a close-up photo of a woman's bottom. Then, an inverted cross graphic form is drawn over the bottom. The photographic work is achieved by the outlined and inlaid cross formed from both the natural axis of the woman's gluteus maximus cleavage and the perpendicular crease where the top of her legs meets the bottom of her gluteus maximus. Man Ray then emphasizes this impression by superimposing it with a simple linear outline of a cross.

Roger Shattuck considers the work a "witty composition" and points out that it also has features such as "beauty, excrement, vulnerability, asininity, intimacy, sodomy, black magic, incongruity, blasphemy, and more". Man Ray's artistic approach in this work is that the linear form illustrated with the woman's bottom is associated with the cross, the pictographic symbol of Christianity. Shattuck also refers to the "familiarity" in this work, and continues, "Here the simplicity and familiarity of the elements combined suggest that Man Ray was spoofing the myth of Sade as an author who attracts by corrupting and whose perversion some would equate with innocence."

Figure 2. *Monument a D. A. F. de Sade* (1933), by Man Ray

What sort of meaning did Man Ray constitute in this work associated with Sade? Did Man Ray want to break a taboo between religion and sexuality through this work? It is difficult to know the intention of the artist. But it seems that Sade's obsession with sexual cruelty inspired Man Ray's artistic approach. Philipps supports that "Sade, though obsessed with sexual cruelty and using women as objects of pleasure, was the great ideal of freedom to Man Ray, as to all the Surrealists." David Hopkins also claims that the "sexual identity" in the works of Surrealists turns into a "complicated" form. In this regard, it is possible to identify Man Ray's work, Figure 2, with the religious and sacred symbol of a cross in the context of "sexual cruelty".

Livingstone's 'conceptual' interpretation of Figure 2 is interpreted as "a shock effect" by Krauss who says; "... we see with a shock of recognition the simultaneous effects of displacement and condensation, the very operations of symbol formation, hard at work on the flesh of the real." Krauss' definition of 'shock effect' is attributed to the presentation of the woman's bottom together with the religious symbol the 'cross'.

The relations of "the juxtaposition of incongruous quotations" represented in Ray's works like in Figure 1 and Figure 2 in which the woman body is placed in the center are also carried on in the works of Anthon Beeke, a contemporary Dutch modern poster artist. Beeke's work will be discuss with Ray'

Anthon Beeke

Anthon Beeke was born in Amsterdam, Holland, in 1940. Although he did not study at a formal graphic or poster design school, he was able to establish an effective design studio. Beeke considers posters to be "a means of communication", claiming that "a poster work should cause anger and debates". Beeke's attitude can be considered as "provocative". Beeke uses the collage technique, as Dada and Surrealist artists did in their work, through the photo-collage technique in his posters and other graphic designs. For instance, he uses Heartfield-style photomontages for the covers of the Dutch political and cultural magazine *Hollandsdiep*. The artist used this technique freely in his poster works *The Blood of the Starving* (1979) and *Troilus and Cressida* (1980). Beeke especially highlighted themes of sex, violence, humor and anarchy in the posters that he produced for Globe Theatre Group. For example, I would like to discuss Beeke's poster *Gluck* (1981), (see following page, Figure 12), in the context of Man Ray's work, Figure 10.

Beeke had taken the photo of a woman's sexual organ in Gluck ("Happiness"), a play of Dauthendy who was a writer and an artist, and placed a linear clover figure on this area. No matter how we consider that the artist drew the clover figure on the photograph, alternatively, we may think that he drew the figure directly on the sexual organ of the woman. What is significant in this work is that a secondary object, figure or

symbol is externally affixed to the sexuality, which is in the center point of the work, as it was in Figure 11. In his work, Beeke placed the clover figure as its stem extends inside the sexual organ of the woman in order to give the impression that the plant lives here. Although we are not informed about the theme of the play in this study, I interpreted that it is about the woman and love.

The work of Man Ray and the poster image of Beeke have similar relations from the point of the application and practice of both artists, despite their different attitudes. As Man Ray draws the relation between the inspiration that he takes from the bottom of the woman and the religious symbol 'cross', Beeke places a plant on the sexual organ of the woman in order to illustrate the theme of a play. Both artists intervene in the photographic form with the linear form as a secondary factor. The linear symbols "cross" and "clover" that are adapted externally change the woman figure in the original photograph.

Figure 3. Gluck, (1981), by Anthony Beeke

The cross form used in Man Ray's work allows us to make different interpretations towards the woman's bottom. On the other hand, the clover figure created by Beeke provides different interpretations about the sexual organ of the woman. The photographic sources based on rich form, tone, light and shade used in both works result in visual and thoughtful changes through simple and linear symbols. Whereas such changes and interpretations towards Beeke's poster are adapted for the theatre, the aim in Man Ray's work is to reflect personal emotions and thoughts. Although some personal expressions can be used in Beeke's poster, such an attitude is limited by the general theme of the play.

Beeke has created provocative posters centering on sexuality not only in Figure 3, but also in some other works. For instance, in his *Troilus and Cressida* (1981), he placed the sexual organ of the woman on the bottom of the horse. Such an attitude especially provoked women in audiences and caused debates. In his work *Kwarte* (1981), Beeke illustrated the male figure taking the gun from his sexual organ that resulted in a provocative attitude by identifying male sexuality with the gun. In *Penthesile* (1991), the naked woman figure, holding a large placard or little poster almost covering her head illustrating the anxiously looking eyes, reflects the impressions of violence and sexuality. It is possible to refer to the parallel relationship to Dada art through the attitudes of "the anarchy, humor, and cynicism" in the above-mentioned posters of the artist.

Beeke points out the reason for the sexuality he highlights in some of his posters by saying, "I find the body fascinating, not in an erotic way, but as a source of inspiration for ideas." The relation between the "ideas" illustrated in the human body posters of Beeke and the "ideas" in the works of Man Ray should be considered significant. On one hand, Beeke illustrated the "idea" through the clover figure grown out of the woman's sexual organ; on the other, Man Ray illustrated the "idea" through the graphic symbols between the music and woman affixed to the form at the back of the naked woman in Figure 1. It is possible to specify the verbal information to be attached to Man Ray's work, Figure 1, with his photo collage –New York Music Festival– in which the woman's body resembles the violin.

When we remove the verbal information in Beeke's "Gluck", the image can be interpreted more widely and freely. In this case, the images in the poster art can be interpreted as more than one concept, as it was in Man Ray's work, whereas the meanings and emotions reached in the works produced in the aesthetic aims are considered in a much freer way.

The meanings of the images in poster art are limited due to their structure. However, the vigor and significance of the poster obtain value with the difficulty of "idea" and the "creative act" formed in the images. Gary Yanker points out the significance of the poster image, as: "The poster image is relatively durable, it permits the viewer great attitude in interpreting and understanding the message." I think the continuity of the poster's strength and effect depends on the power of the "idea" represented in the poster image in a sense. Beeke, Klimowski, Cieslewicz, and the other poster artists whose works I analyzed here have created powerful and interpretable images so that the vividness of the posters goes on. Beeke stated that he trying to make audience "think" through his posters, and that the images used in the poster art were not only used to illustrate the verbal information but also to carry out "artistic" and "analytical intellectual" activities by means of different "ideas". Lars Muller points out the "idea" concept in the poster art as follows,

“The poster idea, the pictorial compression of complex contents is the result of both on analytical intellectual and artistic creative search. The consonance of the metaphorical and formal aptitude of the idea is the requirement for its adequate artistic transposition.”

In Figure 3, Beeke reduced the general meaning to the woman’s sexual organ and the clover in order to communicate with the audience through “metaphorical” meanings. Moreover, Man Ray goes into dialogue with the audience through symbolic figures and objects in Figure 1 and Figure 2. Both artists used visual hybridization, requiring more than one figure or object for assembling, to communicate with the viewer. The process of this hybridization created conceptual meanings through blending the clover and the cross with a woman figure. Consequently, the works of Man Ray and Beeke have parallel relations due to the methods and applications, whereas they are different for their respective aims. Beeke dealt with the photo collage with respect to the theatre play and specified the image in order to restrict the extent of thinking and interpretation. Yet, Man Ray evaluated his photo collage with respect to his own aesthetic pleasure and created his work to a much more general extent.

In the previous pages, I compared and contrasted the relations between Man Ray’s photomontages that are produced depending on photographic sources, and Beeke’s posters that are produced using the same technique. Now, I would like to compare Lex Drewinski’s pictographic poster with the photo-collages of Man Ray that I analyzed above. The aim of this comparison is to analyze, despite the fact that both artists’ style, medium and purpose are different from each other, their common and similar artistic visual languages.

Lex Drewinski

Lex Drewinski was born on the 1st of September in 1951 in Stetin, Poland. He studied graphic design, painting and sculpture at The State Academy of Fine Arts in Poznan. He moved to West Berlin and continued to work as a freelance graphic designer and an artist. Zdzislaw Schubert points out the significance of the poster art for Drewinski as follows: “... he clearly indicated that for him the poster is only a means that enables him to maintain creative contact with the world.” While stating that the poster art was a form of “artistic thinking” for Drewinski, Schubert pointed out that the artist should expect “some interpretive effort” from the audiences. I would like to compare Drewinski’s poster for Shakespeare’s play *Anthony and Cleopatra* (1996), (see following page, Figure 4), which won an award at the Mexico Poster Biennial, to Man Ray’s above-analyzed works.

Two significant figures were highlighted in the poster of William Shakespeare’s renowned play that Drewinski produced for the Imagine Theatre: the woman figure with naked back; and the snake figure extending from the legs of the woman to her bottom. In the poster with a red background, the naked woman figure remained in white color, and the snake figure was drawn as a part of the red background.

Figure 4. *Anthony and Cleopatra* (1996), by Lex Drewinski

The artist presented the woman and snake figures with simple and graphical forms without applying light and shade effects. Although the snake figure is hardly noticed because it is presented in the same color with the background color, we realize the existence of that second figure after a short time. Drewinski’s artistic creativity in Figure 4 is obtained by means of using the curly form of the woman legs where the snake figure is placed. The tongue of the snake is placed in the place of the curly form of the woman’s hip, and the two figures are intermingled. I think that the snake figure obtained from the curve of the woman’s legs refers to the concept of the play, which is about a woman who is bitten by a snake. The Shakespeare play is about the love, treachery, struggle and power relations between Antony, the commander and the closest friend of Augustus Caesar (who is the son of Julius Caesar), and Cleopatra, the queen of Egypt. Caesar wages war against his rebellious commander Anthony. Seeing that he was defeated, Anthony prefers to commit suicide instead of being captured by Caesar. Accordingly, Anthony’s lover, Cleopatra, who is the significant character of the play, prefers to die letting a poisonous snake bite her, so as not to be captured by Caesar.

Drewinski reduces the intensive actions happening in this historical event to the relation between Cleopatra and the snake through puzzling and mystery visual illustration. As Schubert referred previously, the so-called relation is a sort of “creative contact” for Drewinski. Such contact is not only established between the poster and the play but also between the audience and the poster.

The form relations between the legs and hips of the woman figure representing Cleopatra and the snake image in Figure 4 are similar to the relation between the woman and the cross figures in Figure 2. In his work, Man Ray associated the cross figure with the bottom of the woman. On the other hand, Drewinski created the snake figure with the legs and hips of the woman figure. Both artists used human figure as a main ground and morphed it with secondary forms like the cross and the snake.

As Man Ray created deformation in the photograph by means of the cross figure that he affixed to the bottom of the woman, Drewinski deformed the woman figure with the snake figure by means of drawing and background-foreground relationship. If the source of the woman figure were photographic in the poster of Drewinski, the result would be similar to the work of Man Ray. Although the woman and the symbolic cross figures were obtained as an aesthetic alternative in Man Ray's work, Drewinski referred to the play through the woman and snake figures by using his creativity. The violin form obtained by the naked back and bottom of Kiki in Figure 1 becomes more definite and clearer with the musical note affixed by the artist. In this work, Man Ray establishes the contact with the graphic form that he affixed externally by using the human body. In this contact, the relation between the woman and music is highlighted.

The audience of the play would be able to see that the woman figure represented Cleopatra, and the snake figure represented the snake that bit her in Drewinski's poster. The audience members who did not previously have information about the play would realize the "metaphorical" relation in the poster at the end of it. Lars Muller, who defined the poster art as a significant "aesthetic" communication, said, "It reflects, as no other medium does, the conditions and scope of visual communication; over and above the intention of being seen and understood, the poster is also an aesthetic manifesto." The "intellectual" and "artistic creative" attitudes that we observe in the works of Man Ray are also observed in the image in Figure 4. The intention to "provoke the audience" is associated with the Dada art movement's use of color, form and creative elements as seen in Drewinski's poster. Especially, the point that provokes the audience in Drewinski's poster is the creative representation of the unexpected relation between Cleopatra and the snake.

The unexpected, shocking and provocative style obtained in the photo collages by the Dadaist and Surrealist artists using the juxtaposition method, as in the works of Man Ray, are also used by Drewinski in Figure 4 and in his other works. For example, In Peace (1987), the artist placed the shell of a snail on the wings of a pigeon. The artist wanted to point out that world peace was a slow process as such. In Casanova (2001), the artist converted the nose figure into the penis form of the male silhouette representing Casanova as attribution to the sexual theme of the play. In Stop sex with children (1997), Drewinski identified the penis form with the shark figure, and represented the child with the little fish figure to emphasize the pedophilia he was attacking. Consequently, it is possible to consider that Drewinski's bright and colorful artistic style and technique are different than the works of Man Ray. But the way visual symbolic language like hybridization is used in these artists' works is similar and common to each other.

Conclusion

I used Man Ray's photographic work in this research because he played a significant role on account of his active work in both Dada and Surrealism arts where woman body is often portrayed. The manipulations in the majority of Man Ray's photographic works are not in the form of cut & paste, but in the form of a hybridization approach and linear interventions.

Then, I have compared the artworks of Man Ray, who included simple but complex expressions particularly with illustrations and photographs, with Anthon Beeke's poster works. The "ideas" and "concepts" open to presumptive interpretations in Man Ray's works had parallel relations especially with Beeke's posters. I identified that "ambiguous" and "absurd" results could be born with the intervention of both artists into the photographic image with linear elements. In spite of this, I realized that the "ambiguous" appearance of the poster image could generate a "concept" especially by knowing the meaning of the story promoted in Beeke's posters. In this sense, I have stated that both artists directed a photograph, which we accept to be realistic, into a "problematic" process with illustrative and symbolic elements.

In this research, this time I compared Man Ray's photographic works with the simple linear and colourful poster works of Lex Drewinski. I analyzed that the method and "hybridization" visual language Man Ray attained through manipulation of photographs was also seen in Drewinski's illustrations. Although basically different techniques are applied, I have identified that the manipulation of the figure and the object were the same, and therefore the common attribute of the two artists belonging to two different periods was the use of visual language. In these pages, I have also analyzed the similarities of

Holger Matthies' photographic-manipulations, created with illustrations, with the artwork of Man Ray and exemplified the relationship of the visual languages between the works of two artists.

- [1] Carel Kuitenbrouwer "Anthon Beeke" in Eye Magazine, No: 13, An Emap Business publication, London, 1994, p. 10
- [2] David Hopkins "Surrealism, Sex and Desire" in Tate Art magazine, Issue 26, Autumn 2001. p.24.
- [3] David O'Connell (Ed). Dada, Performance, Poetry, and Art. Boston, Twayne Publication, 1984, p. 114.
- [4] Dingemon Kuilman "Anthon Beeke" in Affiche magazine, Wabrits Editions, No: 3/4, 12/1992, p. 73.
- [5] Gary Yanker. Pop Art. London, Studio Vista, 1972, p. 35.
- [6] Krauss, op. cit., p. 19.
- [7] Kuilman, op. cit., p. 76.
- [8] Kuilman, op. cit., p. 76.
- [9] Kuitenbrouwer, op. cit., p. 14.
- [10] Lars Muller "Posters" in L'art Pour L'art by Pierre Mendel (Ed). Munich, Goethe Institute, 1996, p. 20.
- [11] Muller, op. cit., p. 18.
- [12] Philips, op. cit., p. 215.
- [13] Schubert, op. cit., p. 13.
- [14] Zdzislaw Schubert "Lex Drewinski" in Lex Drewinski: No Comment 1985-2001. Lodz, City of Lodz History Museum, 2001, p. 12.

Visual Source

- Figure 1: https://www.lumas.com/pictures/man_ray/le_violon_dingres_1924/. Accessed May 13, 2019
- Figure 2: https://www.reddit.com/r/museum/comments/1zjlyp/man_ray_18901976_monument_to_daf_de_sade/. Accessed May 13, 2019
- Figure 3: https://www.beeke.nl/pics/home/home_nrcdeluxe_02_large.jpg. Accessed May 13, 2019
- Figure 4: <https://www.telegraph.co.uk/theatre/playwrights/strange-beautiful-shakespeare-posters-from-around-the-world/cleopatra-poster-imagine-theatre-de-2013-d-lex-drewinski/>. Accessed May 13, 2019
- www.about-shakespeare.com/antony_and_cleopatra.php.

Analyses of the Sustainable Patterns and Behaviours: the Case of the Residents in the Mediterranean Region of Slovenia

Špela Verovšek

Univerza v Ljubljani, Fakulteta za arhitekturo, Ljubljana, Slovenia

Matevž Juvančič

Tadeja Zupančič

Abstract

The proposed paper discusses the sustainable efficiency and quality of Slovenian neighbourhoods in the Mediterranean region of Karst¹ with the focus to the sustainability awareness and travel habits of their residents. The empirical study was carried out as an empirical pilot of the broader theoretical research project dealing with the modular urban renewal. The empirical survey (n = 112) refers to the typical patterns of behaviour, convictions and habits in relation to everyday activities condensed around the notion of dwelling and their impact on the social and natural environment. This article focuses on certain, geo-locally and thematically-referenced results brought about by the survey, with highlighted attention to the residents of the Komen municipality and their mobility patterns. The results of the survey contribute to the repository of knowledge, enlightening current trends and tendencies regarding sustainable behaviour of the residents of specific Mediterranean regions and coastal regions. From the perspective of the existing available data at the level of neighbourhoods (or similar spatial scales), the results, although thematically selective, represent a welcome contribution, not only for the evaluation of sustainable efficiency, but also in terms of the perceived quality of living by the residents of this region, their attitudes and opinions towards some of the contemporary issues in the local and temporal context.

Keywords: sustainable behaviour, neighbourhood, Karst, built environments, mobility patterns.

1 Introduction

Characteristics of built environment are important factors or make an important contribution to users' sustainable or unsustainable responses and behaviour (Williams & Dair, 2007; Shove, 2014). By the more sustainable environment we consider the environment that encourages more sustainable behavioural patterns, such as selection of the means of transport; patterns related to household provisioning and consumption; patterns related to the use of resources; attitude toward the natural and cultural living environment, and last but not least, attitude toward the neighbourhood community and participation in the broad range of its activities.

The question of behaviour of a specific community is very complex as it involves shared responsibility and actions (Niedderer et al., 2017; Lilley, 2009) that can be researched from the perspective of the individual, small communities, local authorities or different initiatives. All behaviours to some respect always reflect its socio-economic, regulative and geospatial context. This adds to the equation many variables that determine more or less beneficial final outcomes for the individual or the community; this to a large extent contributes to shaping the methods and the level of sustainable behaviour

¹ The Karst Plateau or the Karst region (Slovene: Kras, Italian: Carso), also locally called Karst, is a karst plateau region extending across the border of southwestern Slovenia and northeastern Italy. Karst in general is a special type of landscape that is formed by the dissolution of soluble rocks, including limestone and dolomite. Karst regions contain aquifers that are capable of providing large supplies of water (The Karst Waters Institute, 2019). Johann Weikhard von Valvasor, a pioneer of the study of karst in Slovenia and a fellow of the Royal Society for Improving Natural Knowledge, London, introduced the word karst to European scholars in 1689, describing the phenomenon of underground flows of rivers in his account of Lake Cerknica.

The proposed paper discusses the sustainable efficiency and quality of Slovenian neighbourhoods in the Mediterranean region of Karst with the focus to the sustainability awareness and behaviours of their inhabitants. The empirical study was carried out as an empirical pilot of the research project dealing with the modular urban renewal. The empirical survey (n = 112) refers to the typical patterns of behaviour, convictions and habits in relation to everyday activities condensed around the notion of dwelling and their impact on the social and natural environment. This paper focuses on certain, geo-locally and thematically-referenced results brought about by the survey, with highlighted attention to the residents of the Komen municipality and their travel behaviour.

The Municipality of Komen extends on 103 square kilometres in the Karst region of Slovenia from its border with Italy and the Municipality of Duino-Aurisina up to the Branica Valley on the north edges of the region which then falls into the Vipava Valley. The area of Slovenian Karst which gave the name to the entire karst landscape is defined by the specific landscape with topographic depressions (sinkholes and caves), caused by underground solution of limestone bedrock. Profound limestone, bora wind, cave systems, poor red soil, and decreasing population are the common denominators which form the highly subtle characteristics of this area.

The highly expressed permeability of grounds results in high pollution potential. The environmental pressures of households, traffic, farming or industry are critical factors in karst terrain and the reduced opportunity for contaminants to be filtered. Together with the water, pollution – the consequence of various human activities in the sensitive karst environment – can also spread quickly and represents an increasing threat to the quality of karst waters; karst water sources represents practically the only source of drinking water (80–90%) in the area (Petric and Rubinic, 2017). Moreover, the unique combination of geomorphology, thin soil, Mediterranean and continental climate as well as historic human intervention in this area (wider area is the typical Karst terraced landscape) also represent an essential habitat for flora and fauna; the Karst region is one of Europe's richest areas in animal and vegetable species and one of the world's biotic diversity "hotspots". The described characteristics of the area make the Karst exceptionally vulnerable to human intervention and pressures; a profound awareness about the importance of the Karst natural and cultural heritage (traditional shepherds' huts, drystone walls and ponds; traditional terraces) and preservation is of huge significance including the awareness among the residents and its visitors.

2 Methodology

The empirical study of assessing sustainability awareness and behaviour of the population in Slovene towns and villages has been devised as a survey conducted in a number of Slovene neighbourhoods. The main goal was to gain insights against our hypotheses about sustainability awareness and behaviour of population in neighbourhoods in dependence of different types of living environments, geo-local context and demographic characteristics of individual researched population. In this article we focus to the population of Komen. In the analysis we look at the results against the results gained in other pilot neighbourhoods across Slovenia (referential values) where the survey was conducted. We were interested to find whether there are statistically important differences in sustainability behaviour, beliefs and habits of populations in Komen against the mean values in other Slovenian neighbourhoods.

The selection of pilot neighbourhoods was based on four key factors that ensured higher diversity of researched forms and consequently higher universality of the final instrument for evaluation of neighbourhoods in Slovenia (Verovsek et al., 2016). All neighbourhoods were selected on the basis of spatial districts and by grouping them together. Due to restrictions posed by the Statistical Office of the Republic of Slovenia (SURS) to provide probability sampling, addresses and existing data, all neighbourhoods are groupings of spatial districts that include at least 500 permanent inhabitants. In the case of Komen this means the borders of the whole settlement, hence we joined the initially split neighbourhoods into one group. Other residential neighbourhoods we use as referential values in this article for comparison are more urbanised and more densely populated. They are located within the central and western part of Slovenia respectively.

The target population of the survey were individuals older than 15 years with permanent residence in the selected neighbourhoods or settlements. In the case of Komen the sample includes all inhabitants of this settlement over the age of 15. Sampling was made on the basis of the Population Register by SURS. Our application to obtain stratified probability sampling and addresses of the target population was approved by the Data Protection Committee. The sample included 40% of randomly selected units of the target population in each neighbourhood.

The final realized sample included 321 valid units of the population above the age of 15 years with the average age of 48 years (in Komen, the average age of respondents was 43 years). At the time of participation, completed high school was the level of education for 48% of our respondents, short cycle higher education for 15% and higher education or higher for 22% of our respondents. In the population of Komen, the share of the population with high school education was somewhat lower (43%) while the share of the population with higher education or higher was slightly higher (25%). From the employment perspective, the majority of the population was employed (47%), followed by retirees (37%) and students (10%). In the case of Komen, the number of students was a bit higher (16%) and the number of retirees was lower (31%). There was a balance among the respondents in terms of gender, both in the total group and in the Komen group. Demographic-social characteristics of the collected (realised) sample show a fairly good balance in comparison with the values obtained in the target population (data by SURS, 2017). There are no statistically significant differences at the regular degree of risk or the limit of statistical characteristic between the population and the realised sample in terms of gender representation, the average age of respondents, the type of household and the average household size. Higher deviance, both in the total group and in the Komen group, was found in the age structure (Figure 1) and in the educational structure. In the final group of Komen respondents, we interviewed a disproportionately high share of the older population (aged 54-65 years) and the youngest population (under 20 years). There is a poorer representation also in the educational structure: both in Komen and in other researched neighbourhoods, the educational structure is higher than in the structure of the target population. In our case the mitigating circumstance is the fact that the same discrepancy can also be found in all other researched neighbourhoods, therefore a comparative analysis does not produce any related differences.

We conducted the survey using two methods, that is, by mail (printed copy) and online (application Enka) and kept a clear separation line between the stage of contacting the sampling population and the data collection stage (Lyberg et al., 1997). Our sampling was conducted exclusively on the basis of address database in a specific geographical unit (selected neighbourhoods). In this way we obtained a quality probability sample. Each physical copy of the questionnaire sent included an invitation to provide responses online should the respondents wish to answer the questions in this way.

The questionnaire's theme is interdisciplinary, devised by the members of our project group in accordance with outcomes from a series of panel meetings. The questionnaire which includes 50 questions in five sections addresses the realisation of sustainability outcomes on different levels. The questions were restricted to a few goals only as the study of higher number of variables in one survey becomes harder due to execution restrictions, such as the questionnaire length, time needed to answer the questions, influence of participation in previous tasks, technical limitations, etc. Questions from individual sections were goal-oriented and directly or indirectly looked at the realisation of a specific goal of sustainability development. Most questions are closed-ended with the ordinal scale of values that allow for quantitative statistical analysis. There is a minor part that includes open-ended questions, either independently or as an appendix to the ordinal variables or questions.

In this article we limited the study of habits, beliefs and awareness of the population only to the selected aspects of mobility. The parameters under consideration were statistically analysed. To confirm the significance of differences among the groups we used some relevant nonparametric tests, most frequently the statistical test for homogeneity of variance (Levene's test) and two-tailed dependent t-test (characteristics level $\alpha=0.05$).

3 Results and discussion

3.1 Mobility and patterns of travel

In the Mobility section of the survey we observed some aspects of sustainability patterns in the population and their views or satisfaction with services and the situation in the local environment. Sustainable mobility has some well-known objectives, such as a decrease in individualised means of transport; a balanced structure of means of transport; reduced use of fossil fuels; a combination of different means of transport; use of modern technology to manage mobility (Marshall, 2007; Holden, 2016) mainly with the aim of a better flow and access to goods, people and services; mitigation of the negative impact of transport on the environment; more energy and time efficient routes; increased safety of all members, and generally higher quality of living. Targeting strategies include direct and short-term measures to manage mobility (through built infrastructure, new transport services, regulated transport cost, etc.) as well as measures that are indirect and long-term (spatial planning of services and activities, changing the population's habits, subsidies for public transport, etc.). Related to the targets are indicators or criteria for following the progress of these strategies.

Thus, we studied some aspects of sustainable mobility patterns of the population and their views on or satisfaction with services and the situation in the local environment. They include: the number of vehicles in the respondent's household; selection of the means of transport to work/school; selection of the means of transport for errands and leisure; general level of satisfaction with conditions on the way to work/school; most disruptive elements of travel to work/school, and the amount of time spent on travel to work/school. Simultaneously we checked the actual distance between the respondent's place of residence and his workplace/school.

Hypotheses: We speculated that in smaller, less urbanised settlements outside the larger agglomerations the public transport infrastructure and services will be less developed, therefore the sustainability patterns of the population (from the mobility perspective) would be less advantageous. The second assumption revolves around Komen's geographic position and the importance of other larger settlements in its vicinity to which its inhabitants are bound. We assumed that its inhabitants are more dependent (as in the case of referential neighbourhoods) on the gravitational towns in the vicinity and thus more reliant on a larger number of trips by car while at the same time provided with fewer opportunities for walking and cycling (we took an average range that is still comfortable for the majority of the population – 1 km for walking and 5 km for cycling). Our third assumption linked the satisfaction of the population with the transport infrastructure, including stationary traffic and the sense of traffic safety. We hypothesised that neighbourhoods in more urbanised environments have better conditions for dedicated cycling routes, walkways, parking spaces (and cars in general) due to the higher critical mass of the population (Huétink et al., 2010), therefore the sense of safety would be higher. On the other hand, in smaller and less urbanised settlements with predominantly single-family housing (such as in Karst region and Komen Municipality) roads tend to be less busy and there are fewer problems with parking and general lower saturation with stagnant traffic.

The results to some extent confirmed our hypotheses. They revealed that Komen inhabitants are actually more dependent on their private means of transport. According to the Municipal Planning Document of the Komen Municipality (MPD Komen, 2018), the number of public transport lines that connect the settlement with the nearby centres is modest and the connections are not frequent. The collected data also recorded very strong employment and educational ties to places that are not in its immediate vicinity – a quarter of the population travels every day to work or school in a place that is more than 30 km away (in the case of referential neighbourhoods, only 8% of the population) while another two quarters travel to a place that is at least 15 km away (in the case of referential neighbourhoods, it is only one fifth). These results in a high level of registered vehicle ownership: on average, Komen households own at least two cars while as much as 37% of households have three cars (there are only 2% of such households in referential neighbourhoods) and only 2% of respondents said they didn't own a car (10% of the households in referential neighbourhoods). In all mentioned variables it is possible to confirm the statistically significant difference between the two groups. Thus it is not surprising that as many as three quarters (more than 74%) of Komen respondents go to work or school every day by their own car and as many as three quarters of these are the only passenger in the car. In comparison and as expected, a considerable number of commuters in referential Slovenian neighbourhoods travel to work by bus or train as there are reasonably good infrastructure and services available. Nevertheless, even here the passenger vehicle dominates: 47% of the respondents travel to work or school by car and most of them (85% of all travelling by car) are the only passenger which is, from the perspective of environment and infrastructure congestion, a typically non-sustainable pattern.

In the segment where we looked at the selected means of transport, it is interesting to compare travel to work/school with travel for the purposes of provisioning, leisure and errands (leisure travel). For Komen inhabitants there is not much difference in their selection of means of transport for trips to work/school or for leisure travel. For both types of travel they most frequently select their car (64% for trips that are not related to work/study), of these 80% are the only passenger in the vehicle. For inhabitants of referential Slovene neighbourhoods the difference in the selected means of transport for the two purposes is larger and also shows a higher occupancy of the car for leisure trips. In other Slovene neighbourhoods, non-travel/work related trips are undertaken by only 39% of the population in average; of these, nearly half carry another passenger, which generally significantly reduces traffic congestion and its effects on the environment. From this perspective Komen is less sustainably oriented. Its inhabitants very much depend on the car also in their free time and for seeking provisions. Additionally, people's habits generally contribute to higher numbers of car trips in comparison with other means of transport even when there is no rational reason for this selection. Their habits tend to change more slowly than external factors (Neal et al., 2012).

At least for car owners, Komen is relatively well connected to towns in its vicinity (MPD Komen, 2018). This explains why the level of satisfaction with road conditions is relatively high, while the main issue with travelling to work are, according to

respondents' statements, poor connections between different means of public transport or low level of intermodality. In referential neighbourhoods, on the other hand, the main cause of unhappiness are traffic jams on the roads which is well illustrated by the comparison of travel distances and the time needed to cover it. Komen inhabitants daily travel to work or school to places that are on average 31 km away and spend on average around 34 minutes on travel. The inhabitants of referential Slovene neighbourhoods, on the other hand, travel only 16 km but spend on this trip only a few minutes less than Komen inhabitants. Thus, they proportionally travel twice as slowly. The general level of satisfaction with daily trips to work/school is higher in Komen despite less choice in means of transport. This is most likely the result of the fact that, at least for car owners, Komen provides quick and good connections to towns in its vicinity and also to the capital.

Perceptions of traffic safety in the local environments were tested on the respondents who walk and cycle. Well-being and the feeling of safety while walking or cycling strongly influences the decision to use these more sustainable means of transport for shorter distances (Kerr et al., 2015) and is often linked to better conditions of the infrastructure equipment (higher number of dedicated cycling paths, higher number of pavers, higher number of roads with slowed-down traffic, etc.) The respondents returned positive feelings about their sense of safety – only 16% did not feel safe enough to walk around the settlement (looking at traffic safety only). Somewhat higher is the proportion of dissatisfaction in the case of cycling (22% of respondents dissatisfied). In comparison with averages obtained in the referential neighbourhoods, the sense of safety among non-motorised traffic participants is quite comparable, therefore this hypothesis cannot be confirmed (there are no statistically significant differences between the groups ($t(204) = .26, p > .05$). Even though the cycling and walking infrastructure in Komen is much worse equipped than in the referential neighbourhoods (MPD Komen, 2018) this does not seem to affect the sense of safety. The reasons for this can perhaps be found in the relatively low numbers of cyclists and walkers in Komen, and perhaps also in generally lower traffic congestion by motorised vehicles. According to the information provided by The Slovene Infrastructure Agency (2018), the values for the mean daily road traffic for specific categories per annum in Komen are at least twice lower than comparable road categories in other parts of Slovenia in general.

These results can additionally be linked to the level of satisfaction with stationary traffic. Parking in Komen neighbourhoods is not a problem according to the majority of respondents, neither from the perspective of those who park cars nor from the perspective of those who may be affected by parked cars. In comparison with more densely populated neighbourhoods of reference, Komen inhabitants are more satisfied with parking capacities, either close to home ($t(267) = 10.42, p < .05$) or close to services (kindergarten, school, shops, etc.) in the neighbourhood ($t(267) = -.607, p < .05$). In Komen 22% are not satisfied with parking arrangements close to home (in referential neighbourhoods as many as 57%) and 13% are dissatisfied with parking arrangements close to services (in referential neighbourhoods 37%). Such results, at least in relation to parking close to home, are understandable considering that most Komen inhabitants live in single-family homes and provide for their own parking facilities. Over two thirds (67%) of Komen inhabitants park their car in their courtyard or in their private garage, and a further 23% in a provided car park close to home. Living in apartments and generally in more congested circumstances in referential neighbourhoods doesn't allow for such parking, therefore there is more unregulated parking (on green surfaces, on the roads, on pavers) and parking in free public areas in such neighbourhoods. Consequently, in neighbourhoods where this problem is not addressed this means lower quality of living and devaluation of free public surfaces. Hence, inhabitants of Komen are less sustainability oriented due to the higher number of passenger cars they possess, nevertheless, this is not reflected in potential traffic congestion in open public spaces.

4 Conclusion

The patterns of behaviour, peoples' habits and attitudes towards various issues condensed within the notion of dwelling are an important part of the sustainability assessment in terms of neighbourhoods and communities. The pilot study, which we have carried out and which is partly discussed in this paper, was primarily aimed at identifying the possibilities for obtaining missing data at the level of neighbourhoods and to identify the possible obstacles that are occurring in the process of assessment. From this point of view, the study was carried out on the population of spatially and socially diverse neighbourhoods in Slovenia, which further provides us with the necessary modifications in the structure of indicators in the evaluation model. In this paper, we presented some of the results of the survey study, with an emphasis on the Karst population in relation to the reference average values of the other neighbourhoods in Slovenia. The outcomes are thus a contribution to the knowledge of sustainable sustainability trends within the Karst and Coastal Region population and in relation to some of the more urbanized neighbourhoods of central Slovenia. From the perspective of existing available data at the level of neighbourhoods, the results, although thematically selective, are a welcome contribution, not only for the evaluation of sustainable efficiency, but also in terms of the quality of living of the inhabitants of these neighbourhoods.

However, the study is a pilot, which brings limitations in terms of generalizing the final results or making uncritical inferences about the impacts of the neighbourhoods' characteristics on the behaviour of its inhabitants. Despite the random character of the sample and the sufficient size of the sample population, the results do not allow for major generalizations due to insignificant number of neighbourhoods involved in the study and insufficient regional coverage within the Slovenian territory. Individual regions in Slovenia show specific characteristics which, regardless of the age, the urbanization and population density or renewal stage of the neighbourhoods, could influence the results of the behaviour patterns of their residents.

Regardless of the mentioned reservations, the results of the study give us a good track record for creating customized forms of sustainability and quality evaluation indicators, and above all a good framework for searching for their relevance. Some aspects of sustainability are more relevant in certain types of neighbourhoods, while for other types it may be completely insignificant and, in the evaluation structure, unnecessary. We are aware that both rationalization and the standardization of instruments for the assessment of neighbourhoods are essential for their operability and actual feasibility. The problem of the current assessment frameworks is not to exclude individual aspects of sustainability, rather in the inability to actually create indicators and obtain applicable input data to explain particular dimensions of sustainability. With the described pilot study we are patching this gap and, at least partly, overcoming these problems.

5 Acknowledgements

The research discussed in the paper is part of the project (J5-7295, 2016–2018) supported by the Slovenian Research Agency and implemented by the partnership of University of Ljubljana and Urban planning Institute of the Republic of Slovenia

References

- [1] Byers, V. & A. Gilmer (2018): Developing a Unified Approach to Sustainable Consumption Behaviour: Opportunities for a New Environmental Paradigm. *European Journal of Sustainable Development*, 1-10.
- [2] Corner, A. (2017): *Promoting Sustainable Behaviour: A practical guide to what works*. Routledge.
- [3] Direkcija RS za infrastrukturo. Podatki o prometu. Prometne obremenitve. URL: http://www.di.gov.si/si/delovna_podrocja_in_podatki/ceste_in_promet/podatki_o_prometu/ (21. 3. 2018).
- [4] Holden, E. (2016): *Achieving sustainable mobility: everyday and leisure-time travel in the EU*. Routledge.
- [5] Huétink, F. J., van der Vooren, A. & F. Alkemade (2010): Initial infrastructure development strategies for the transition to sustainable mobility. *Technological forecasting and social change*, 77 (8), 1270–1281.
- [6] Kerr, J., Emond, J. A., Badland, H., Reis, R., Sarmiento, O., Carlson, J., Sallis, J.F., Cerin, E., Cain, K., Conway, T. & G. Schofield (2015): Perceived neighbourhood environmental attributes associated with walking and cycling for transport among adult residents of 17 cities in 12 countries. *Environmental health perspectives*, 124 (3), 290–298.
- [7] Kollmuss, A. & J. Agyeman (2002): Mind the Gap: Why do people act environmentally and what are the barriers to pro-environmental behavior? *Environmental Education Research* 8 (3), 239–260.
- [8] Lilley, D. (2009): Design for sustainable behaviour: strategies and perceptions. *Design Studies*, 30 (6), 704–720.
- [9] Lyberg, L., Biemer, P., Collins, M de Leeuw, E., Dippo, C., Schwarz, N. & D. Trewin (1997): *Survey Measurement and Process Quality*. Wiley Series in Probability and Statistics. New Jersey, John Wiley & Sons, Inc.
- [10] Marshall, S. & D. Banister (2007): *Land Use and Transport*. Elsevier, Amsterdam.
- [11] Neal, D. T., Wood, W., Labrecque, J. S. & P. Lally (2012): How do habits guide behavior? Perceived and actual triggers of habits in daily life. *Journal of Experimental Social Psychology*, 48 (2), 492–498.
- [12] Niedderer, K., Clune, S., & G. Ludden (ur.) (2017): *Design for Behaviour Change: Theories and practices of designing for change*. London, Routledge.
- [13] Odlok o Občinskem prostorskem načrtu Občine (OPN) Komen; Municipal Planning Document of the Komen Municipality (2018): Uradni list RS, št. 26/18.
- [14] Petrič, M., & Rubinič, J. (2017). Specifics of karst hydrology. *LIFE AND WATER ON KARST*, 16.
- [15] Shove, E. (2014): Putting practice into policy: reconfiguring questions of consumption and climate change. *Contemporary Social Science*, 9 (4), 415–429.

- [16] Statistični urad Republike Slovenije (SURS). Klasifikacije, vprašalniki in metode. <https://www.stat.si/StatWeb/Methods/ClassificationsQuestionnairesMethods> (19. 2. 2018).
- [17] Verovšek, Š., Juvančič, M. & T. Zupančič (2016): Recognizing and fostering local spatial identities using a sustainability assessment framework. *Annales, series historia et sociologia*, 26 (3), 573–584.
- [18] Williams, K. & C. Dair (2007): A framework of sustainable behaviours that can be enabled through the design of neighbourhood-scale developments. *Sustainable Development*, 15(3), 160–173.

Active and Qualitative Learning a Consequence of the Integration of Non-Formal Methods in Teaching Content and Their Implementation in the Teaching Process

Nazyktere Hasani

PhD, Lecturer, "Zenel Hajdini" High School, Gjilan, Kosovo

Abstract

The integration of non-formal education in formal education, in all its forms, is one of the most important issues of the global education. However, active and qualitative learning is the result of the integration of non-formal methods in teaching content and their implementation in the teaching process, as well as an important aspect where students develop their skills, permanently acquire their knowledge. Integrated non-formal methods in the teaching content would provide multiple opportunities for the students to be trained for a lifelong learning. The purpose of this paper was to increase teachers' awareness on the importance of using non-formal methods and their positive effect that this integration brings, both in their performance and in active and effective learning.

Keywords: teaching content, teaching process, non-formal methods, active learning, teache

Introduction

Integration of non-formal methods in the teaching contents and their implementation in the teaching process is one of the aspirations of global society oriented towards the achievement of quality and effectiveness in education. So, global education focuses on the necessity of synchronizing non-formal and formal education. Such synchronization can be achieved through the integration and implementation of various non-formal methods during the learning process, thus promoting active learning where a variety of activities are involved.

If we already affirm that above all the important thing is active participation of students in teaching, if these wish for our children to think, to understand more and remember less is really honest, we should seek concrete and efficient ways for children to guide, interest and activate.

"If we already affirm that above all the important thing is active participation of students in teaching, if this wish for our children to think, to understand more and remember less is really honest, we should seek concrete and efficient ways for children to guide, interest and activate."

(Dušan Radović, "Na ostrvu pisaceg stola"(On the island's desk) quoted by Ivič,I, Pesikan, A,Antic,S(2001:17.) Active learning

According to researcher Gazibara, "Active learning as a practical activity is related to working strategies and methods in teaching". Scannapeico (1997) defines as methods of encouraging students in inclusion of higher thinking tasks like analysis, synthesis and evolution "(Gazibara,S(2018:24).

She further states that "Meyers and James (1993) emphasize that active learning can offer students the opportunity to speak and listen, read, write and reflection access to subject content through problem solving, small non-formal groups, simulation , case study, role play and various activities that requires from all the students the implementation of all what they learn "(Gazibara, S (2018: 24,25).

According to scholars, active learning encourages students to be fully involved in the learning process. "Active Learning involves the student in physical, cognitive and emotional way, while the way the learner acquires knowledge determines how much that knowledge will be useful and how long it will be permanent"(autors,Papič-Krsteska,B, Sonaj,B, Osman,E, Spaseva-Miovska,S,Leshkovska ,E ,Stojkovski,S.(2015:23) .

The teacher is the key factor in the organization and implementation of non-formal methods during the teaching process, he is the motivator, facilitator and founder of a favorable environment by acting together and exchanging valuable ideas and ideas for an active learning.By implementing non-formal methods enables students to think critically, work

independently and engage in joint research work. Likewise, the teacher through non-formal methods creates a positive climate where the feeling of self-confidence, mutual trust, responsibility and motivation prevails as an important aspect in promoting active learning.

In this study, the integration of non-formal methods and their implementation into the process of learning, we determine as "an embodied body in which the soul of a child is in the body of an adult".

1. Literature Review

Numerous researchers, the integration of non-formal methods into teaching contents and their implementation during the learning process, consider being extremely important and necessary to promote active learning. They also describe it as "the main link" in achieving the goals of global education.

"Global education aims at developing learning communities in which students and educators are encouraged to work for global questions through co-operation. Global education aims to stimulate and motivate pupils and educators to approach global questions through innovative learning and pedagogy. Global education aims to challenge formal and non-formal education programs and practices by presenting their content and methodology "(Cabezudo, A and co-author (2008-2014 :20)

According to Pešič (2017), "Contemporary learning studies have shown that in a non-formal atmosphere, more they learn in qualitative way, through interaction of participants, collaborative learning through non-formal methods which provide students creative, experience and research learning". <https://www.profil-klett.hr/neformalno-obrazovanje-razine-i-modeli>

Researcher Kovačević (2012) describes the application of non-formal methods as "General work with the individual as a non-formal education method including the knowledge, skills, techniques and strategies of working with the individual who wants to advance his education more easily to work through professional perfection and to accomplish his other goals "(Kovačević (2012: 45).

Also, Kovačević, in his research " Activities of international organizations on the application of informal education in Montenegro ", about the contribution of non-formal methods in productivity and high motivation, developed with teachers ranked in two groups on the basis of their work experience from 1 -21 years of working experience and the other group over 21 years, has found that:

From the first group, 57.8% of respondents have proved that non-formal methods contribute to higher productivity and motivation for learning both to teachers and students, while 39% partially agree with it. On the other hand, from the other group of respondents with longer work experience, 25.2% fully agree, while 17.0% partially. A small number of respondents, only 9.0% of the two respondents, disagree with the defined statement, their attitude that non-formal methods have this interest both for teachers and students (Kovačević (2012:45).

Many scholars such as Kovačević (2012), Krsteska-Papić, B with co-authors (2015), Cabuzdo, A with co-authors (2008/2012), Brkanlić, S with co-authors (2012), Kristina Krištofić (2016) in their studies describe the methods of work as very important components to reach the effectiveness of teaching and learning necessary for a global education, emphasizing individual, paired work, group or team work forms, learning through discovery or debate, methods of dialogue, problem solving, collaborative learning, simulation, game, content analysis, etc.

Application of non-formal methods during the teaching and learning process should correspond to the overall goals of global education.

According to Cabuzdo, A and co-authors (2008/2012) global education consists in

- collaborative learning facilitates learning through interaction, strengthens communicative skills of participants and their reliance

- Problem-based learning ... Problem-solving learning paves the way to the active approach to teaching that is oriented in the task, student-controlled

- Dialogue-based learning, which facilitates verbal interaction of learners in order to achieve exchange of ideas "(Cabuzdo, A and co-authors, 2008-2012: 30).

The author Krištofić, K (2016) in her work "Characteristics of social forms of teaching work focused on students " describes several working methods as crucial for the development of creative, personal and social skills as well as individual, project work and action-based:

"Teaching with projects ... results in a great deal of contributions for students and thus they gain knowledge, skills and educational value, develop their ability and skills in different situations, develop research interest, develop positive relationships to work and develop creative learning with practical work .. (Cindrić and co-authors. 2016). Collaborative learning represents an active learning process in which students develop and cultivate academic and social skills by directly utilizing student interaction, individual responsibilities, and positive interdependence (Jensen, 2003).""...the individual work brings the student in close relationships with the learning contents and acting on their own develops independence, self-confidence and creative skills (De Zan, 2001) ... "(Krištofić, K, 2016: 19, 22,30).

Brkanlić, S with the co-authors (2012) describes the method of learning through the problem-solving path as a method which "enables a high level of student creativity Student and computer equally posit problematic tasks for each other, solutions are required and uninterruptedly solve different problematic situations. Learning is very interesting so knowledge gaining is permanent and in practice very easy to apply, especially in new problem situations. (Brkanlić, S (2012:172).

It is also worth mentioning the research-based method, which according to Bogнар and Matijević, (2005) "Research is a method by which students learn the reality" (Bogнар and Matijević, 2005: 283)

Based on the literature we can say that the use of non-formal methods during the teaching process is indispensable and that this way of learning leads us towards global aspirations for a quality education and lifelong learning.

2. Research Methodology

2.1. Purpose of the research

The purpose of this paper was to increase the awareness of teachers on the importance of using non-formal methods and their positive effect that this integration brings, as in their performance, also in active and effective learning.

2.2 Research questions

The research includes the following questions:

- (1) Are non-formal methods integrated in the teaching content of teachers?
- (2) How much are non-formal methods implemented during the teaching process?
- (3) If you use non-formal working methods during the learning process, which methods mostly encourage active student participation?
- (4) What is the cause of non-implementation of non-formal methods during the teaching process according to teachers?

For this research we have used the quality method – the focus group, as according to many researchers the focus group enables us to better know the problematic of the study. According to Matthews, B and Ross L (2010) "Focus groups are an appropriate method for collecting data that is used when the researcher collects qualitative data on people's experiences, ideas, and understanding of people and when it has an interest in learning why they experience their social world this way." Matthews, B and Ross, L (2010: 236).

In the research study participants were the teachers of two high schools and two lower secondary schools of Gijilan town. In the focus group there were a total of 26 teachers who attended over 100 hours of training, divided into four groups. Therefore the selection of participants was based on Matthews, B and Ross, L (2010) literature, according to whom "participants are usually selected to participate and the group consists of people who have something in common that relates to the topic of the focus group "Matthews, B and Ross, L (2010: 235).

3. Research results

3.1. Teachers' views on "are non-formal methods integrated in the teaching content of teachers?"

Most of the school teachers who became part of the focus groups have emphasized that they have integrated non-formal methods in their teaching content, where according to them the attendance of trainings, especially of the training "Critical Thinking, Reading and Writing" has made it possible to get acquainted with contemporary methods, how to encourage students to be an active part of the learning process and integrate these methods into teaching contents.

In two focus groups of high school teachers, 12 participating teachers emphasize that they have integrated non-formal methods in the teaching content, but they are only shown on paper and 14 low secondary school teachers emphasized that they have integrated non-formal into the teaching content.

From this we can conclude that all teachers have integrated non-formal methods in the teaching content.

3.2. Teachers' views on the question "How much are the non-formal methods implemented during the teaching process?"

Out of the focus groups of high schools it seems that very little non-formal methods are implemented during the teaching process, out of 12 teachers participating in the focus group 10 of them emphasize that they do not always use non-formal methods during the teaching process despite the fact that the teaching contents contain non-formal methods while 2 of them emphasize that they do not implement any non-formal methods. While from the focus groups of lower secondary schools it turns out that non-formal methods are applied almost in every class, so all teachers, 14 of them use different non-formal methods almost in every lesson.

Here are some teachers' perceptions:

"I rarely apply working non-formal methods during the teaching process"

"I try to apply non-formal method at least once a month during the teaching process, but according to me there is no effect because students are not interested at all"

"For each lesson I use different working methods"

"Not always, but in most cases I apply working non-formal methods, which I have included in the teaching contents"

From all of the above we can say that most teachers use non-formal working methods throughout the teaching process, while some do not apply a contemporary teaching based on different methodologies to reach an active teaching and learning.

3.3. If you use working non-formal methods during the learning process, which methods do most encourage the active participation of students?

According to the teachers, 12 of them included in the focus group, 26 of them, as the most preferred methods and which stimulate active participation of students mentioned forms of work in pairs, group or team, learning through discovery or debate and work with projects.

Two teachers emphasized that "during the implementation of the group work form the majority of the students are passive and not actively involved, noise is created so sometimes we cannot meet the foreseen learning objectives."

One of them emphasized that:

"During the learning through discovery or debate, the student is encouraged by curiosity; active participation is stimulated and creates a competitive spirit"

"Students during the project work are more committed, share ideas and thinking, communicate and act together, so they feel more motivated"

3.4. Teachers' views on the question "What is the cause of non-implementation of non-formal methods during the teaching process by teachers?"

Most of the participants in the focus group of high schools as the main cause of non-implementation of non-formal working methods see the large number of students in the classrooms, the noise during their implementation, then some also note their unwillingness to apply non-formal methods in teaching methods.

Some teachers emphasize that time is limited and more time is needed to apply non-formal methods adequately.

Other teachers emphasize that when using non-formal methods only a small number of students participate actively while most of them are passive, students do not sufficiently understand the learning content so we waste a lot of time.

According to the teachers another reason for not using non-formal methods is the negative opinion of students that through non-formal methods we do not understand the learning content enough and that they are feeling themselves enough grown up to act through non-formal methods.

12 of the teachers included in the focus group consider that the reason for not implementing non-formal methods is the space that classrooms have and inadequate working conditions.

Here are some attitudes of teachers participating in the focus group:

"I see the nonfulfillment of working non-formal methods insufficient at times, because applying non-formal methods adequately during the teaching process takes longer time"

"The main cause is the large number of students and the noise"

"Several times I tried to use different working methods during the learning process but during their implementation I noticed that not all students actively participated, a small number of students tried to get involved actively while the rest were passive and did not take seriously, for example, during the group work"

"If we encourage students to work with projects, a big number of them will act according to the guidelines, work by cooperating and the rest will not try to work, but they will ask to take the tasks from their friends"

"Pupils are not aware of the positive effects of non-formal methods in their professional and individual development, so it is necessary to organize different workshops for students."

A big number of the teachers believe that through traditional teaching, pupils better understand the teaching unit, that they are got used to this teaching and find it difficult to use new working methods.

Conclusion

Based on the analysis of teachers' attitudes at both school levels, we conclude that in our schools still dominates the traditional teaching where the teacher is the subject and the students are the objects in the class. Some teachers are not yet ready to promote active teaching, they are not ready to use new methods of work that encourage students to participate actively and are not ready to adapt informal methods in their teaching method which enable interactive and collaborative learning.

However, there is a noticeable movement in this topic that the vast majority of lower secondary school teachers use working non-formal methods with students, understand the need for global education for active learning where the teaching and learning process they orientate towards the student so that students become an active part of learning and promoting their values.

Therefore there is a need to continue to work on the promotion of the use of non-formal methods that, over time, all teachers become aware of and apply new methods and forms of work during the teaching process for an active teaching and learning where students and teachers can be subject, where students need to "learn how to learn" which is a motto of contemporary learning.

It is important to note that this research is of particular interest to me and also for other teachers. Also this paper may serve for other researches because in our country there is a lack research of this nature. The purpose of this paper was to draw attention and increase the awareness of teachers to efficiently apply non-formal methods in their educational work for a qualitative education based on the goals of global education.

References

- [1] Alicia Cabezudo, Christos Christidis, Miguel Carvalho da Silva, Valentina Demetriadou – Saltet, Franz Halbartschlager, Georgeta-Paula Mihai. (2008-2014) Smjernice za globalno obrazovanje .
- [2] Bogнар, L., Matijević, M. (2005). Didaktika. Zagreb: Školska knjiga.
- [3] Brkanlić, S, Radakov, S, Vapa, B (2012). Metode aktivnog učenja u sistemu visokog *obrazovanja*. Znanstveni članak. *Učenje za poduzetništvo*. Vol.2 NO.1, 2012:172. Zagreb
- [4] Gazibara, S (2018). Aktivno ucenje kao didakticko metodicka paradigam suvremene nastave. Doktorski rad., Zagreb, 2018:24
- [5] <https://www.profil-klett.hr/neformalno-obrazovanje-razine-i-modeli> . See 5/5/2019
- [6] Ivič, I, Pesikan, A, Antić, S (2001) Aktivno ucenje. Prirucnik za primenu metoda aktivnog ucenja/nastave. Beograd 2001:17. Institut za psihologiju.
- [7] Koncept I atsimit multikulturor, 2015:23). Ministria e Arsimit dhe Shkencës. Shkup
- [8] Kovačević, S (2012). Aktivnosti mečunarodnih organizacija na primjeni **neformalnog obrazovanja u Crnoj Gori . Podgorica** ,2012:45.
- [9] Krištofić, K, (2016) Diplomski rad: Obilježja socijalnih oblika rada u nastavi usmjerenoj na učenika . Sveu čilište u Zagrebu. Učiteljski fakultet , Odsjek za učiteljske studije (Čakovec) .
- [10] Matthews, B dhe Ross, L (2010). Metodati E hulumtimit. Qendra për Arsimit Demokratik (CDE). Tiranë
- [11] Papic-Krsteska, B, Sonaj, B, Osman, E, Spaseva-Miovska, S, Leshkovska , E , Stojkovski, S.

Building Trust in the Shadow of the Future

Peter Hwang

School of Economics and Business Administration, University of Tartu

Abstract

This study examines that trust and the shadow of the future collectively determine the context of a relationship. We first propose that trust and the shadow of the future give rise to apprehension and temptation, which define the relational context. We further propose that the impact of changes in payoff incentives on cooperation is contingent upon the relational context. To test these propositions, we examined eight different payoff variations under four different relational contexts. The eight payoff variations are characterized by different combinations of greed, fear and benefits underlying the changes in payoff incentives. The four relational contexts are characterized by different configurations of apprehension and temptation. Results generally support the hypotheses. First, we find that apprehension and temptation are shaped by trust and the shadow of the future. Second, we find that reducing greed is more effective in motivating cooperation than reducing fear, when temptation is stronger than apprehension. The reverse is true when apprehension is stronger than temptation.

Keywords: Trust, Time Horizon, Cooperation, Context, Apprehension, Temptation

Introduction

The modern economy has witnessed the increasing importance of human skills and knowledge. The key characteristic of performing knowledge-based work is the sharing and conveying of necessary information in which trust takes on a critical function (Kramer, 1999; Cao and Lumineau, 2015). Trust is important because it instills the confidence of not being cheated as well as makes one reluctant to behave opportunistically for avoiding jeopardizing future gains. Trust however only constitutes the inter-personal aspect of the relational context. As human interactions are on-going social, the inter-temporal dimension cannot be ignored (Gil and Marion, 2013; Vanneste and Frank; 2014). As people compare the immediate gain from cheating with the possible sacrifice from future gains, the future casts a shadow back upon the present, affecting current behavior.

Whereas trust has traditionally been a popular topic in disciplines such as psychology, sociology, political science, and business (e.g., Rousseau et al., 1998), the shadow of the future or the extendedness of a relationship, has taken a central role in game theory and economics (e.g. Kreps, 1990; Vanneste and Frank; 2014). Partly because trust and the shadow of the future have been largely studied in isolation, the hidden linkages that both promote cooperation through apprehension and temptation have gone unnoticed.

Understanding the context of a relationship is important because payoffs to an exchange are necessarily embedded in the relational context. It is well understood that payoff manipulations fundamentally affect prospects for the emergence and maintenance of cooperation. How effective payoff manipulations are, however, depends on the nature of the relational context. An interesting question arises: In which way does the relational context affect the impact of payoff manipulations on cooperation?

The purpose of this study is to empirically test that the impact of payoff manipulations on cooperation hinges on the relative standing of apprehension and temptation (Hwang, 2005). Within the context of a prisoner's dilemma game, we

systematically vary payoffs and examine the impact of these payoff manipulations on willingness to cooperate under four distinct relational contexts. Results generally support the hypotheses. First, there is a strong indication that apprehension and temptation are shaped by trust and time horizon collectively. Second, we find evidence that reducing greed for opportunistic gains is more effective in motivating cooperation than reducing fear of being cheated when temptation dominates over apprehension and vice versa when apprehension dominates over temptation.

In the next section we review the literature on payoff incentives, trust, and time horizon followed by the development of our hypotheses. In section two we describe the experimental design and procedures. Section three presents our results. Section four concludes.

Payoffs and Relational Context

Payoff Incentives: Benefit, Greed and Fear

It has long been documented in the literature that three payoff incentives underlie mixed-motive interactions: benefit from cooperation, greed for opportunistic gains and fear of potential losses (see Schmidt et al., 2001; Kitts et al., 2016). These incentives can be illustrated with the help of prisoner's dilemma (PD) games. A prisoner's dilemma game is played by two players who each have the choice between cooperation (C) and non-cooperation (N). Each player's payoff is a function of his and his opponent's choice. We identify a player's payoffs by payoff functions with two arguments, $\pi(1,2)$, the first being the player's own choice of action, the second being the other player's choice. To be of PD type, a game's payoff matrix must have the property $\pi(N,C) > \pi(C,C)$ and $\pi(N,N) > \pi(C,N)$. If both players choose to cooperate they receive their Pareto-efficient payoff $\pi(C,C)$. If one player chooses to cooperate and the other player defects, then the defector receives his temptation payoff $\pi(N,C)$, and the other player receives the sucker payoff $\pi(C,N)$. If both choose their dominant strategy and defect, they both end up with the second smallest payoff $\pi(N,N)$, which is the unique Nash equilibrium.

Rapoport and Chammah (1965) first translated the PD game structure into three incentives (see also Hwang and Burgers, 1999; Schmidt et al., 2001):

- $\pi(C,C) - \pi(N,N)$ referred to as benefit,
- $\pi(N,C) - \pi(C,C)$ referred to as greed, and
- $\pi(N,N) - \pi(C,N)$ referred to as fear.

Greed, $\pi(N,C) - \pi(C,C)$, and fear, $\pi(N,N) - \pi(C,N)$, constitute incentives against cooperation while benefit, $\pi(C,C) - \pi(N,N)$, encourages cooperation (e.g., Rapoport and Eshed-Levy, 1989; Dawes et al., 1986; Poppe and Utens, 1986; Coombs, 1973). Empirical studies have shown that greater benefit increases cooperation (Komorita et al., 1980), while greater fear and greed decrease cooperation (Saijo and Nakamura, 1995; Schmidt et al., 2001; Clark and Sefton, 2001).¹

Relational Context: Trust and Time Horizon

Human behavior in social interactions is based on other parameters than payoffs alone. Chief among these are trust and time horizon characterizing the interpersonal and the intertemporal dynamics of a relationship respectively.

Arrow (1974) claims that an element of trust exists in every transaction and that without trust, there can be no cooperation. Similarly, scholars have argued that trust is essential to produce socially efficient outcomes and to avoid inefficient non-cooperative traps (Putnam, 1993; Fukuyama, 1995). Researchers generally agree that trust refers to a party's beliefs about

¹ These findings are robust in finitely repeated as well as one-shot PD games, despite the fact that non-cooperation is the theoretical Nash equilibrium for each player in one-shot interactions (Orbell & Dawes, 1993; Axelrod, 1984; Selten and Stoecker, 1986).

the likely behavior of the other party that matter to the trustor's decision making (e.g. Gambatta, 1988; Hardin, 1991; Burt and Knez, 1996). As such trust has a strong bearing on one's choice of action (Dasgupta, 1988).

Trust may be based on the other's payoff incentives, a belief in the predictability of the other's behavior (e.g., Deutsch, 1958), the expectation of reciprocity (e.g., Ostrom, 1998) or a full internalization of the other's desires and intentions (e.g., Rousseau et al., 1998). Whatever the motivation behind trust, ample evidence from laboratory studies supports that those who expect their counterparts to cooperate are more likely to cooperate themselves (Bornstein and Ben-Yossef, 1994; Yamagishi and Sato, 1986; Glaeser et al., 2000).

How does trust promote cooperation? Trust researchers unanimously agree that trust alleviates fear (e.g., Putnam, 1993; Fukuyama, 1995). In addition to easing concerns of being cheated, Hwang and Burgers (1997) recently argued that trust also contains greed. This is because opportunism is likely to put an end to a relationship, causing the loss of a trustworthy partner (e.g., Axelrod; 1984; Kreps, 1990). As losing a trustworthy partner implies foregoing potentially beneficial opportunities in the future, one would be less prone to act opportunistically the more one trusts the other party.

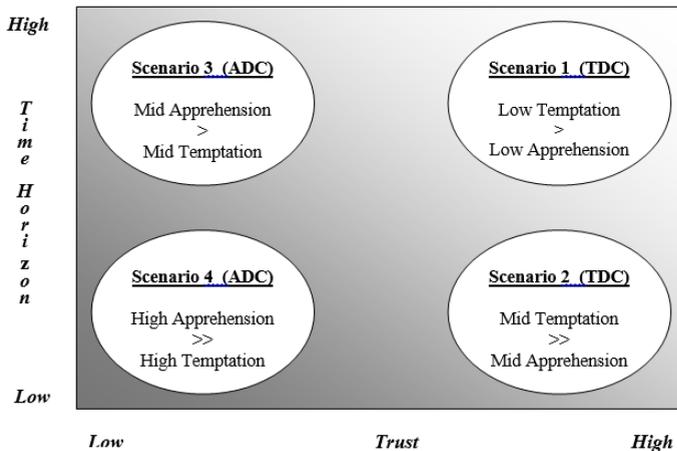
The intertemporal dynamics of a relationship (time horizon) have been extensively studied in economics (e.g., Kreps, 1990). Ample empirical studies indicate that the expectation of a continuing interaction is an important determinant of cooperation (e.g., Heide and Miner, 1992). Andreoni and Miller (1993) and Palfrey and Rosenthal (1994) find evidence, that an expectation of future interactions with the same partner positively affects cooperation rates (see also Clark and Sefton, 2001). Murnighan and Roth (1983) show that the likelihood of a game terminating clearly is a major determinant of cooperation in mixed-motive interactions.

How does time horizon promote cooperation? When the likelihood of future interactions increases, temporary benefits from cheating today are more likely to be outweighed by retaliatory punishments delivered in the future (Kreps, 1990; Axelrod, 1984; Telser, 1980). By shaping the expectation of retaliatory punishments that opportunism is likely to cause, time horizon contains greed. In addition, from the victim's perspective, longer time horizon implies more possibilities to deliver punishments. Greater power in delivering punishment in an extended time horizon suggests that time horizon also alleviates fear (Kreps, 1990; Axelrod, 1984; Telser, 1980).

In summary, although for different reasons, trust and time horizon promote cooperation by alleviating fear and containing greed. They concurrently set the relational context for cooperation.

Payoff Embeddedness and the Nature of the Relational Context

Because trust and time horizon both foster cooperation through alleviating fear and containing greed, they collectively form the relational context by shaping apprehension and temptation (Hwang and Burgers, 1999). Depending on how they are configured, one might be more apprehensive than tempted or more tempted than apprehensive. Fig 1 shows how different combinations of trust and time horizon give rise to four unique relational contexts in which the payoff incentives are embedded.



*TDC = Temptation Dominant Context,

ADC = Apprehension Dominant Context.

Fig. 1 suggests that temptation and apprehension are both low when trust and time horizon are both high (scenario 1) and both high when trust and time horizon are both low (scenario 4), with scenarios 2 and 3 in between. Holding time horizon constant, Fig. 1 suggests that apprehension and temptation rise when trust declines and vice versa. Similarly, holding trust constant, apprehension and temptation rise when time horizon declines and vice versa.

We next examine how the strength of apprehension compares to that of temptation within each of the four relational contexts. Note that when the column player trusts the row player, it is likely for non-cooperation to yield $\pi(\text{NC})$ rather than $\pi(\text{NN})$ and for cooperation to yield $\pi(\text{CC})$ rather than $\pi(\text{CN})$. In the extreme case, when trust is complete, a choice of non-cooperation is certain to yield $\pi(\text{NC})$ and a choice of cooperation is certain to yield $\pi(\text{CC})$. As opportunistic gains ($\pi(\text{NC}) - \pi(\text{CC})$) are relatively certain while potential losses ($\pi(\text{NN}) - \pi(\text{CN})$) unlikely when trust is high, temptation is expected to be stronger than apprehension in scenarios 1 and 2. We hypothesize that scenarios 1 and 2 are temptation dominant contexts.

Conversely, when the column player has little trust in the row player, cooperation is unlikely to yield $\pi(\text{CC})$ and non-cooperation is unlikely to yield $\pi(\text{NC})$. In the extreme case, when there is no trust, a choice of non-cooperation is certain to yield $\pi(\text{NN})$ and a choice of cooperation is certain to yield $\pi(\text{CN})$. As potential losses ($\pi(\text{NN}) - \pi(\text{CN})$) are relatively certain while opportunistic gains ($\pi(\text{NC}) - \pi(\text{CC})$) unlikely when trust is low, apprehension is expected to be stronger than temptation in scenario 3 and 4. We hypothesize that scenarios 3 and 4 are apprehension dominant contexts.

Hypothesis 1: Scenarios one and two are temptation dominant contexts and scenarios three and four are apprehension dominant contexts.

We not only argue that temptation outweighs apprehension in scenarios 1 and 2 and vice versa in scenarios 3 and 4, but also that temptation and apprehension dominance is more pronounced when time horizon is short (in scenarios 2 and 4). Note that time horizon has two effects on cooperation. A shorter time horizon on one hand means less severe consequences of acting opportunistically, implying intensifying temptation. On the other hand, a shorter time horizon means more severe consequences if being cheated, implying intensifying apprehension. In other words, a shorter time horizon makes one more tempted and more apprehensive. From time horizon alone, however, we cannot determine which of the

two is stronger. We argue that trust is the missing piece of information as it tells us about the likelihood of obtaining opportunistic gains and that of incurring potential losses. When losses are more likely than gains, a shorter time horizon will strengthen apprehension more than temporization and vice versa.

As opportunistic gains ($\pi(\text{NC}) - \pi(\text{CC})$) are relatively certain while potential losses ($\pi(\text{NN}) - \pi(\text{CN})$) unlikely when trust is high, opportunism is attractive. When consequences of acting opportunistically become less severe as time horizon shortens, opportunism becomes even more attractive, implying that temptation grows relative to apprehension. Intuition suggests that in the extreme case of a one-shot interaction with a completely trusted partner, there is no apprehension but only infinite temptation. Because time horizon is shorter in scenario 2 than in scenario 1, we expect temptation dominance to be more pronounced in scenario 2 than in scenario 1.

In contrast, as potential losses ($\pi(\text{NN}) - \pi(\text{CN})$) are relatively certain while opportunistic gains ($\pi(\text{NC}) - \pi(\text{CC})$) unlikely when trust is low, getting cheated is of great concern. When consequences of being cheated become more severe as time horizon shortens, concerns of being cheated intensify, implying that apprehension grows relative to temptation. As time horizon is shorter in scenario 4 than in scenario 3, we expect apprehension dominance to be more pronounced in scenario 4 than in scenario 3.

Hypothesis 2: Temptation dominance is more pronounced in scenario 2 than scenario 1 and apprehension dominance is more pronounced in scenario 4 than scenario 3.

Finally, we argue that it is neither payoffs nor relational context alone, but their interaction that determines willingness to cooperate; apprehension influences fear and temptation influences greed. It follows that the intensity of apprehension relative to that of temptation determines whether fear or greed is the dominant incentive against cooperation.¹ It is greed and fear together with temptation and apprehension, compare to benefit, which determines cooperation.

Reducing greed and fear certainly increases willingness to cooperate, but we expect that the same amount of change will not have equal impact across the four relational contexts. To motivate cooperation, we expect that reducing greed will be more effective than reducing fear in temptation dominant contexts. Similarly, we expect that reducing fear will be more effective than reducing greed in apprehension dominant contexts.

Two pairs of payoff manipulations are examined. The first pair involves comparing the effect of changing $\pi(\text{N,C})$ with that of changing $\pi(\text{C,N})$. By manipulating $\pi(\text{N,C})$ we change greed and by manipulating $\pi(\text{C,N})$ we change fear. The second pair involves comparing the effect of changing $\pi(\text{C,C})$ with that of changing $\pi(\text{N,N})$. By manipulating $\pi(\text{C,C})$ we change greed and benefit and by manipulating $\pi(\text{N,N})$ we change fear and benefit.

Regarding the first pair, we hypothesize that decreasing $\pi(\text{N,C})$ and increasing $\pi(\text{C,N})$ motivates cooperation in different ways. We expect that decreasing $\pi(\text{N,C})$, which reduces greed, is more effective than increasing $\pi(\text{C,N})$, which reduces fear, in temptation dominant contexts (scenarios 1 and 2) and vice versa in apprehension dominant contexts (scenarios 3 and 4). The same logic applies to increasing $\pi(\text{N,C})$ which increases greed and decreasing $\pi(\text{C,N})$ which increases fear.

Hypothesis 3a: In scenarios 1 and 2, changes in $\pi(\text{N,C})$ have a greater impact on willingness to cooperate than equally large changes in $\pi(\text{C,N})$.

Hypothesis 3b: In scenarios 3 and 4, changes in $\pi(\text{N,C})$ have a smaller impact on willingness to cooperate than equally large changes in $\pi(\text{C,N})$.

Regarding the second pair, we hypothesize that increasing $\pi(\text{C,C})$, which increases benefit and reduces greed, will be more effective in motivating cooperation than decreasing $\pi(\text{N,N})$, which increases benefit and reduces fear, in temptation

¹ Assuming fear and greed are of equal size.

dominant contexts (scenarios 1 and 2), and vice versa in apprehension dominant contexts (scenarios 3 and 4). The same logic applies to decreasing $\pi(C,C)$, which decreases benefit and increases greed, and increasing $\pi(N,N)$, which decreases benefit and increases fear.

Hypothesis 4a: In scenarios 1 and 2, changes in $\pi(C,C)$ have a greater impact on willingness to cooperate than equally large changes in $\pi(N,N)$.

Hypothesis 4b: In scenarios 3 and 4, changes in $\pi(C,C)$ have a smaller impact on willingness to cooperate than equally large changes in $\pi(N,N)$.

Table 1 summarizes how the impact of payoff manipulations on willingness to cooperate hinges on the relational context.

Table 1. Payoff Manipulations that Motivate/Impede Cooperation

	Payoff Manipulation	Implication	Impact on Cooperation*	
Motivate Cooperation	decrease in $\pi(NC)$ vs. increase in $\pi(CN)$	gain less from cheating vs. lose less if cheated	more effective in TDC vs. more effective in ADC	
	increase in $\pi(CC)$ vs. decrease in $\pi(NN)$	benefit more from cooperation and gain less from cheating vs. benefit more from cooperation and lose less if cheated	more effective in TDC vs. more effective in ADC	
	Impede Cooperation	increase in $\pi(CN)$ vs. decrease in $\pi(CN)$	gain more from cheating vs. lose more if cheated	more effective in TDC vs. more effective in ADC
		decrease in $\pi(CC)$ vs. increase in $\pi(NN)$	benefit less from cooperation and gain more from cheating vs. benefit less from cooperation and lose more if cheated	more effective in TDC vs. more effective in ADC

*TDC = Temptation Dominant Context.

ADC = Apprehension Dominant Context.

2. Experimental Design and Procedure

The purpose of this study was to test the idea that different configurations of trust and time horizon will evoke different perceptions of apprehension and temptation, which in turn will shape the impact of payoff manipulations (which alter benefit, fear and greed) on cooperation. To achieve this we used prisoner's dilemma games. They are ideal for our purpose. Firstly, PD games provide incentives for both competitive and cooperative actions. Secondly, PD games allow the testing of context effects as they themselves are context-free.

180 undergraduate business students from the National University of Singapore voluntarily took part in our experiment. Each participant played the PD-game shown in Fig. 2 under all four scenarios depicted in table 2. The scenarios are composed of different combinations of trust and time horizon, each expected to give rise to one of the different relational contexts suggested by Fig. 1. We chose probabilities of 0.1 and 0.9 to represent low and high levels of trust and time horizon. We expect the combination of these rather extreme values to evoke clearly the four distinct relational contexts depicted in Fig. 1.

Table 2. Relational Contexts

Relational Context	Trust	Time Horizon	Nature of Relational Context*
Scenario 1	90%	90%	Low Temptation > Low Apprehension
Scenario 2	90%	10%	Mid Temptation >> Mid Apprehension
Scenario 3	10%	90%	Mid Temptation < Mid Apprehension
Scenario 4	10%	10%	High Temptation << High Apprehension

* Refer to Figure 1

Figure 2. Baseline Game

		YOU	
		Option A	Option B
OTHER PERSON	Option A	450	600
	Option B	150	300

Relational Context Manipulations

Trust was operationalized as the probability that the other person would cooperate (choose Option A)¹. In scenarios 1 and 2, participants were informed that there was a 90% chance the other person would choose Option A. In scenarios 3 and 4, participants were informed that there was a 10% chance the other person would choose Option A.

Time horizon was operationalized as the probability that the PD-game would continue. All participants played the PD-game with the probability that the game would continue varying from one scenario to the next. In scenarios 1 and 3, participants were informed that there was a 90% chance that the game would have another round. In scenarios 2 and 4, this probability was 10%. While participants were told that the termination of the repeated PD-games would be determined probabilistically, they in fact played six rounds in scenario 1, two rounds in scenario 2, seven rounds in scenario 3, and two rounds in scenario 4. Subjects did not know at any time, the exact number of rounds for each scenario. The number of rounds chosen for each scenario was simply to reflect the extendedness of time horizon. The actual number of rounds is in fact irrelevant to this study. As subjects are likely to adjust their trust based on the other person's response, we don't know the exact trust level after the first round. We are therefore only interested in the first round decision. A repeated game design however is desirable to make the study most realistic.

¹ We are interested in the role of trust in decision making rather than the sources of trust. Operationalizing trust as the probability that the other party will cooperate allows us to study its impact without necessarily drawing on any particular motivation.

We expect scenarios 1 and 2 to be temptation dominant contexts and scenarios 3 and 4 to be apprehension dominant contexts. Moreover, we expect temptation dominance to be more pronounced in scenario 2 than in scenario 1 and apprehension dominance to be more pronounced in scenario 4 than in scenario 3.

At the start of the experiment participants were informed that at the end of the experimental session they would receive S\$10 for participation, and additional S\$50 (two weeks later) if they were among the top-ten performers. The entire experiment was conducted via computer and lasted approximately 45 minutes. Subjects were told to maximize their own payoff without regard for the other party and they were assured that their decisions would remain anonymous throughout and after the experiment and that decisions would not carry moral implications.

Subjects were first introduced to the PD-game payoff presentation. They saw their own payoffs only but knew that the other party also faced a PD payoff structure but they did not know the exact payoffs. This is not only a more realistic assumption as the other party's payoffs are rarely known in reality but also reflects the idea that the level of trust already incorporates the expected influence of the other party's payoffs on his/her behavior. A payoff structure more conducive to cooperation, for instance, would result in a higher trust level.

After having introduced the PD-payoff presentation, subjects were given written instructions (see Appendix A) introducing them to the notions of trust and time horizon and their task. Training rounds to familiarize them with the computer interface and our operationalization of trust and time horizon followed.

After this subjects were informed about the four scenarios under which they would play. They were required to complete a quiz before they were able to proceed. The quiz consisted of four questions that could not be answered unless one understood the different nature of the scenarios. Most participants were able to complete the quiz with little difficulty.

Subjects then proceeded to actually play the repeated PD-game under the four scenarios. Previous research (Murnighan and Roth, 1983) indicated that the order of play had no effect on the player's choices. Thus players played the four repeated games in the same order: scenario 1, followed by scenario 2, scenario 3, and scenario 4. Subjects were told that they would play against a different person in each scenario. They actually played against the computer, which played a tit-for-tat strategy.¹

After subjects had made their decision for the first round under each scenario and before knowing their partner's decision, we examined what motivated their action. We asked subjects who chose Option B (non-cooperation) to indicate (on a 7-point scale) to what extent they agreed with the statements: *'I choose Option B in an attempt to get 600 in this round.'* and *'I choose Option B because if I choose Option A I am afraid of getting only 150.'*² (See Appendix B for the computer interface used.)

Payoff Manipulations

After subjects had indicated what motivated their action, we examined the effectiveness of payoff manipulation on willingness to cooperate. Using a sub-sample of 90 students we compared the impact of changing $\pi(\text{NC})$ with that of changing $\pi(\text{CN})$ on willingness to cooperate. We refer to this sample as condition 1. The sub-sample of the remaining 90 students was used to compare the impact of changing $\pi(\text{CC})$ with that of changing $\pi(\text{NN})$. We refer to this sample as condition 2. Remember, by changing $\pi(\text{NC})$ we change greed and by changing $\pi(\text{CN})$ we change fear. By changing $\pi(\text{CC})$ we change greed and benefit and by changing $\pi(\text{NN})$ we change fear and benefit.

Under condition 1 we colored $\pi(\text{NC})$ green and $\pi(\text{CN})$ red. We asked those who chose Option A (cooperators) to indicate (on a 7-point scale) to what extent they agreed with the following statements: *'With 700 in the green cell, I would probably*

¹ We could have used other strategies, but tit-for-tat reasonably simulates the continuous play of a human counterpart.

² We do not ask subjects who choose option A (cooperation) because their temptation and apprehension levels are necessarily low to cooperate. We therefore don't expect to see the contrast between apprehension and temptation.

have chosen the other option' and 'With 50 in the red cell, I would probably have chosen the other option'. (See Appendix B for the computer interface used.) Note that these payoff manipulations increase greed and fear by 100 units relative to the baseline game (Figure 2) and are expected to reduce willingness to cooperate.

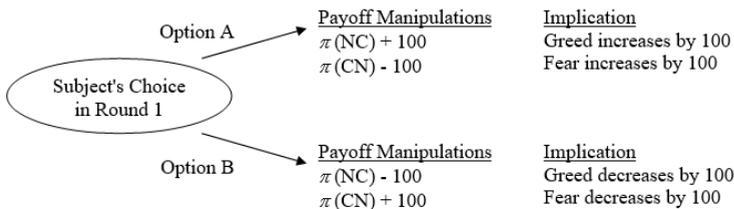
We asked those who chose Option B (non-cooperators) to indicate to what extent they agreed with the following statements: 'With 500 in the green cell, I would probably have chosen the other option' and 'With 250 in the red cell, I would probably have chosen the other option'. Note that these payoff manipulations decrease greed and fear by 100 units relative to the baseline game (Figure 2) and are expected to increase willingness to cooperate.

Under condition 2 we colored (CC) green and (NN) red and asked those who chose Option A (cooperators) to indicate (on a 7-point scale) to what extent they agreed with the following statements 'With 350 in the green cell, I would probably have chosen the other option' and 'With 400 in the red cell, I would probably have chosen the other option'. Note that these payoff manipulations increase greed and fear while at the same time decrease benefit by 100 units relative to the base line game and are expected to reduce willingness to cooperate.

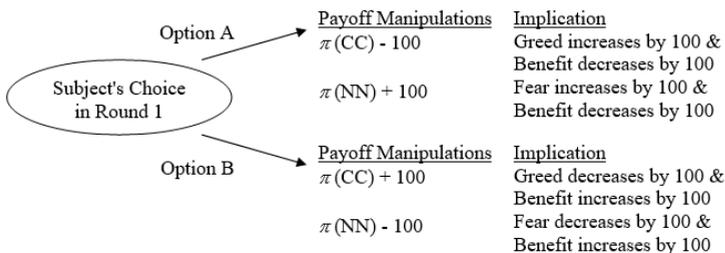
We asked those who chose Option B (non-cooperators) to indicate to what extent they agreed with the following statements: 'With 550 in the green cell, I would probably have chosen the other option' and 'With 200 in the red cell, I would probably have chosen the other option'. Note that these payoff manipulations decrease greed and fear while at the same time increase benefit by 100 units relative to the base line game and are expected to increase willingness to cooperate. See Fig. 3 for an illustration of the two conditions.

Figure 3. Payoff Manipulations and Their Effect on Incentives

Condition 1



Condition 2



The essence behind our payoff manipulations is to motivate cooperators to choose non-cooperation and non-cooperators to choose cooperation. Specifically, we encourage non-cooperation by increasing greed and fear and encourage

cooperation by decreasing greed and fear. This allows us to compare the effectiveness of changing greed with that of changing fear in all four scenarios.¹

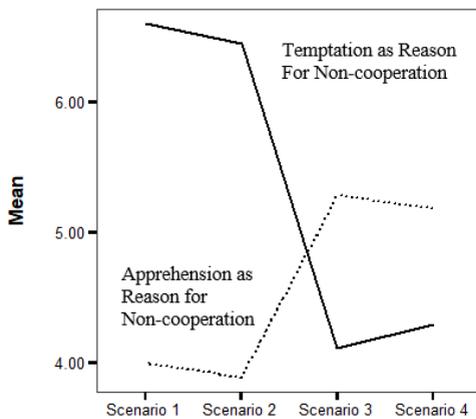
Lastly, subjects were informed about the other person's action and continued to play until the termination point of the game.

3. Results

3.1 Apprehension Dominant vs. Temptation Dominant Contexts

Fig. 4 depicts non-cooperators' perception of what motivates their non-cooperative action. There is no one reason behind non-cooperation that prevails in all four scenarios. Whether greed or fear is the primary factor that causes benefits to be insufficient for cooperation to emerge depends not only on the amount of greed and fear but also on the relational context. Our findings suggest that subjects chose non-cooperation in an attempt to get the temptation payoff 600 rather than in order to avoid the sucker payoff 150 in scenarios one and two. The difference in means is significant ($t_1 = 11.788, p < 0.001$; $t_2 = 13.532, p < 0.001$). In scenarios three and four subjects choose non-cooperation in order to avoid the sucker payoff 150 rather than attempt to get the temptation payoff 600. The difference in means again is significant ($t_3 = -4.857, p < 0.001$; $t_4 = -3.925, p < 0.001$). Given the equal amounts of greed and fear in the PD-game's payoff structure that we used in all four scenarios, variations in the reasons for non-cooperation can only be attributed to the different natures of the relational contexts. That temptation for opportunistic gains rather than apprehension of potential losses is the stronger force against cooperation in scenarios 1 and 2 and that apprehension of potential losses rather than temptation for opportunistic gains is the stronger force against cooperation in scenarios 3 and 4, supports hypothesis 1. This suggests that scenarios 1 and 2 are indeed temptation dominant contexts, and scenarios 3 and 4 apprehension dominant contexts.

Figure 4. Temptation versus Apprehension as Motivators of Non-Cooperation



Trust:	90	90	10	10
Time Horizon:	90	10	90	10

Scenarios

T-tests did not reveal that temptation dominance is stronger in scenario 2 than 1 ($t = 0.039$). Since non-cooperators in scenario 1 are already too tempted to choose cooperation, we suspect that no significantly higher temptation level is

¹ Manipulations to $\Pi(CC)$ and $\Pi(NN)$ have the same impact on benefit from cooperation, and manipulations to $\Pi(CN)$ and $\Pi(NC)$ have no impact on benefit.

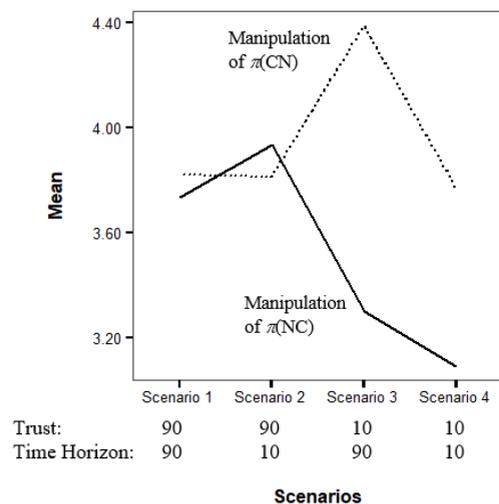
therefore observed in scenario 2. T-tests also did not reveal that apprehension dominance is stronger in scenario 4 than 3 ($t = -1.316$). Similarly, since non-cooperators in scenario 3 are already too apprehensive to choose cooperation, we suspect that no significantly higher apprehension level is therefore observed in scenario 4.

It is however possible to infer the degree of temptation dominance and apprehension dominance from cooperation rates. First-round cooperation rates for scenarios 1, 2, 3, and 4 are 49%, 22%, 22%, and 12% respectively. As scenarios one and two are both temptation dominant contexts, a proportion test suggests that the lower cooperation rate for scenario 2 is indicative of stronger temptation dominance in scenario 2 ($Z = 5.505, p < 0.001$). Similarly, as scenarios three and four are both apprehension dominant contexts, a lower cooperation rate for scenario 4 ($Z = 2.513, p < 0.012$) suggests that apprehension dominance is stronger in scenario 4. This supports hypotheses 2a and 2b.

3.2 Impact of Payoff Manipulations on Willingness to Cooperate Across Scenarios

Fig. 5 presents the impact of changing $\pi(CN)$ and $\pi(NC)$ on willingness to cooperate¹ across scenarios². We found that changes in $\pi(NC)$ do not have significantly greater impact on willingness to cooperate than changes in $\pi(CN)$ in scenarios one and two ($t_1 = -0.376; t_2 = 0.569$). Hypothesis 3a is not supported. Changes in $\pi(CN)$, however, have significantly greater impact on willingness to cooperate than changes in $\pi(NC)$ in scenarios three and four ($t_3 = -5.387, p < 0.001, t_4 = -3.372, p < 0.001$). Hypothesis 3b is supported.

Figure 5. Impact of Payoff Manipulations on Willingness to Cooperation



We suspect that the insignificance of hypothesis 3a is due to the fact that the subjects respond more to $\pi(CN)$ than to $\pi(NC)$ because of asymmetric utility functions for gains and losses (Kahneman & Tversky, 1979; Rabin, 1998). Prospect theory argues that utility functions for losses are steeper than those for gains, therefore, the utility change caused by the

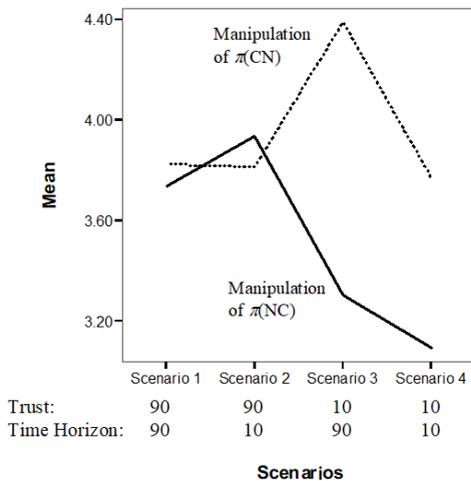
¹ After subjects had decided on Option A or Option B, we manipulated the payoffs and asked them to indicate the extent to which they would probably have chosen the other option, given the manipulations. We therewith measure subjects' willingness to change from cooperation to non-cooperation and vice versa. We refer to the influence of payoff manipulations on changing cooperative behavior as the impact on willingness to cooperate.

² We pooled the responses of subjects who we motivated to change from cooperation to non-cooperation with those of who we motivated to change from non-cooperation to cooperation. This is because we have no reason to believe that the nature of the responses from non-cooperators is different from that of responses from cooperators.

manipulation of the fear element $\pi(\text{CN})$ probably is greater than that caused by manipulations of the greed element $\pi(\text{NC})$.¹ We tested whether subjects on average responded more to changes in $\pi(\text{CN})$ than $\pi(\text{NC})$ across scenarios. We found that there is a significant difference in means ($\pi(\text{CN})(3.514) > \pi(\text{NC})(3.947)$, $t = 3.956$, $p < 0.001$). We adjust each subject's raw scores reflecting the impact of changes in $\pi(\text{CN})$ by subtracting the mean of these raw scores. We made the same adjustment for changes to $\pi(\text{NC})$. After the adjustment, changes in $\pi(\text{NC})$ have greater impact than changes in $\pi(\text{CN})$ in scenarios one ($t_1 = 1.793$, $p < 0.038$) and two ($t_2 = 3.260$, $p < 0.002$) while changes in $\pi(\text{CN})$ and $\pi(\text{NC})$ remain significantly different in scenarios three ($t_3 = -4.764$, $p < 0.001$) and four ($t_4 = -1.740$, $p < 0.043$).

Fig. 6 presents the impact of changing $\pi(\text{CC})$ and $\pi(\text{NN})$ on willingness to cooperate across scenarios. As hypothesized, significant differences were found between manipulations of $\pi(\text{CC})$ and $\pi(\text{NN})$ in scenarios one, three and four ($t_1 = 1.883$, $p < 0.032$, $t_3 = -3.217$, $p < 0.001$, $t_4 = -1.929$, $p < 0.029$). However, no significant difference was found in scenario two ($t_2 = 1.049$).

Figure 6. Impact of Payoff Manipulations on Willingness to Cooperate



Because changes in $\pi(\text{CC})$ affect the greed element and changes in $\pi(\text{NN})$ affect the fear element, we tested whether subjects on average respond more to changes in $\pi(\text{NN})$ than in $\pi(\text{CC})$ across scenarios. No significant difference was found ($\pi(\text{CC})(3.725)$, $\pi(\text{NN})(3.825)$, $t = 0.906$). Given the positive direction in the mean difference though, we adjusted the raw scores by subtracting the means. We found that, after adjusting, changing $\pi(\text{CC})$ is significantly more effective than changing $\pi(\text{NN})$ in scenarios one and two ($t_1 = 3.025$, $p < 0.002$; $t_2 = 1.867$, $p < 0.033$) and significantly less effective in scenarios three and four ($t_3 = -3.969$, $p < 0.001$; $t_4 = -1.910$, $p < 0.030$).

In summary, we first found that the level of trust determines whether the relational context is dominated by apprehension or temptation. Second, there are indications that time horizon determines the degree of apprehension and temptation dominance. Third, the findings strongly support that in temptation dominant contexts payoff manipulations affecting greed have greater impact on cooperation than those affecting fear. The opposite is found in apprehension dominant contexts. This supports the central idea of this paper that the impact of fear on cooperation is primarily mediated by apprehension, whereas the impact of greed is primarily mediated by temptation.

¹ We draw an analogy between gains and losses and greed and fear, as greed represents opportunistic gains and fear potential losses.

4. Conclusion

This paper presented an experiment to test the idea that the effectiveness of payoff manipulations in influencing cooperation hinges on the relational context in which they are embedded. We first hypothesized and tested that the interpersonal aspect (trust) and the intertemporal aspect (time horizon) of a relationship constitute four distinct relational contexts of apprehension and temptation. We then hypothesized and tested that the impact of payoff manipulations related to the concepts of benefit, greed and fear on willingness to cooperate depends systematically on the nature of the relational context. Our results broadly support the above hypotheses and have strong implication for both theory and practice. With regard to theory, we provide empirical support for the interdependence of game and context parameters. This suggests that a holistic perspective incorporating both payoffs and context is needed to make sense of cooperative behavior in social dilemmas. With regard to practice, our results suggest that the effectiveness of strategies altering payoff incentives must be gauged against the context of a relationship.

Our results provide strong evidence against a context-free utility model, which would predict the same effectiveness of payoff manipulations across relational contexts. While most studies have explored the interpersonal aspect and the intertemporal aspect of the relational context in isolation, we consider their simultaneous impact. Furthermore, while most studies examine how interpersonal and intertemporal dynamics shape cooperation, this paper examines how payoff manipulations most effectively promote cooperation *given* interpersonal and intertemporal dynamics.

An important area for future extension is to take into account the possibility of different utility functions associated with greed, fear and benefit. While we in this paper assumed that the utility functions associated with these three parameters are identical, our results indicate that different utility patterns might exist. There are some indications that the disutilities associated with losses from being cheated weigh more heavily than the utilities associated with gains from opportunistic action. Within the context of prisoner's dilemma studies, the examination of differences in the utility functions associated with benefit, greed and fear is a fruitful future research area from a behavioral point of view.

References

- [1] Andreoni, James and Miller, John H. (1993). 'Rational cooperation in the finitely repeated prisoner's dilemma: experimental evidence', *The Economic Journal*, vol. 103, pp. 570-585.
- [2] Arrow, Kenneth J. (1974). *The Limits of Organization*, W. W Norton and Company: New York, London.
- [4] Axelrod, Robert (1984). *The Evolution of Cooperation*, New York: Basic Books.
- [5] Bornstein, Gary and Ben-Yossef, Meyrav (1994). 'Cooperation in intergroup and single-group social dilemmas', *Journal of Experimental Social Psychology* 30, 52-67.
- [6] Burt, Ronald and Knez, Marc (1996). 'Third-party Gossip And Trust', in Kramer Roderick M. and Tom R. Tyler (Eds.), *Trust In Organizations*, Thousand Oaks, CA: Sage.
- [7] Cao, Zhi and F. Lumineau. (2015). Revisiting the Interplay between Contractual and Relational Governance: A Qualitative and Meta-Analytic Investigation. *Journal of Operations Management*. 15-42.
- [8] Clark, Kenneth and Sefton, Martin (2001). 'The Sequential prisoner's dilemma: evidence on reciprocation', *The Economic Journal*, vol.111, pp. 51-68.
- [9] Coombs, Clyde H. (1973). 'A Reparameterization of the Prisoner's Dilemma Game' *Behavioral Science*, vol. 18, pp. 424-428.

- [10] Dasgupta, Partha (1988). 'Trust as a Commodity', in (Diego G. Gambetta ed.), *Trust: Making And Breaking Cooperative Relations*, New York: Basil Blackwell, pp. 49-72.
- [11] Deutsch, Morton, (1958). 'Trust and suspicion', *Journal of Conflict Resolution*, vol. 2, pp. 265-279
- [12] Dawes, Robin M., Orbell, John. M., Simmons, Randy T. and Van De Kragt, Alphons J. C. (1986). 'Organizing Groups for Collective Action', *American Political Science Review*, vol. 80, pp. 1171-1185.
- [13] Fukuyama, Francis (1995). *Trust: The Social Virtues and the Creation of Prosperity*, New York: The Free Press.
- [14] Gambetta, Diego G. (1988). 'Can we trust trust?', in (Diego G. Gambetta ed.), *Trust: Making and breaking cooperative relations*, New York: Basil Blackwell, pp. 213-237.
- [15] Gil, R. and Marion J. (2013). Self-enforcing agreements and relational contracting: Evidence from California highway Procurement. *Journal of Law, Economics, and Organization*, 29 (2), 239–277.
- [16] Glaeser, Edward L., Laibson, David I., Scheinkman, Jose A. and Soutter, Christine L. (2000). 'Measuring Trust', *The Quarterly Journal of Economics*, vol. , pp. 811-846.
- [17] Hardin, Russell. (1991). Trusting Persons, Trusting Institutions, in (R. Zeckhauser ed.), *The Strategy of Choice*, Cambridge, Mass.: MIT Press, pp.183-209.
- [18] Heide, Jan B. and Miner, Anne S. (1992). 'The Shadow of The Future: Effects Of Anticipated Interaction And Frequency Of Contact On Buyer-Seller Cooperation' *Academy of Management Journal*, vol. 35, pp. 265-291
- [19] Hwang, Peter and Burgers, Willem. P (1997). 'Properties of Trust: An Analytical View', *Organizational Behavior and Human Decision Processes*, vol. 69, pp. 67-73.
- [20] Hwang, Peter and Burgers, Willem P. (1999). 'Apprehension and Temptation: The Forces Against Cooperation', *Journal of Conflict Resolution*, vol. 43, pp. 117-130.
- [21] Hwang, Peter (2005). 'Managing Relation Bond: An Integrative Approach', *Journal of Business*.
- [22] Kahneman, Daniel and Tversky, Amos (1979). 'Prospect Theory: An Analysis of Decision under Risk', *Econometrica*, vol. 47, pp. 263-91.
- [23] Kitts J. A, Leal, D. F, Felps, W, Jones, T. M, Berman, SL. 2016. Greed and Fear in Network Reciprocity: Implications for Cooperation among Organizations. *PLoS ONE* 11(2): e0147264
- [24] Komorita, Samuel S., Sweeney, J. and Kravitz, David A. (1980). 'Cooperative choice in the N-person dilemma situation', *Journal of Personality and Social Psychology*, vol. 38, pp. 504-516.
- [25] Kreps, David M. (1990). *A Course in Microeconomic Theory*, Princeton University Press, Princeton, New Jersey.
- [26] Murnighan, Keith J., Roth, Alvin E. (1983). 'Expecting Continued Play in Prisoner's Dilemma Games', *Journal of Conflict Resolution*, vol. 27, pp. 279-300.
- [27] Orbell, John M. and Dawes, Robyn M. (1993). 'Social welfare, cooperators' advantage, and the option of not playing a game', *American Sociological Review*, vol. 58, pp. 787-800.
- [28] Ostrom, Elinor (1998). 'A behavioral approach to the rational choice theory of collective action', *American Political Science Review*, vol. 92, pp. 1-22.
- [29] Palfrey, Thomas R. and Rosenthal, Howard (1994). 'Repeated play, cooperation, and coordination: an experimental study', *Review of Economic Studies*, vol. 61, pp. 545-565.
- [30] Poppe, Matthijs and Utens, Lisbeth (1986). 'Effects of greed and fear of being gypped in a social dilemma situation with changing pool size', *Journal of Economic Psychology*, vol. 7, pp. 61-73.

- [31] Putnam, Robert (1993). *Making Democracy Work: Civic Traditions in Modern Italy*. Princeton, NJ: Princeton University Press.
- [32] Rabin, Matthew (1998). 'Psychology and Economics', *Journal of Economic Literature*, vol. 36, pp. 11-46.
- [33] Rapoport, Anatol, and Albert M. Chammah (1965). *Prisoner's Dilemma: A Study in Conflict and Cooperation*, Ann Arbor: University of Michigan Press.
- [34] Rapoport, Amnon and Eshed-Levy, Dalit (1989). 'Provision of Step-Level Public Goods: Effects of Greed and Fear of Being Gyped', *Organizational Behavior and Human Decision Processes*, vol. 44, pp. 325-344.
- [35] Rousseau, Denise M., Sitkin, Sim B., Burt, Ronald S., & Camerer, Colin. 1998. Not So Different After All: A Cross-Discipline View of Trust. *Academy of Management Review*, vol. 22, pp. 393-404.
- [36] Saijo, Tatsuyoshi and Nakamura, Hideki. (1995). 'The 'spite' dilemma in voluntary contributions mechanism experiments', *Journal of Conflict Resolution*, vol. 39, pp. 535-560.
- [37] Selten, Reinhard. and Stoecker, Rolf. (1986). 'End behavior in sequences of finite prisoner's dilemma supergames', *Journal of Economic Behavior and Organization*, vol. 7, pp. 47-70.
- [38] Schmidt, David, Shupp, Robert, Walker, James, Ahn, Toh-Kyeong and Ostrom, Elinor (2001). 'Dilemma Games: Game Parameters and Matching Protocols', *Journal of Economic Behavior & Organization*, vol. 46, pp. 357-377.
- [39] Telser, Lester G. (1980). 'A Theory of Self-Enforcing Agreements', *Journal of Business* vol. 53, pp. 27-44.
- [40] Vanneste, B. S, Frank D. 2014. Forgiveness in Vertical Relationships: Incentive and
- [41] Termination Effects. *Organ. Sci.* 25: 1807-1822.
- [42] Yamagishi, Toshio and Sato, Kaori (1986). 'Motivational bases of the public goods problem', *Journal of Personality and Social Psychology*, vol. 50, pp. 67-73.

Appendix A. Instructions

		YOU	
		Option A	Option B
OTHER PERSON	Option A	450	600
	Option B	150	300

You are going to play the above game for several rounds. The game is either likely to have many rounds or few rounds. The actual number of rounds depends on a chance event.

When we say the game is **likely** to have many rounds, we mean that after each round there is a **90% chance** that the game continues.

When we say the game is **not likely** to have many rounds, we mean that after each round there is only a **10% chance** that the game continues.

So you know the game will be over sooner or later, you just don't know in advance when it will be over.

In addition, you will know how likely the other person is to choose Option A.

When we say the other person is **likely** to choose Option A, we mean that there is a **90% chance** that s/he will choose option A.

When we say the other person is **not likely** to choose Option A, we mean that there is only a **10% chance** that s/he will choose Option A.

Since your decision will influence the other person's choice in future rounds, you don't know exactly how likely the other person will choose Option A in future rounds.

It may seem obvious to you that Option B is the better choice, but it can be reasonably expected that this action could bring about the same choice from the other person in the future. As a result, you may get only 300 rather than 400 many times. In a sense, a choice of Option B represents a non-cooperative move. While less risky, it could mean giving up long-term benefits for short-term gains. Conversely, a choice of Option A represents a cooperative move. While a bit risky (because the other person might choose Option B), it can be a good choice if you think the other person will reciprocate and you can get 400 many times.

It is your task to maximize your own payoff without concern for the other person. Please note that your choices have neither moral nor ethical implications. Return to the computer for training rounds.

Appendix B. Computer Interface used to Assess Impact of Changes in Fear and Greed on Willingness to Cooperate*

Scenario 1, Round 1

the other person is **LIKELY** to choose **OPTION A** in this round

the game is **LIKELY** to have **MANY ROUNDS**

		YOU		
		Option A	Option B	
OTHER PERSON	Option A	450	600	← green cell
	Option B	150	300	
		↑ red cell		

What is your decision for Round 1?

- 0 Option A
- 0 Option B

To what extent do you agree with the following statements?*

- I chose Option B in an attempt to get 600 in this round.
- I chose Option B because if I choose Option A I am afraid of getting only 150.
- With 500 in the green cell I probably would have chosen the other option.
- With 250 in the red cell I probably would have chosen the other option.

	Strongly Agree							Strongly Disagree						
	1	2	3	4	5	6	7	1	2	3	4	5	6	7

* Shown here is the interface for condition 1 and scenario 1. The interface for condition 2 and other scenarios are not shown.

** Statements shown here as those following a choice of Option B. Statements following a choice of Option A are not shown.

Memory, Forgetfulness and Narration: Reminiscence to Recall Victims of the Armed Conflict in Colombia

Alejandro Riascos Guerrero

Corporacion Universitaria Minuto de Dios, Centro Regional Pasto¹

Abstract

As a result of years of internal armed conflict in Colombia, the people who suffered and still suffer from conditions of war, recognized as victims or survivors, even support the effects of traumatic events in violent acts. Countless efforts from research and psychological intervention, face the demands of the subjects that make up the populations of victims who are spread throughout the country. This paper presents preliminary, some reflections resulting from the literature review of research papers working to build historical memory as an interventional device and research that allows to establish parameters really necessary to build peace in the territory Colombian, as well as approximate the conditions and needs that victims have the psychic level subjects and the communities where they are organized. A critical reflection is proposed, starting from the psychoanalysis theory, Which Allows to formulate a position for research in Differentiated esta field. ²

Keywords: Memory, psychic trauma, victim, armed conflict, narrative, history, psychoanalysis.

Introduction

The socio-political situation and scenario it goes across Colombia, given the history of internal armed conflict, involves a number of needs for the communities that have borne the brunt of the war. While on reparation for victims, the government shows a series supported on figures that are held in repair material and financial, in contrast results, another series of studies showing another disturbing picture yet sensitive as a result of formulated violence that communities suffer at the hands of the various actors in the conflict. There are documented and varied evidence showing alarming figures against diagnoses such as depression, anxiety and post-traumatic stress in populations victims of armed conflict in Colombia.

This research approaches the manifestations of social and individual malaise afflicting the victims of armed conflict particularly in Pasto, perteneciente territory the Department of Nariño region in the south western Colombia, which historically has been hit by the scourge of war. It is recognized that violence begets serious consequences on mental health, bringing together a number of impacts on the individual, family and social matters which are beyond the response capabilities of the victims communities. In this sense, the research work of a thoughtful review of existing reports and intervention in the context of psychosocial care for victims of armed conflict research, realize the ways in which we have been working with this population.

This paper presents an advance level document review of the research project "Building memory, narrative and subjective redress victims of armed conflict in Pasto" which is part of the assumption of acts of war as a social catastrophe, and whose justificatory livelihood in the deep effects in the country, as a result of armed conflict and the role of state institutions over civilian life, victims and territory.

Methodology

¹Mg. (C) Psychoanalysis subjectivity and culture. National university of Colombia. Psychologist, University of Nariño. Teaching Psychology Research Program Regional Center UNIMINUTO Pasto, a member of the research group GISE. Member Forum Pasto Lacanian Psychoanalysis field.

Contact: ariascosgue@uniminuto.edu.co. Cel: (+57) 3425 311730

²Partial results Project: Building memory, narrative and subjective redress victims of armed conflict in Pasto (Colombia). Project supported by the Corporacion Universitaria Minuto de Dios.

For the research project, a joint methodological qualitative (Bonilla, E., Rodriguez, p. 2005) research and psychoanalysis (Gallo, 2002) proposes an ethical perspective of treatment for the victims, about their experiences, the social fabric, memory and history, under current regulations especially the 1448 Act 2011 or Act Victims and Land Restitution; provision whose content poses and defines measures of care, assistance and comprehensive victims of gross violations of human rights and breaches of international humanitarian law in the context of internal armed conflict repair and effective enjoyment of the right of victims to truth, justice, reparation and guarantees of non-repetition.

Document analysis method

As for document review, it was decided to initially identify research and interventions conducted within the framework of psychosocial care to victims, the above in order to establish procedural, instrumental and methodological level forms of approximation of researchers and psychology professionals for the purpose of the proposed study. The analysis units were all documents on the topic of psychosocial approach to victims of armed conflict, and psychological interventions with the same population. Consulted documentary bases, Scopus, Lantindex, Pubindex, Scielo, Redalyc, provide information and articles for the revision work. "Psychosocial care", "psychosocial intervention", "trauma of war", "armed conflict", "mental health", "victims", "Colombian armed conflict" and "mental health: as search criteria, the following descriptors were included problems ". These descriptors were combined in different ways when scanning with the aim of expanding the search criteria.

Similarly, it took as a reference psychoanalytic theory for reflection against the revised documents. In this regard, it seeks to establish a differential panorama against forms of approach proposed from psychosocial perspectives in the context of attention to victims of armed conflict in Colombia, to provide a methodological perspective to the ongoing investigation, enabling rescue methodological level, some principles that come from psychoanalysis.

Discussion

Memory and Forgetting: interventive regulatory conditions and practices.

We crossed a time in the national context in which prevails, despite political tensions, a program aimed at overcoming the internal armed conflict discourse. In this discursive order the signifier memory, has had a leading role in the framework of the demobilization of paramilitary groups, the peace process with the FARC, and future, throughout the transitional justice framework. The Colombian government and the institutions that represent it, as well as non-profit organizations, victims' associations, researchers, both human sciences and other areas of knowledge, have taken responsibility for the approach, reconstruction and treatment of memory and its inescapable relationship with history, as part of the consolidation of a necessary process, under the knowledge of the truth, and as a way to ensure social justice and non-repetition. The State relating to realize efforts to lay the legal basis for the construction of historical memory in the country, can be traced from Law 975 of 2005, which hosts some guidelines on that component. In this sense, was the work of the Group of Historical Memory in collaboration with the National Center for Reparation and Reconciliation, history of important processes and initiatives within the framework of the demobilization of paramilitary groups Act 1448 of 2011 or the law of victims, specifically stipulates the conditions, legal, political and administrative provisions necessary to establish a framework towards the construction of historical memory of the country, by an entity specified official order.

Reception, retrieval, preservation, collection and analysis of all documentary material, oral testimony and any other means concerning violations committed during the internal armed conflict, through the conduct of investigations, activities museum, educational and other related contributing to establish and clarify the causes of such phenomena, know the truth and help prevent future repetition of the facts. "(Ministry of Justice, 2011, p.2).

Under this legal framework, the work of the National Center for Historical Memory oriented purposes aimed at meeting the state goals related to overcoming the conflict, issued a series of reports on the historical conditions of the war in Colombia, and from them brand also, a sheet of methodological route for the collection and treatment of documented information. These efforts aim to contribute to the knowledge of historical truth, which takes as a reference for its construction, all stakeholders (victims, social organizations, victims, etc.) and the contributions they can do through non-judicial mechanisms, for this purpose. This work is not only necessary to symbolically compensate the victims, but also, It allows to set parameters related to legal truth and ensure investigation and prosecution of the perpetrators or perpetrators. (National Center of Historical Memory, 2014).

Under this scenario in the department of Nariño, as a historically affected by armed conflict region have developed multiple community work memory, which are documented in reports and portals of the National Center of Historical Memory, which reflect the results of this type experiences. One of the flagship within the memory work in Nariño references, is "La Casa de la Memoria" in Tumaco (N). Still, there is little information on the forms, practices and procedures that were used in the work memory developed in the region, which prevents there an approach to the methodologies used and their effects on communities, beyond what reported in official documents.

In this regard it should be mentioned that in the field of historical memory work also converge various other government initiatives, which bring together a number of interpretations and notions about the politics of memory and how they should be worked; these are grounded in research and built on theoretical trends interventions that address greater extent, by memory in their collective version, as a result of intersubjective and social relations that compromise complex joints historical, political and cultural level. (Aguilar-Forero, 2018).

If take into account that part of the raw material needed for this purpose, emerges from the narratives of experiences, facts and victims experienced by subjects events; the staging of such testimony, involves the appearance of another phenomenon, the order of the subjective, it is necessary to analyze carefully. Narratives are fragments of subjective history that seek to organize, classify, represent and document effectively, to establish the truth of what happened, from the singular reminder to the construction of collective memory. In this process, it is possible to intuit that the evocation of the particular history, does not emerge in isolation, but is accompanied by the associated events suffered in the context of a traumatic event of war affections. This emotional effect committed in the testimonial remembrance of a traumatic event, is recognized, has a cutting effect, in some scenarios for the work of the construction of historical memory as a collective, given the high emotional content and the subjective effort that it even leads to silence, to the impossibility of representation in language, and therefore to a break in the narrative that the subject is expected. (Torralba, 2015).

In this vein, several questions open before this particular phenomenon: all subjects victims are willing to contribute their story building scenarios promoted by governmental and non-governmental organizations? Are there intentions of the actors involved in the field of historical memory, which go beyond the objective of its construction and produce what is known as action damage in populations? What role in the process of building collective historical memory, the subject's position against its own story and testimonial demand?

The above questions are also relate to specific and defined those involved in this field actions. Government guidance has defined a number of general guide mechanisms, against the construction work of historical memory, which enable participation and financial support for different social organizations, private entities or initiatives that drive actions victims memory. While the above is correct, given the need to listen to the many voices and sectors involved in historical events of the war, also it opens the possibility that this scenario is seen as a niche market, if the construction of historical memory is assumed to be a form of social intervention (Moreno Molina Camacho & Valencia, 2018).

In this perspective, the proliferation of both investigations or interventions that treat or are intended to study the historical memory in Nariño, promotes the meeting of different ways to take and interpret policies that organize such practices, generating including ruptures, tensions and conflicts; In this regard, there will be initiatives aimed at functional work on memory according to the dominant economic partner discourse, and other initiatives that emerge in response to the sense proposed and given historical memory, in favor of a built sense, consensual and that makes resistance to versions of the story provided by the institutions, from the social organization (Soley & Vargas, 2014). These initiatives, depending on the speech that guide the ways of intervening, They have concomitant effects their actions, in the subjects involved in the construction of historical memory. Therefore, if one considers that the approach, intervention and construction of historical memory, engages both the individual and the collective as elements that affect each other, and include institutional logic to this scenario, governmental and non- governmental, social, economic and even political interests, it is possible to say that there are different discourses on the construction of historical memory that guide initiatives, methodological and interventive practices and results collective and individual level in the context of working with victims of armed conflict.

Time and return of the traumatic: between reminiscence and reminiscence

The scene is the dimension of history.

History always has a character of staging.

J.Lacan (1962-1963)

Perhaps, initially the quote serves overture, at first sight has no direct relationship with the document title, however, if the worked subject approaches the consequences of war, then it also includes a reflection on the traumatic; the purpose of the appointment is justified while always tells a story and particular scene in psychoanalysis, which corresponds to what is unique to each subject, and allows locate traumatic as a specific and distinct event, despite to originate in collective conditions. Thus I introduce the framework to address traumatic corresponds to the coordinates position subjects in conditions of war, rather the psychological effects of her subjects,

In this sense, reflection is in the circumstances that relate specifically to Colombia's internal armed conflict. The effects of these conditions on subjects who suffered the rigor of the conflict, allow a critical reading on the temporary insistence of reality tied to how traumatic it insists, and that perpetuates their psychic effects, sometimes hand therapeutic practices and clinics, advocating the revival of war experiences through discourse.

Then, it is first necessary to deal with the trauma as a concept: According to the DSM-5, trauma is defined as any situation in which a person is exposed to scenes of actual or imminent death, serious physical injury or sexual assault, either as a direct victim, close to the victim or witness. The ICD-11, soon to be published, conceptualizes it as any exposure to a stressful situation of an exceptionally threatening or horrifying nature that is likely to produce a deep malaise in most people. This conceptualization allows us to place a particular framework from which the traumatic event is approached from psychology,

In this regard, and in keeping the work of psychosocial court that are made on this phenomenon, the traumatic event is approachable specifically in two ways: one corresponding to its registration in the language, ie, it is through the discourse of the victims in which case, realizes the impact of a violent event in the life of one who suffered. Another is by its effects, ie individual symptoms or groups, which arise as a result of trauma; This latter aspect approaches the Lacanian definition regarding the way how we approach the traumatic event. Still, this idea is not new if we return to the Freudian premise of the trauma in hysteria, this approach places the trauma as an initially inassimilable event for the ego of a subject, far from being able to react properly,

Precisely because of not having been prepared, Aristizabal et al (2012) describe how as traumatic element is housed dormant and can at a second time, which is not predictable, be reactivated causing symptom production. This mainly appears in the writings concerning the treatment of hysteria Freud, who by 1983 raises the existence of a temporal distance between the emergence of a traumatic event and producing symptoms. Temporal distance that the subject suffers from the memory trace left by that event, but which is housed in the unconscious due to defensive psychic effort seeks to avoid discomfort to the subject. Might wonder at this point why revisit this postulate, which it seems outdated given the current considerations facing the trauma; However, its use is justified because today in Colombia, the interventional and research approach to the trauma of war survivors subjects clearly reflects that the testimonial account taken as an instrument for the construction of historical memory, for example, revives the psychic effects of the subject who staged his story of a traumatic event. Reminiscence of these events, overflows again the possibilities of subjective response, allowing sense to remember and recount as interventional exercise in the framework of the intervention or investigation with victims of armed conflict, is not enough. If consider that there is a temporary lapse, between the irruption of the traumatic event and the causation of the symptoms, it could be said that these two times, allow to establish that there is an imbalance in the subject that is relative to its history, while the violent event marks a before and after, which requires another type of attention beyond oral repetition in certain scenarios.

Viewed this way, from the writings that deal with the subject of war in Freud (1915- 1932), "of war and death, current issues" or "Why the war" human conflict is approached from reading its effects, the cruelty of their methods and techno-scientific relationship for the destruction of the other, either as a defense or attack. Without any doubt, this tradition even in today's wars is maintained. The consequences of war, -the effects of traumatic events to be precise in the combatants or civilians who are in the midst of confrontation, keep the calls lasting echoes of catastrophes of war. For Colombian civilians, the affections of terror, which accompanies the feeling of risk of loss of life as a result of torture, attack, displacement, displacement, or forced disappearance of relatives, constitute the framework of the collective history of war, but also keep in themselves, the particularity that is built from the traumatic event.

Traumatic events (regardless of origin) occurred in the history of a subject, as we know, left in the psyche a psychic imprint, which remains dormant, and in particular conditions, produces a range of effects depending on the affect associated with the memory thereof, following the Freudian postulate. Same that can be traced in reading the experience of pain in the "Project Scientific Psychology" (Freud, 1950) since there is a similar question of trauma consideration, ¿is it not the experience of pain, a historical fact that leaves a mark and save some temporary location, if you will, in the history of a subject? One might think about it, it is unlikely that an individual can once again in his memory, the first experience of pain, however this event, conceived in a mythical time, that is outside the scope of an accurate temporary location, but whose effects we know about in the post, in a historical period. Myth, in this case allows knotting more precisely the question of trauma following the postulate of Lacan in the X seminar on Anguish. I raise this, formulated in terms of history, it presents the articulation of the significant elements of signifying chains that allow the establishment of a script for a particular scene, from which it lives and experience the world. Therefore what is called reality, resulting from the production of meanings that give the frame to the scene, appoints its characters and promotes the network of relationships which together form a story (Lacan, 1962). In this sense, mythical or as originating in the scene, it is in the order of the impossible, of the unrepresentable, however it is the foundational destiny of the subject: this time for Soler (2017) "Historically it has declined in terms of misery, impotence and inability, and has been attributed to the gods or sin. Lacan recognized there the effect of the structure of language on living". In this way, the subject suffers a trauma, an event of reality that "would rather be thought of as impossible to avoid for the speaking beings that are immersed in the imaginary and the symbolic" (Soler, 2017 p.2) constitutive event is the very existence of language, and at the same time cutting and irremediably separates the subject from its object of desire, that I on the irrepresentable of the emerging to take significant body. The presence of absence of the object (a) precisely directs the script of the scene around a vacuum, which is blurred after the presence of said imaginary object i (a).

In this sense, his place in history subjective, a violent event in a context of war, subject to a noncombatant? It takes the place of a milestone in the scene, a monument of remembrance; an encounter with the real, which occurs as a result of a discontinuity in the script built imaginary via a violent interruption in the scene, which marks the subject of irremediably manner. If the initial continuity of the scene is marked by the object to be missing, the fortuitous emergence of a violent event promotes the fall of imaginary veil, resulting in agonizing answer: "I could speak of" encounter with reality "only if we consider that this meeting is always failed because, in so far as it is possible to resume the story, it becomes missing." (Sanfelipo, 2010 p.440)

On the other hand, if trauma is defined in terms of breakthrough, surprise or exterior appearance of an item as an event, it will be understood beyond the violence that emerges, ie, the fortuitous factor has an effect, as it involves the subjectivity of who experiences¹. In this sense, we can say that the traumatic event is the scope of representation is the temporal logic of the effect retrospectively, an issue that differentiates the advent of true original, which was discussed above and explained in Lacan, trauma. In this sense what is representable in the course of history subjectively, both past-present temporal relationship is the traumatic event, which in the case of victims of armed conflict in Colombia, located in the witness a form of symbolization, as long as it is taken as part of the signifying chain that is part of the unique history of each victim and is not taken from the imaginary uptake and idenficación with the horror of the story, which suspends subjects in reminiscence,

While this reading is not new today, it is always necessary, by virtue of the existence of clinical practice oriented treatment guided by identification with the horror of facts narrated by the victims or seeking appeasement of symptoms from the incessant play on different stages of their stories. The narrative, as testimony exists as a form of opposition to oblivion, however in this case, is not sufficient as a form of symbolic elaboration of a violent event that has marked the history of a subject in the course of the war; It means rather the return of pain associated with memory, repetition in reminiscence, in favor of conscious acceptance of the facts, and the presumption of forgetfulness without subjective consequences.

In this sense, the reflection from psychoanalysis, also allows to place an ethical difference in relation to other clinical practices, it reverts to a position that is the effect of a construction that occurs in the experience of analysis, and It gives rise to a particular listener against the discourse of the subject who suffers, reaching a deep reading of the way as they

¹It is possible that in the course of certain violent events in the conflict, subjects have witnessed, or have been affected by acts of war, however a response at the level of discomfort or symptoms is not set. In this regard, the importance of content and subjective interpretation of the fact that the link with the traumatic event, viable symptomatic expression explained.

emerge through language subjective discomforts, going beyond the act of speech as a mere reproduction of narrative history.

Construction of historical memory, considerations in the context of psychosocial care for victims of armed conflict.

Clearly the initiatives, actions and strategies involved in the process of construction of historical memory in Pasto will have effects on the subjects involved, communities, and the social context of the region, which can be evaluated positively, since these scenarios they tend by knowledge of historical, necessary for the panorama of peace that has come to Colombia truth. However and since these processes address the memory of human groups in particular need to also question the place in this scenario the unique memory and mental and emotional for victims, so traces a concern also underline on ways of developing traumatic that will be part of the collective historical memory, but which is, in turn, the intimate and symbolic picture of the subject that gives his testimony regarding institutional methodological practices that mediate so that these elements emerge. It sharpens complexity of the subject when taking into account the multiplicity of nuances that add, understandings, interpretations, meanings and speeches around the politics of memory. At first, the policies refer to the number of state rules governing, order and establish social conditions, nevertheless it exists in the field of historical memory, another way of understanding these policies, such as: It sharpens complexity of the subject when taking into account the multiplicity of nuances that add, understandings, interpretations, meanings and speeches around the politics of memory. At first, the policies refer to the number of state rules governing, order and establish social conditions, nevertheless it exists in the field of historical memory, another way of understanding these policies, such as: It sharpens complexity of the subject when taking into account the multiplicity of nuances that add, understandings, interpretations, meanings and speeches around the politics of memory. At first, the policies refer to the number of state rules governing, order and establish social conditions, nevertheless it exists in the field of historical memory, another way of understanding these policies, such as:

Acts, exercise, social practices that can be institutional or non-institutional, rigid or flexible, and even hegemonic, but also against hegemonic. The latter sometimes are intentional and are guided by the desire to understand or justice, as an ethical claim and resistance "comfortable stories". At other times they are more spontaneous result of memories remain muted yet and break in unpredictable ways.(Aguilar-Forero, 2018, p.113)

This approach allows us to understand that there are differences in the way how the politics of memory are assumed in the case of Pasto, which also implies the existence of multiple initiatives, methodological approach, and interventional they have based on their actions, with such interpretations oriented discourse. You can sustain the validity of the above, on the need for plural and flexible historical building, still memory approaches this also promotes "struggles" between the visions that have built different interventional actors. Therefore, there are also risks, given the multiplicity of interpretations of the politics of memory, not only shocks that may exist between versions of the story that emerge from them, but in the way in which the communities that contribute their stories and memories for that purpose.

According to this premise, and taking up the work of historical memory as a way to intervene in the social fabric, it is recalled that the stage of psychosocial intervention, as referred to actions working for interdisciplinary way mitigate the needs of the population victims of the armed conflict, not going through its best moment (Villa Gomez, Machado Barrera, Arroyave Pizarro, & Montoya Betancur, 2017). One of the main problems identified in this field corresponds to the contextualization of proposals and projects implemented and advance with communities of victims of armed conflict, and which have only an axis of knowledge from the document review, livelihood theoretical and under the premise of the application of universalizing methodologies, a fact that prevents generate real possibilities of transforming the social fabric, and promoting turn other negative consequences for victims, emerging from the practices that do not have knowledge the real needs of the target communities.(Insuasty Villa Gomez & Rodriguez, 2017). In this regard, technical knowledge, and posture of intervention agents, away from knowing communities take a leading role to the detriment of the role the voices of communities, which are silenced and outside the precepts methodologically guide psychosocial interventions(Villa Gomez, 2013).

These peculiarities are not far from what happens in the context of the construction of historical memory in Nariño, since they are at one end, practices become, in the state administrative and regulatory landscape, running exercises instrumental methodologies, guided by the accumulated from the perspective of expert knowledge, and the need to comply with specific objectives and obligations of the State to the victims know. The existence of boxes methodological tools for memory initiatives and actions established by the National Center for Historical Memory, could account for a partial implementation of the process. In fact, being concentrated knowledge of methodological procedure on the construction of historical memory

in a government entity, the debate over who controls or directs the historical memory of the country, also acquired in the political debate, a particular hue, depending on the logic discursivas government in charge (Aguilar-Forero, 2018).

While attention to the relevant and positive nature of the construction processes of historical memory in the region is put at the beginning of this section, we have at this point, a number of elements which denote other negative conditions concerning the effects can generate and evoke initiatives, guided by other interests or speeches, different from the construction of historical memory and symbolic reparation is expected to participating communities. For the monuments, for example, that for a long time were the resource to commemorate certain events in the context of armed conflict, they may be challenged, by virtue of its origin. When justice requires the State this form of symbolic reparation, so that the need to repair ordered by other authorities, generates processes or initiatives that do not have the perspective of the victims, they become more "decorative" element in the process of visibility that entities perform, to account for the performance of its obligations (Arenas, 2017). The same phenomenon that occurs when the concept of economic "utility" premium before the concept of benefit for subjects victims in processes of a similar nature.

In this regard, different elements have been identified analysis conditions which have been developed to build historical memory in Pasto; On one side are the difficulties posed by the emergence of the subjective effects of the acts of war victims, and what it means for collective work of historical reconstruction of the events in the conflict; differences and tensions stemming from the interpretations of the politics of memory, by those who assume the responsibility of working in this field; Finally, the discursive orientation that qualify initiatives, actions and methodologies applied to the construction of memory history, and its resonances in the communities involved in these processes. The knowledge obtained from this analysis can be considered as a significant contribution to the framework of historical memory construction actions that will be carried out in the future in the region.

Conclusions

As it can be evidenced not only mentioned briefly some considerations of psychoanalysis from memory, but also has brought into play the relationship between memory and trauma, not without purpose; both concepts can be traced to the dawn of the most important discoveries of psychoanalysis, and saved for this proposal, underlines importance. The phrase "the hysteric suffers from most of reminiscences" (Freud, 1893, p.33) located in memory, the hidden meaning of the enigmatic symptom in hysteria, and whose content, unknown to consciousness, remained unconscious given psychic defensive efforts. This teaches something about the plane in which it is considered to mind in psychoanalytic terms; The Discovery of the Unconscious also brings a break with conventional ways of understanding certain mental processes, and how they operate in subjects. Timelessness attributed to the unconscious and its capacity to accommodate the widest range of experiences of a subject from memory traces that remain after the experience, allows placing traumatic as a content necessary symbolization, for the history of a subject. However, this need not emerge from psychoanalysis as a therapeutic method, but the living subject the effects of a particular event that has been taken as traumatic and source of discomfort.

The need to understand the complex variations adopts memory processes individually historical construction and collectively under the foregoing, analysis elements and valuable theoretical reflection to answer the underlying phenomena and emerging relationships between actors victims and subjects involved. The relationship established with the trauma comes from the approaches that psychoanalysis did on the psychological consequences of the great wars. While this field, Freud provides some specific ideas about some clinical nuances, corresponding to the lingering effects of the experiences that occurred in the war, also established that the product of the catastrophes of war phenomena, They are fertile ground for inquiry and reflection from the psychoanalytical know. Understand the human dimension of armed conflicts and its devastating effects on the collective and individual levels, also assumes that the particularities of memory relationship - trauma, is not only found in the unique experience of a subject affected by armed conflict, its consequences can also be evidenced in the social sphere; hence the need to know the truth of the events, recognition of the victims and work on historical memory as a way to heal symbolically, psychic traces of those who suffered the rigors of war and emerge as witnesses social catastrophe. The dimension of trauma committed in memory, in the context of the events suffered by victims in war, need social discourses that point to a historical truth, constructed from subjective narratives that are heard and constitute the basis of actions in the construction of collective memory (Bohleber, 2007).

But this implies understanding the dimension of the phenomena associated with memory experiences beyond clinical bet that psychoanalysis offered in the office. In this sense, Moreno (2015) suggests that it is possible to contribute to the

prospects of intervention, and why not, research, theoretical basis of psychoanalysis, ethical and clinical principles that serve as sources of guidance and inspiration for practice with communities victims of armed conflict. For example, recognition of the unconscious as a different scenario involved in the field of social relations (Moreno, 2015), is part of those principles in the service of the investigation of certain phenomena, it allows for questions and formulate responses, compared with the complex relationships between the collective memories, individual memories and the effects brought into play in scenarios building historical truth, given the conditions and dialectical affectations between them.

So, the conceptual considerations briefly outlined in this section are just an outline of the theoretical component of psychoanalysis, which is susceptible removed for reflective analysis of the phenomenon raised. But equally, it is a way of constantly questioning on those aspects that compromise human discomfort, establishing possible answers from psychoanalytic knowledge in the Colombian context. Lacan (1953) proposes: "Better to resign because who can not join their horizon the subjectivity of his time" (p.308) as a poignant invitation or an ethical imperative to inquire from the discipline founded by Freud, that particular thing that marks the subjectivities in the culture, invitation to which this proposal is circumscribed, in front of the relations and phenomena that emerge in the devices of construction of historical memory in Colombia.

Bibliographic references.

- [1] Bonilla, E. Rodriguez, P. (2005) Beyond the dilemma of methods: research in social sciences. Grupo Editorial Norma, 2005. Pp.424. ISBN 958-04-8542-9
- [2] Gallo, H. (2002) of psychoanalytic research. Recovered in <http://www.psicomundo.com/foros/investigacion/gallo.htm>
- [3] Ministry of Justice (2011) 4803 Agreement on 20 December 2011. Retrieved on: http://www.centrodehistoriahistorica.gov.co/descargas/decretos/DECRETO_DE-ESTRUCTURA_DEL_CENTRO.pdf
- [4] National Center of Historical Memory (2012) Justice and Peace: judicial truth and historical truth ?, Retrieved on: http://centromemoria.gov.co/wp-content/uploads/2015/07/verdad_judicial_verdad_historica.pdf
- [5] Aguilar-Forero, NJC (2018). Memory politics in Colombia: initiatives, tensions and experiences (2005-2016). *Critical History* No.40, 68, 111-130. <https://doi.org/10.7440/histcrit68.2018.06>
- [6] Torralba, F. (2015) Historical memory, reconciliation and post-conflict. Recovered www.raco.cat/index.php/ArsBrevis/article/download/311723/401803 p. 325
- [7] Camacho Moreno, MA, & Molina Valencia, N. (2018). Social intervention as an object of study: discourses, practices, problematizations and proposals. *Digital athenea*, 18 (3), 1-29.
- [8] Solely, N., & Vargas, L. (2014). Memory measures peacebuilding the case of the report's enough historical memory center. *Cod. 2567363*, 1-38. Retrieved from http://www.bivipas.unal.edu.co/bitstream/10720/683/1/2567363_2014.pdf
- [9] Freud, S. (1929) Civilization and Its Discontents. *Collected Works*, Vol. XXI. Buenos Aires: Amorrortu EDRs, 1981. P. 57-139..
- [10] Aristizabal, S., Palace, J., Madariaga, C., Osman, H., Parra, L., Rodriguez, J., Lopez, G., (2012) Symptoms and psychological trauma victims and victimizers in the Colombian Caribbean . Vol.29 *psychology from the Caribbean*. ISSN 2011-7485 mail.
- [11] Freud, S. (1915) of war and death, current issues. Volume XIV Amorrortu.
- [12] Freud, S. (1933) Why the war ?. Volume XXII. *New Introductory Lectures on Psychoanalysis and other works*.
- [13] Freud, S. (1959) *Draft Scientific Psychology*. Tomo I. Psychoanalytic pre unpublished manuscripts and publications. Amorrortu.
- [14] Lacan, J. (1962-1963) X Seminar anxiety, Chapter 1 "Introduction to Structure Angst" p. 11-95
- [15] Soler, C. (2017) "Coming of the real" Pre-text of the International Meeting of Barcelona. Recovered in [http://xcita-if-epfcl.barcelona/Documentos/Pre-textos/\(Sp\)Pre-text01-ColetteSoler.pdf](http://xcita-if-epfcl.barcelona/Documentos/Pre-textos/(Sp)Pre-text01-ColetteSoler.pdf)
- [16] Sanfelippo, L., (2010). Conceptualizations of trauma in Freud and Lacan. II International Congress of Research and Professional Practice in Psychology XVII Conference on Research Sixth Meeting of Researchers in Psychology of MERCOSUR. School of Psychology - University of Buenos Aires, Buenos Aires.

- [17] Aguilar-Forero, NJC (2018). Memory politics in Colombia: initiatives, tensions and experiences (2005-2016). *Critical History* No.40, 68, 111-130. <https://doi.org/10.7440/histcrit68.2018.06>
- [18] Villa Gomez, JD, Barrera Machado, D., Arroyave Pizarro, L., & Montoya Betancur, Y. (2017). Action Damage: welfarism to social construction of the victim. Look at repair processes and psychosocial intervention in Colombia. *Universitas Psychologica*, 16 (3), 1. <https://doi.org/10.11144/javeriana.upsy16-3.adac>
- [19] Villa Gomez, JD, & Insuasty Rodriguez, A. (2017). Between participation and resistance: rebuilding the social fabric from below in the municipality of San Carlos Beyond logic state reparation. *Agora USB*, 16 (2), 453. <https://doi.org/10.21500/16578031.2442>
- [20] Villa Gomez, JD (2013). Horizontality, shared knowledge expression and psychosocial processes focus on support to victims of political violence in Colombia. *Agora USB*, 13 (1), 289. <https://doi.org/10.21500/16578031.91>
- [21] Arenas, S. (2017, May 9) Sandra Arenas. Symbolic repair. [Video Archive] Recovered from <https://www.youtube.com/watch?v=BE0QD5A7qKE>
- [22]
- [23] Freud, S. (1924, 1925) The Ego and the Id and other works. Unconscious. Volume XIV Amorrortu.
- [24] Freud, S. (1920) The Psychopathology of Everyday Life. Volume VI. Amorrortu.
- [25] . Rooster, H. (2004) "Forgetting and Truth" magazine since the Garden of Freud Recovered in:
a. <http://www.revistas.unal.edu.co/index.php/jardin/issue/view/969>
- [26] Gomez, G (2004) "War Injuries: memory and forgetting" magazine since the Garden of Freud. Retrieved on: <http://www.revistas.unal.edu.co/index.php/jardin/issue/view/969>
- [27] Moreno, M. (2013). Psychoanalysis and social intervention. Retrieved on: https://www.icesi.edu.co/revistas/index.php/revista_cs/article/view/1568
- [28] Perez Muñoz, Rico & Gomez (2010) "Moving meaningless: Clinical study experience and the violent displacement" Retrieved on: <https://revistas.upb.edu.co/index.php/informespsicologicos/article/view/6100>
- [29] Sotelo, A. (2004) "Testimony, body, memory and forgetting" magazine since the Garden of Freud. Retrieved on: <http://www.revistas.unal.edu.co/index.php/jardin/issue/view/969>
- [30] Freud, S. (1893) On the Psychological Mechanism of Hysterical Phenomena: Preliminary Communication. In *S. Freud Works Vol. II*. pp. 27-44. Buenos Aires: Routledge.
- [31] Bohleber, W. (2007). Memory, trauma and collective memory: the battle for memory in psychoanalysis. *Psicoanálisis APdeBA*, XXIX (1), 43-75. Retrieved from <https://www.apdeba.org/wp-content/uploads/Bohleber.pdf>
- [32] Moreno, MA (2015). Psychoanalysis and social intervention. *CS magazine* (11), 115. <https://doi.org/10.18046/recs.i11.1568>
- [33] Lacan, J. (1953) function and field of speech and language in psychoanalysis. In Jacques Lacan, *Writings* 1 pp.231-310. Editorial Biblioteca Nueva, S, L.

Travel and Disease in Thomas Mann's Death in Venice

Ryszard W. Wolny

Institute of English and American Studies, University of Opole, Poland

Abstract

Thomas Mann's novella, *Death in Venice* (*Der Tod in Venedig*, 1912), presents a story of an artist, Gustav von Aschenbach, suffering from the writer's block who travels to Venice to look for inspiration and where he eventually finds his death. In the meantime, he suffers from depression strengthened by feats of febrile listlessness, pressure in the temples, heaviness of the eyelids that make discontent befall him. The putrid smell of the lagoon hastens his departure, but a strange coincidence makes him change his mind. He returns to the hotel drawn by the enthrallment for the young lad, Tadzio, he had spotted there. Wandering through the streets of Venice, he ignores the health notices in the city, only later learning that there is a serious cholera epidemic in Venice. But he does not escape, nor does he warn the boy's family of the fatal danger. He dies in his beach chair, looking at the boy on the beach. The aim of this paper is, therefore, to explore the relationship between travel and disease as juxtaposed with a growing passion for a youth, unmistakably, a sign of life affirmation in a sickly body and burnt-out mind. Thomas Mann's novella has been a subject of extensive commentaries and criticisms for over a century since it was published in Germany, first, in serial form in 1912 and 1913 and, then when it was translated into the French and English in the 1920s, thus introducing it to the rest of the world. The peak of critical interest in Mann's oeuvre may be pinpointed to the 1970s when Luchino Visconti's film, *Morte a Venezia* (1971), was released and Benjamin Britten's opera composed and first staged (1973).

Keywords: Travel and Disease in Thomas Mann's Death in Venice

The early criticism, however, concentrated on biographical elements alongside psychological theories as a background. Interestingly, homoerotic elements were either completely ignored, repressed or at least largely marginalized until the mid-1970s, and the novella's reception was conditioned on the reviewers' views on homosexuality (Shookman 2003: 5).

Nicklas and later Ritter propose to divide the approaches to *Death in Venice* into several categories, the most often applied would include, among others, individualistic readings of Aschenbach's psyche, ontological interpretations that regard him as an artist doomed to death, sociological approach that view him as a typical product of the German bourgeoisie after Bismarck, or formal readings that stress stylistic and structural elements. On top of these, there are the obvious late twentieth-century ideas of reading this text as a symbol of decadence, moral dilemmas, Eros, seduction, pedophilia, mid-life crises, the image of a foreign city, etc. As a rule, however, they lack a serious literary refinement and, to a considerable degree, misinterpret Freudian psychoanalysis in taking Mann's fiction for facts or misunderstanding his elaborated irony and purposeful ambiguity. Further, Visconti's cinematic or Britten's operatic interpretations are often taken as if they were Mann's original ideas, while it is self-evident that Mann did not write what Visconti showed or Britten produced on stage.

In more recent scholarship of the last two decades of the 21st century, however, the attention has been refocused on the idea of travel in the context of a growing interest in illness as narration. Of particular interest for us is here Ann Jurecic's *Illness as Narrative* (2012), where the stress is meaningfully and remarkably laid on the intersection of literature and literacies, the aesthetic and the rhetorical. In treating illness as a continuous story (or stories), Jurecic endeavours to connect the usually disconnected two parts of oneself: the professional as a writer and the narrative of the ill as a patient, with an aim to find and develop practices that would allow for a critical and compassionate analysis of both the patient's psychic states and the ways of their textual articulation. As a result, these narratives are supposed to produce meaning of what constitutes human fragility and mortality, and what makes sense of human pain and suffering.

Thus, this paper is an attempt to explore Mann's text in the context of the above and to uncover the stylistic and aesthetic complexities of his discourse that make *Death in Venice* so remarkable as the voice of decaying, sick Europe at the brink of the Great War.

The Nietzschean traces in Thomas Mann's famous novella are obviously conspicuous and virtually impossible not to be recognised, even bearing in mind Mann's masterly handling of free indirect discourse, but the atmosphere he is able to create in his prose reflect the existential and artistic worries of his great predecessor philosopher and philologist, Friedrich Nietzsche.

The novella starts with the protagonist's "another solitary walk," the walk so characteristic of Nietzsche's quiet and thoughtful contemplation he contained in his various philosophical writings:

Gustav Aschenbach, or *von Aschenbach*, as his official surname had been since his fiftieth birthday, had taken another solitary walk from his apartment in Munich's Prinzregentenstrasse on a spring afternoon of the year 19.., which had shown the continent such a menacing grimace for a few months. Overexcited by the dangerous and difficult work of that morning that demanded a maximum of caution, discretion, of forcefulness and exactitude of will, the writer had been unable, even after lunch, to stop the continued revolution of that innermost productive drive of his, that *motus animi continuus*, which after Cicero is the heart of eloquence, and had been thwarted trying to find that **soothing slumber** which he, in view of his **declining resistance**, needed so dearly. Therefore he had gone outside soon after tea, hoping that fresh air and exertion would regenerate him and reward him with a productive evening. (Ch. 1)

The atmosphere of excitement mingled with danger of the work, which demands from von Aschenbach "forcefulness and exactitude of will" further reinforces the Schopenhauerian and Nietzschean voluntarism present in the opening passage. The focus on power of the will (the Nietzschean *Wille zur Macht*) is the *modus vivendi* of a productive and creative life the protagonist wishes to continue ("that innermost productive drive" – *drive* – a Freudian term, most likely a sex drive leading to death drive). A recipe for a regeneration of the mind and body in both Nietzsche and Mann is fresh air, which is what Aschenbach needs for a productive evening.

What strikes as odd in the above opening passage is an immediate reference to the factual developments in Europe ahead of the outbreak of the bloodiest military conflict in human history that took over 30 million lives (WWII – around three million less), which Mann contained in a phrase "the year 19.., which had shown the continent such a menacing grimace," suggesting the presence of immediate danger – ominous, sinister and alarming. According to the *Norton Anthology of Western Literature*, Mann wrote *Death in Venice* during the 1911 Moroccan Crisis, which caused Germany and France to negotiate. As it seems, Mann purposefully included the hint of the date to demonstrate the beginning of the collapse of Europe as a whole and, from our perspective, the start of the process of disintegration of the body – the community – and its gradual decay leading to death and annihilation, its total spiritual and physical destruction.

Chapter 1 also inaugurates the motif of travel in the novella, which basically has its beginnings at home, in Munich, in a cemetery, where he spotted a bizarre-looking foreigner:

Not very tall, thin, beardless and strikingly round-nosed, the man belonged to the red-headed type and had its milk-like and freckled skin. Obviously he was not Bavarian: the broad and straight-rimmed bast hat which covered his head gave him the air of the foreign and far-traveled. Of course he wore the common kind of rucksack strapped on his shoulders, a yellowish suit of loden fabric, as it appeared, a gray coat over the left underarm, which he had stemmed into his side, and in the right hand a stick with an iron tip, which he had pushed diagonally into the ground and on which he, feet crossed, leaned with his hip. With raised head, so that on his scrawny neck which stuck out from his sport shirt the Adam's apple projected forcefully and well-defined, he looked into the distance, with colorless, red-lashed eyes between which there were two vertical, definite furrows, which strangely complemented his short and stubby nose. His demeanor—and perhaps his elevated and elevating standpoint contributed to this impression—was that of cool survey, audacious, even wild; because, be it that he was grimacing against the brightness of the setting Sun or that it was a more permanent physiognomic disfigurement, his lips seemed too short, the teeth were entirely uncovered, so that they, quite long and bare to the gums, gleamed white between his lips. (Ch. 1)

The stranger's role in the above passage is at least two-fold: first, his figure is supposed to be an odd-out one in the background of the homely Bavaria – an "unhomely" one, uncanny, a red-haired type regarded as evil. Secondly, the fact that he had "the air of the foreign and far-traveled" invoked in Aschenbach a strong desire (again a psychoanalytical term) to travel, the urge that completely overpowered him and his thoughts:

If it was the wayfarer-like air of the foreigner working on his imagination or some other corporeal or mental influence that caused it: a strange distention of his soul unexpectedly made itself known, a sort of roving unrest, a juvenile thirst for the distant, a feeling, so novel and yet so long-forgotten that he, hands on his back and his eyes fixed at the ground, stood transfixed to probe that emotion and its nature and aim. It was wanderlust, nothing more; but verily coming in the form of a fit and ardently intensified, even to the point of an illusion. (Ch. 1)

This kind of a mental fit leading to an illusion has been well documented in psychoanalytical literature, going far beyond the rational in the direction of the primeval, original, preconscious – a modernist yearning for the genuine, embryonic source of the human. All this demands a radical change of the setting, the environment, the scenery. And in a hallucination,

he saw, as a sample of all those wonders and horrors of the diversity on Earth which his desire was suddenly able to imagine, an enormous landscape, a tropical swamp under a moist and heavy sky, wet, lush, and **unhealthy**, a primordial wilderness of islands and **mud-bearing** backwaters that men avoid. The shallow islands, the soil of which was covered with leaves as thick as hands, with enormous ferns, with juicy, macerated and wonderfully flowering plants, ejected upwards hairy palm trunks, and strangely formless trees, whose roots sprung from the trunks and connected to the water or the ground through the air, formed disorienting arrangements. On the brackish, glaucously-reflecting stream milk-white, bowl-sized flowers were floating; high-shouldered birds of all kinds with shapeless beaks were standing on tall legs in the shallow water and looked askance unmoving, while through vast reed fields there sounded a clattering grinding and whirring, as if by soldiers in their armaments; the onlooker thought he felt the tepid and mephitic odor of that unrestrained and unfit wasteland, which seemed to hover in a limbo between creation and decay, between the knotty trunks of a bamboo thicket he for a moment believed to perceive the phosphorescent eyes of the tiger—and felt his heart beating with horror and mysterious yearning. Finally the hallucination vanished, and Aschenbach, shaking his head, resumed his promenade along the fences of the stonecutters.

The tropical landscape Mann presents is, as the narrator admits, “unhealthy” but, at the same time, “a primordial wilderness of islands and *mud-bearing* [emphasis added] backwaters” that are supposed to be *life-bearing*, the source of human life. What is, then, the sense of travel? Aschenbach answers it promptly:

He had, as far as he had possessed the means to enjoy the benefits of sojourn to far-off countries, regarded travel as a *hygienic necessity* [emphasis added] which had to be observed *against will and inclination* [emphasis added]. Too much occupied with the duties imposed by his ego and the **European soul**, too overburdened with the duty of production, too little interested in distracting himself to be a faithful lover of that gay outside world, he had contended himself wholly with that knowledge of the Earth’s surface that can be gained by anyone without ever having to abandon his circle and was never even tempted to leave Europe. (Ch. 1)

Unexpectedly to himself, feeling an approaching end of his life and prompted by the sight of the stranger, Aschenbach decides to travel in order to find himself, to discover the heart of his being:

The more so since his life was approaching its conclusion, since his artist’s fright of **not being able to finish his work**, that fret that **his time had run out**, could no longer be called purely a delusion, so that his life had mostly been limited to the beautiful city, which had become a home to him, and the spartan country house, which he had erected in the mountains and where he spent rain-soaked summers. It was **a desire to flee**, he had to admit to himself, this yearning for the distant and the novel, this **desire for liberty**, for being free of burden, for being able to forget—the desire to escape his work, the commonplace location of a rigorous, frigid, and ardent duty. (Ch. 1)

Since Being [Sein] is always in time with time it terminates. Thus, what counted for Aschenbach was the precious time: he wanted to live the time of his life in order to uncover his genuine self. So he chooses Venice, which is symbolical here in that it is a sinking, decaying city built upon a small lagoon with swampy surroundings. There is very little structural support, so the city is slowly sinking and crumbling. The same can be said of Aschenbach. He is decaying in morals, mental focus and health, particularly in this hot and humid environment.

Death is also symbolized in the story several times in the story, such as the “coffin black” gondola. There is also more Greek mythology referenced by the gondola and gondolier to Charon and the River Styx, the Greek entrance to the Underworld. According to Ignace Feuerlicht, Tadzio can be seen as the Greek god Hermes, who helps leads souls to death. At first, Aschenbach interest in Tadzio is first from an artistic appreciation, and then later he argues that Tadzio could be inspirational. As the story progresses, Aschenbach becomes more and more obsessed with Tadzio. There are signs that

Aschenbach's morals are sinking into decay. In the later chapters, though not specifically stated, there is a certain homosexual overtone that is displayed for the boy by Aschenbach (Meyers, 183)(Shookman, 98-101).

Finally, when Aschenbach dresses up and allows the barber to change his hair color and apply make-up to his face he then becomes the very image of the old man he saw in chapter three on the boat that he was disgusted by. The barber's remark to Aschenbach raised the question of truth vs. artifice. This represented the vain and deceitful side of art, art was used to conceal the truth and seduce others. This is just like the disinfectant the authorities used to cover the odour of the disease in Venice while its atmosphere seduce its tourist. The scene where he loses his way in the city streets represents the state of his soul, the garbage and the overgrown weeds symbolize decay. While the berries symbolize the "forbidden fruit" like the sinful love Aschenbach had for Tadzio in which he takes in order to please his dying thirst.

The disease symbolizes the obsession and sickness that has taken over him for the young boy Tadzio. The Italians go on to deny the rumors of the disease and the denial of the rumors stand for Venice being a place of artifice, deceit, and corruption. The pomegranate juice he drinks during the performance in the terrace of the hotel is symbolic for: its red color, that is the standard color of passion which is tied to the strawberries he eats closer to his death, so, too are the red-haired devil like figure disguised as the musician that gets close to him and the red tie that Aschenbach wears when he dresses up for Tadzio at the end of the novella. The red in the story also symbolizes depravity. The pomegranate also represents a mythical significance; in Greek mythology, Persephone is abducted by the god of the underworld. While in the underworld not thinking she goes to eat a seed of a pomegranate that is known as the food of the dead, and it binds her to spend almost half a year in Hades. Aschenbach being in Venice and following the young boy in the soldering heat can signify him being in the underworld (hell). The cholera becomes significant because it has an Asian origin with this information the jungle and his dream becomes a triply loaded motif. It was a jungle landscape that he pictured when he first felt the impulse to travel and enjoy the warmer climate. This symbolizes where the disease originated from. India is also symbolic to the dream he has because myth logically Aschenbach first worships Tadzio as an Apollonian symbol of intellectual beauty and art, but now he worships him as a god. Tadzio is progressed and seen as gone from Apollonian to Dionysus in the mind of Aschenbach.

The fundamental error people commit is that they imagine that humans are born harmonious, well constructed, orderly, with their minds functioning correctly according to a set pattern, and only later do they start to decay due to external conditions and/or hostile environment, forgetting that illness is very much a health condition like any other condition. All human are basically ill, the difference being the degree of sickness and its intensity. What really counts are the defensive mechanisms our body is able to produce and develop. Aggression, in most cases, is not the problem of aggressive environment but rather a certain inability to produce something instead, some other kinds of behaviour that would overcome aggression. Aggressive behaviour, as it seems, is to a large extent form of illness, a health condition, a sickness of the mind to satisfy its needs otherwise, also due to specific diet deficiencies or excess of some foods, hence the problems with food processing by specific bacteria with which our body is abundant. We are all mad, as Michel Foucault wisely observed in *Madness and Civilization*, which basically means we are all ill, so illness is very much a normal, standard human condition resulting in eventual death sooner or later.

And this "soothing slumber" of which the narrator speaks in the opening passage and of which the protagonist dreams is only to be found in the deck chair on the beach, but it is an everlasting sleep from which he will never wake up. The illness really started at home, in Munich, in familiar surroundings, in a very "homely" (*Heimliche*) setting and then the travel to Venice, to an "unhomely" (*Unheimlich*), exotic surroundings, developed it, strengthened it, acting, as if it were, on the will (*der Wille*) of the protagonist, assuming a form of a voluntary death, an honourable, ancient-style suicide.

From a postmodernist and poststructuralist point of view, we may speak here of the Derridean gift of death, the notorious "donner la mort" (Derrida 1999, 2008). As he puts it, "se donner la mort [one gives oneself death] also means to interpret death, to give oneself a representation of it, a figure, a signification or destruction of it" (12), and this representation of death in Mann's novella is an illness-turn-plague.

THE OLD MAN AND DEATH. One may well ask why, aside from the demands of religion, it is more praiseworthy for a man grown old, who feels his powers decrease, to await his slow exhaustion and disintegration, rather than to put a term to his life with complete consciousness? In this case, suicide is quite natural, obvious, and should by rights awaken respect for the triumph of reason. This it did in those times when the leading Greek philosophers and the toughest [toughest] Roman patriots used to die by suicide. Conversely, the compulsion to prolong life from day to day, anxiously consulting doctors and accepting the most painful, humiliating conditions, without strength to come nearer the actual goal of one's life: this is

far less worthy of respect. Religions provide abundant excuses to escape the need to kill oneself: this is how they insinuate themselves with those who are in love with life. Nietzsche, *Human, All Too Human*, #80

Prevention of suicide. There is a justice according to which we take a man's life, but no justice according to which we take his death: that is nothing but cruelty. #88

Relatives of a suicide. The relatives of a suicide resent him for not having stayed alive out of consideration for their reputation.

#322

The value of illness. The man who lies ill in bed sometimes perceives that it is usually his office, business, or society that has made him ill and caused him to lose all clear-mindedness about himself; he gains this wisdom from the leisure forced upon him by his illness.

#289

Advisor to the ill. Whoever gives an ill man advice gains a feeling of superiority over him, whether the advice is accepted or rejected. For that reason, irritable and proud ill people hate advisors even more than their illness.

#299

There is certain non-German elitism both in Nietzsche and Mann in regards to class structure of pre-First World War German society. Both were admirers of then non-existent – at least formally – Polish nobility: Nietzsche – falsely – claimed that he was a descendent from the von Nieztky kinfolk, and Mann has chosen the boy from the Polish aristocratic family for a model of Tadzio (Władysław Moes), which may be indicative of their low assessment of the native nobility, also in terms of poor, meagre health.

References

- [1] Derrida, Jacques. *The Gift of Death* [Donner la mort, 1999]. 2008.
- [2] Foucault, Michel. *Madness and Civilization*.
- [3] Jurecic, Ann. *Illness as Narrative*. Pittsburgh: University of Pittsburgh Press, 2012.
- [4] Mann, Thomas. *Death in Venice* [*Der Tod in Venedig*, 1912]. Trans. Martin C. Doege. mdoege@compuserve.com. PDF file.
- [5] Nietzsche, Friedrich. *Human, All Too Human*.
- [6] *Norton Anthology of Western Literature*.
- [7] Shookman, Ellis. *Thomas Mann's Death in Venice: a Novella and Its Critics*. New York: Camden House, 2003.
- [8] Astrach, Gary. American Association, F.W. Company, Brit &, and Brit &. Dionysos In
- [9] Thomas Mann's Novella, "Death in Venice". 35. Portland, Maine: Blackwell
- [10] Publishing, 1990. 59-78.
- [11] Church, Margaret. "Death in Venice": A Study of Creativity. 8. 23. West Lafayette,
- [12] Indiana: National Council of Teachers of English, 1962. 648-651.
- [13] Feuerlicht, Ignace. Thomas Mann. Twayne's World Authors Series: A Survey of the World's Literature.

- [14] Ser. 47. Ed. Sylvia E. Bowman and Ulrich Weisstein. New York: Twayne Publishers, 1968.
- [15] Frank, Bernhard. Mann's Death in Venice. 64. Buffalo, New York: Heldref Publications,
- [16] 2006. 99-101
- [17] Hayes, Tom and Quinby. "The Aporia of Bourgeois Art: Desire in Thomas Mann's Death
- [18] in Venice." *Criticism* 31.2 (Spring 1989): 159-177. Rpt. in *Short Story Criticism*. Ed.
- [19] Thomas J. Schoenberg and Lawrence J. Trudeau. Vol. 80. Detroit: Gale, 2005.
- [20] Literature Resource Center.
- [21] Lawall, Sarah, William Thalamann, Lee Patterson, Heather James, and Patricia Spacks.
- [22] *The Norton Anthology of Western Literature*. 8. 2. New York, NY: W.W. Norton
- [23] Company Ltd., 2006. 1820-1822. Print
- [24] Mann, Thomas. "Death in Venice." *The Norton Anthology of Western Literature*. Ed. Sarah Lawall. 8th
- [25] ed. Vol. 2. New York: W. W. Norton & Company, 2006. 1819-69. Print. 2 vols.
- [26] McNamara, Eugene. "Death in Venice": The Disuised Self. 3. 24. Windsor, Ontario:

- [27] National Council of Teachers of English, 1962. 233-234.
- [28] Meyers, Jeffery. *Homosexuality and literature, 1890-1930*. 7th ed.
- [29] London: Athlone Press, 1977. 183. Print.
- [30] Shookman, Ellis. *Thomas Mann's Death in Venice: A Novella and Its Critics*. Rochester,
[31] New York: Camden House, 2003.
- [32] Shookman, Ellis. *Thomas Mann's Death in Venice: A Reference*
- [33] *Guide*. Westport, CT: Greenwood, 2004. 98-101, 155. Book.
- [34] SparkNotes Editors, ed. "Death in Venice." *Summary & Analysis Chapter 3a and 3*. SparksNotes.com.
- [35] Web. SparkNotes LLC. n.d. 1 Apr. 2010. Web. 28 Mar. 2010
- [36] Zlotnick-Woldenberg, Carrie. "An Object-Relational Interpretation of Thomas Mann's
- [37] *Death in Venice*." *America Journal of Psychotherapy* 51 (Fall 1997): 542-551. Rpt.
- [38] in *Short Story Criticism*. Ed Thomas J Schoenberg and Lawrance J. Trudeau. Vol 80.
- [39] Detroit: Gale, 2005. Literature Resource Center.

A Comparative Analysis of the Albanian and British English Vowel System

Lenida Lekli

PhD, at "Aleksandër Xhuvani" University, English and German Language Department, Albania

Abstract:

Analyzing the complexity of the articulatory process of the vowels in Albanian and English language is of crucial importance in distinguishing their unique phonetic and phonological properties. The standard Albanian vocalic system includes seven vowels, unlike the standard British English vowel system which consists of five vowels. Drawing points of similarity and differentiation between the vowel systems of the two languages requires detailed analysis regarding the degree of opening and the position of the tongue in the vowel tract. Therefore the purpose of this paper is to highlight differences and similarities of the vowel system (monophthongs) between standard Albanian language and British English. The seven Albanian vowels considerably differ from their five English counterparts, not only by their degree of opening but even by their placement concerning the horizontal movement of the tongue, which can be observed by examining the two vowel charts of both languages. The Albanian vowel system is displayed through a triangle, meanwhile the English vowel system is a schematic arrangement of vowels into a quadrilateral. Thus analyzing their properties by using a comparative approach regarding vowels articulation in both languages would help in generating a clear picture of their common and distinguishing characteristics.

Keywords: comparison, vowels, system, differences, similarities

Introduction

Human species converse, they ask questions, they give orders, they provide instructions, they sing songs, they show excitement, refusal through utterances etc., often without paying too much attention to the sounds and their various combinations that the speech mechanism articulates when fulfilling these speech activities during linguistic discourse in a variety of contexts. "Languages worldwide do come and go" (Ladefoged & Disner, 2012, p. 2); Shakespearean English was not as sophisticated and elaborated as it is English language today. Buzuku and Bogdani's Albanian language went through fundamental transformations phonetically and phonologically until reaching today's contemporary version of the Albanian language. However, besides these linguistic modifications, there is one element that constitutes and provides the basics of speech of any language, that is *sound*.

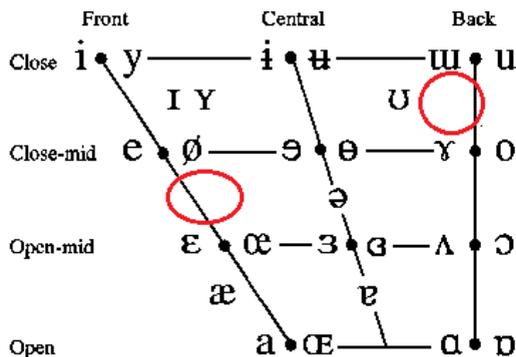
The complexity of the articulation of speech sounds in any language is not an easy process. Its articulatory sophistication often provides difficulty in drawing conclusions concerning their physiological properties in the vocal tract. The articulation of sounds requires a coordination of muscles' movement during in-breathing and out-breathing of the air from the chest cage. As Roach says "all the sounds we speak are the result of muscle contracting. The muscles in the chest produce the necessary flow of the air that is needed for almost all speech sounds." (2009, p.8-9) Depending on this mass of air coming out from the lungs, and the vibration created between the vocal folds, there is generated a broad variety of vowel and consonantal sounds in English and Albanian language too, besides the alphabetical vowel and consonant letters the two languages possess.

The traditional classification of sounds is the one that groups them into two distinctive categories: *vowels* and *consonants*, a classification mainly based on the level of constriction created during airflow, may this airflow be lateral or central. This division of sounds is characteristic of all languages in the world not only English and Albanian language. "Vowels, which constitute the focus of this paper, are articulated in a manner different from that of consonants. The articulators, both active and passive are far apart to allow the airflow to exit unhindered, that is with open approximation. Given this fact, the manner of articulation classifications used for the consonants are inappropriate for the vowels. Moreover, vowels are produced in a smaller area of the vocal tract, mainly the palatal and velar regions, which means that the consonantal place specifications

are also inappropriate.” (Davenport, 2005, p.38) Furthermore, vowels differently from consonants are voiced sounds, with a strong vocal folds’ vibration, excluding the classifying consonantal criterion of voicing.

As mentioned above, the primary focus of this contrastive research paper is the comparison of the English and Albanian vowel system, a comparative analysis which is going to be treated mainly in terms of three criteria:

- *localization* (Memushaj, 2011, p.53) (horizontal position of the tongue in the vocal tract)
- *degree of opening* (tongue height or vertical position in the mouth cavity)
- *lip rounding* otherwise known as “lip posture” consisting of all the large number of postures this articulator can take during articulation. (Ogden, 2009, p.59)



However, “part of the problem in describing vowels is that there are no distinct boundaries between one type of vowel and another in any kind of language. When talking about consonants, the categories are much more distinct. A consonantal sound may be a stop or a fricative, or a sequence of the two. But it cannot be half way between a stop and a fricative. Considered from this point of view, vowels are quite different. It is perfectly possible to make a vowel that is halfway between a high vowel and a mid vowel. (Ladefoged & Johnson, 2011, p.87)

- Fig.1 Cardinal Vowels (Ogden, 2009, p.59)

In theory it is to be emphasized that it is possible to make a vowel at any specified distance between any two other vowels, as illustrated in the above chart through the small red circles.” (Ladefoged & Johnson, 2011, p.87)

The three articulatory criteria mentioned above will be analyzed and described in details in the following part of the paper pointing out characteristics of similarity and difference between the British English vowel system and the Albanian one.

English and Albanian vowel system comparative analysis

■ Localization / Position of the tongue in the vocal tract

In terms of localization, it is to be emphasized that vowels in English and Albanian language depending on their articulatory position can be classified under the following headings: front, central and back. The reason why the English vowel chart (Fig.3) includes short and long English vowels is that the duration in English represents an important distinguishing element concerning the semantic aspect of words, meanwhile in Albanian language it is mainly a dialectic feature, rather than one which distinguishes words from one another.

In Albanian language unlike English one, there is a new nearly front vowel / y / (dyer , lyer etc.), which the English language does not recognize as such.

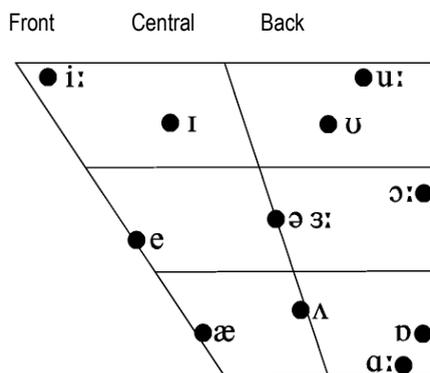


Fig.2 Albanian vowels (Beci, 2004, p.31)

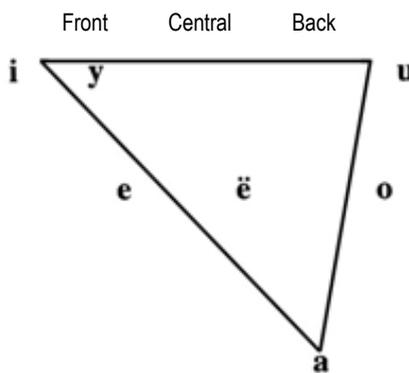


Fig 3. English short & long vowels
(Davenport, 2005, p.38)

In English the /y/ sound is either pronounced as a consonant mainly when encountered in an initial position, such as: Yard / ja: d / , Young / jʌŋ / etc. In other circumstances, when the sound is found in a medial position or final position (by /bai/ ; hardly /'ha: dli / etc.) it bears the features of a front /i/ or diphthong /ai/.

Analyzing the rest of the sounds, it can easily be observed that the localization of the vowels in both languages differs considerably from one another. The English / i: / is closer to the Albanian one in terms of their articulatory positioning. Meanwhile the English short / I / in comparison to the Albanian /i/ seems to be closer to the center than front.

The English front vowel /e/ (let, bed, etc) phonetically matches the articulation of the Albanian /e/ (det, mes,etc). A difference provides the English front vowel /æ/ which requires the Albanian learners of English language to try to articulate an opener version of their /e/ during which both sides of the tongue go down, accompanied by a broader opening of the jaws in order to guarantee a correct articulation of the vowel and correct pronunciation of words, such as cat /kæt/.

The two central English sounds ə /ɜ positioned in the middle of the quadrilateral differ quite considerably from the Albanian /ɛ̃/ placed in the middle of the triangle. The Albanian /ɛ̃/, may it be in a middle or final position in a word (such as: tavolinë, përmasë, etc.) does not cause problems during articulation and pronunciation of the words. Meanwhile the two central English sounds ə /ɜ:, due to their degree of duration often cause problems for the English foreign learners, not only during articulation but even in the pronunciation of the English words, for example: bird / bɜ:d/ , trainer / treɪnə/ etc. In such cases, the distribution of the vowels, whether they have a medial or final position can undoubtedly help during pronunciation.

Back vowels constitute another classification based on the positioning of the tongue. In both languages Albanian and English one, the articulation of the back vowels is accompanied by a back movement of the body of the tongue. However, it often depends on the distribution of these vowels within words, that is whether they might have an initial, medial or final position.

- Degree of opening (tongue height in the mouth cavity)

The degree of opening, otherwise known as the tongue height or vertical movement of the tongue in the mouth cavity provides another essential criterion when it comes to the classification of vowels in English and Albanian language too. Unlike, the previously mentioned classification of vowels according to the horizontal positioning of the tongue, the Albanian vowels seem to share more common characteristics with the English long vowels rather than the short English ones.

For instance, in the following group of words we can notice that for the pronunciation of the English word “duck” and the Albanian one “takim” , the degree of opening during articulation for their common vowel is similar. Meanwhile in the word dark / da:k / the duration of the vowel requires a broader opening of the jaws, identifying a different vertical positioning of the vowel in the English quadrilateral.

(English) Duck / dʌk /

(English) Dark / da: k /

(Albanian) Takim / takim /

If we go back to Fig.3 and observe the position of the English short vowels in terms of their degree of opening it seems that they create a smaller quadrilateral inside the big one, corresponding with the appropriate vertical position of each vowel. Therefore the degree of opening in the articulation of vowels is different not only when comparing English and Albanian language, but even within one single language, taking as reference the short and long vowels of that language.

■ Lip rounding

Lip rounding is otherwise recognized as the lip posture, the third basic criterion of the vowel description in English and Albanian language. Lips are considered to be active articulators, holding a number of postures. They can be spread, rounded, protruded, open, etc. (Ogden, 2009, p.59)

Both languages' vowels can easily be classified into rounded and unrounded vowels. In English the rounded vowels are / u, o, Y, ɔ / as it can be observed in figure nr. 4. The rest of the vowels are unrounded. The rounding of the lips of these sounds can also be observed in the pronunciation of different words such as **book**, **pull**, **drew**, **computer** etc.

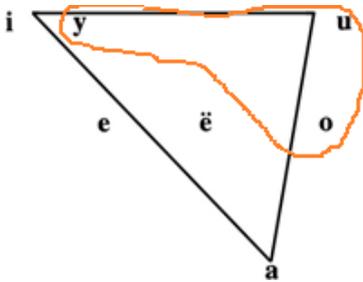


Fig.4 English rounded vowels

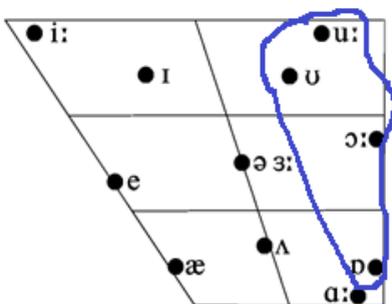


Fig. 5. Albanian rounded vowels

In Albanian language there are 3 rounded vowels / y / o / u, meanwhile the four other ones are unrounded vowels. The lips' rounded posture of the vowels' pronunciation can also be observed in Albanian words such as **druri**, **buka**, **kunadhe**, **dora**, **loja**, **tynel**, **byrek**, etc.

What needs to be emphasized and pointed out as a common similarity between the two languages, English and Albanian one, concerning lip posture, it is to be said that the rounded vowels are found and easily articulated in a variety of words regardless of their distribution, whether they have an initial, medial or final position.

Conclusion

Analyzing the vowels of the two languages, English and Albanian in terms of their articulatory features, is interesting and challenging at the meantime, considering the fact that the two languages differ considerably from one another.

English and Albanian language do not share the same spelling-pronunciation rule. English spelling does hardly match the pronunciation, with the exception of some one syllable words such as for / fɔː / , desk / desk / , task / ta: sk / , etc. Meanwhile in Albanian language, the spelling and pronunciation perfectly match together, which means that words are pronounced in the same way as they are written.

The vowels of the two languages were mainly analyzed and compared regarding their physical features during their articulation in the vocal tract. Three criteria were taken into consideration when conducting the comparative analysis: *the horizontal movement of the tongue, the vertical movement of the tongue, and lip rounding.*

Referring to these comparisons it can be said that the English long and short vowels displayed in the quadrilateral do differ considerably from the Albanian vowels displayed in the triangle. Regarding the horizontal movement of the tongue, the English and Albanian vowels tend to share certain features, however, the Albanian vowels seem to reach the edges of the triangle more, unlike the English ones. According to the degree of opening or vertical movement of the tongue, English language offers more sound varieties, articulated in different positions differently from the Albanian language.

Finally, according to the criterion of lip rounding both languages seem to share common properties, despite their distribution in words or phrases, whether they might be found in an initial position, medial or final one.

References

- [1] Beci, B. (2004). Fonetika e Gjuhës Shqipe. Tiranë: EDFA.
- [2] Davenport, M. (1998). Introducing Phonetics and Phonology. UK: Oxford University Press.
- [3] Ladefoged, P & Keith Johnson. (2011). A Course in Phonetics. Canada: Cengage Learning International Offices.
- [4] Ladefoged, P & Sandra Disner. (2012). Vowels and Consonants. UK: Blackwell Publishing.
- [5] Memushaj, R. (2011). Fonetika e Shqipes Standarde. Tiranë: TOENA.
- [6] Odgen, R. (2009). An Introduction to English Phonetics. UK: Edinburgh University Press.
- [7] Roach, P. (2009). English Phonetics and Phonology. A Practical Course. 4th Edition. UK: Cambridge University Press.

The Islamic Concept of Social Justice as a Means of Peace-Building Attainment within the Framework of Human Dignity and Social Relations

Atakan Derelioglu

PhD, Lecturer at Beder University College

Abstract

Peace in society is acquired through the establishment of justice between its members. As peace without justice is impossible, so is justice without peace. Justice and peace building are like a whole completing each other for the healthy development of a moral and just society. The topic of justice is of central importance for every individual in particular and the society in general. Protection of human rights and avoidance of their abuses, regardless of gender identity, race, religion, creed, color, nationality, or language, disability, marital status, and socio-economic status, is directly proportional to any conception of justice. This research begins by discussing the meaning and scope of the Islamic concept of social justice within the context of the Quranic Concept of "Adl" and gives some relevant Quranic concepts to the Arabic term "Adl" which renders this term to be understood in a much broader sense than the concept of "justice". And then, the paper proceeds to describe the purpose of the creation of humans as being trustees and custodianship over the planet earth. Subsequently, the research elaborates on the interconnected, interrelated or complementary relationships between social justice and such terms as solidarity, mercy, oppression and the economic justice within the boundaries of Quranic verses and the exemplary life of Prophet Muhammad (pbuh). The paper concludes by emphasizing that Islam represents the balance and middle way in all aspects of life as being unique in its worldview and social, economic and political aspects. The most distinguishing characteristic of Islam and, the community of Muhammad, (pbuh) is that it is far from all kinds of extremism when looked at different aspects of life through the lenses of the Quranic concepts and the Prophetic traditions.

Keywords: Islamic social justice, peace building, the purpose of the creation, human dignity, equality, solidarity, mercy, economic justice, middle way.

Introduction

Based on the primary foundations of Islam which are the Qur'an and the Sunnah (the Prophetic traditions), God does not approve and permit wrongdoing and disorder. The topic of justice is of central importance for each of us. Social justice and development are like a whole completing each other for the healthy development of a moral, just and peaceful society. There is an interconnected and interrelated relation between the concepts of justice and peace. He wills and decrees that human beings should enter into peacefulness wholeheartedly and even in the face of the war have an inclination towards peace, accordingly, that justice should prevail amongst them (Baqara, 2:208; Anfāl, 8:60-61). It is, therefore, obligatory upon those who believe in One God and worship Him faithfully to secure justice in the world (Māida, 5:8).

When we observe the way the Messenger of Allah (pbuh) followed throughout his life, we will see that he is a supporter of peace. The fact that he conquered Makkah without fighting, that he signed the peace treaty of Hudaibiyah when all of their hopes were destroyed when he and the Muslims were prevented from circumambulating the Kaaba and when there were articles that seemed against the Muslims in the treaty, that he signed treaties with Jews, Christians and other groups as soon as he migrated to Madinah and that he avoided any physical fighting when he was in Madinah are only some of the examples showing that this person of high ethics was not a supporter of war.

The Meaning, Scope, and context of the Concept of Social Justice

The subject of this research intends to briefly look at the ideas of the concept of justice, social justice and acquiring peace through justice in Islam and explore their deeper significance in the life of a believer.

First of all, justice and peace are like a whole completing each other for the healthy development of a moral and a balanced society. If you want peace, work for justice. Guarding the rights of human beings, regardless of race, color, religion, creed, nationality, or language, disability, gender identity, marital status, and socio-economic status, is central to any conception of justice which is obviously very vital to establish a peaceful society. This associative relation between justice and peace is logical, as justice must be considered one of the indispensable prerequisites of any lasting peace. Justice secures peace, balance, order and harmony in society. Within this particular context the word إسلام Islām is a verbal noun derived from s-l-m, meaning “submission” and “peace” which may be interpreted as peace being acquired through submission to the will of Al-'Adl, The Just which is one of the 99 beautiful names for Allah through which Muslims do recognize Him. Abu Huraira reported that the Messenger of Allah, said, (عَنْ أَبِي هُرَيْرَةَ، قَالَ: قَالَ رَسُولُ اللَّهِ صَلَّى اللَّهُ عَلَيْهِ وَسَلَّمَ: إِنَّ لِلَّهِ تَعَالَى تِسْعَةً وَتِسْعِينَ (..اسْمًا، مِئَةً غَيْرَ وَاحِدَةٍ، مَنْ أَحْصَاهَا دَخَلَ الْجَنَّةَ) “Allah has ninety-nine Names, one hundred minus one, and whoever “ahsaha” (enumerates them, safeguards them, believes in them, ponders their meanings, worships Allah by them and supplicates with them, and acts by them according to one's belief in them) will enter Paradise Him (Tirmidhī, n.d. Kitāb ad-da'awāt, Bāb: 83).

Secondly, I want to emphasize that Islam as a religion “din” which literally means in Arabic a way of life does have a comprehensive nature dealing with the spiritual, social, moral even political aspects of life, all integrating in one whole. Likewise when we speak about social justice mind should not be just focused on the economic justice or distributive justice. This is just a subset of the main topic.

Thirdly, social justice in Islam as a subset within the teachings of Islam is deeply rooted in the faith in one true God as the Creator, Sustainer, Cherisher, Provider of the universe. This is very essential when we look at the implication of the concept of property. Property ultimately in the absolute sense belong to the God alone. We don't own anything even ourselves. However individual property that we have today is transient property to achieve the will of God.

The Quranic Concept of 'Adl and Social Justice

Although the term “Adl” is translated into English as “justice”, there is a difference between the concept of “Adl” and the concept of “justice”. In English dictionaries justice is described as mutuality of rights and obligations, the establishment or determination of rights according to the rules of law or equity; however, the Arabic term is understood in a much broader sense than that. In fact, justice between individuals as well as between the ruler and the ruled is a central notion in the Qur'ān. Thus Muslims underscore the centrality of justice by listing al-'adl (justice) among the ninety-nine most beautiful names of God. For example, one aspect of the term “Adl” together with other its synonymous terms is to establish balance. In that sense as a concept it doesn't refer only to economic or legal issues. There are many terms in the Qur'ān associated with the term “Adl” such as “mizān” which means balance and “wasat” which means moderate, justly balanced. For example, the Qur'ān clearly states that there is a very sensitive balance in creation and the relationships among its parts while using the word balance in the form of “mizān”. The wonderful accord observed in the universe and its maintenance is due to this most sensitively computed balance. It is also indispensable to human life, both individually and socially. Its social manifestation is justice. With respect to human education and perfection, this balance requires that everything is given its due importance in life and that the basic faculties or impulses of anger, desire or appetite, and reason be trained, disciplined, and employed in order to develop them into the virtues of chivalrous courage, moderation and chastity, and wisdom.

The Qur'ān states that the community of Muhammad (pbuh) has been made a justly balanced, middlemost and moderate community among other communities using the word “wasat”. A verse of the Qur'ān says that as follows: “And in that way (O Community of Muhammad, whereas others turn in different directions and, straying from the straight Path, falter between extremes in thought and belief), We have made you a middle-way community, that you may be witnesses for the people (as to the ways they follow), and that the (most noble) Messenger may be a witness for you...” The most distinguishing characteristic of Islam and, the community of Muhammad, (pbuh) is that it is far from all kinds of extremism. Islam represents the balance and middle way in all aspects of life. For example, it is neither spiritualism nor materialism; neither realism nor idealism, neither capitalism nor socialism; neither individualism nor statism; neither absolutism nor anarchism; and neither this-worldly and hedonist, nor purely other-worldly or monastic. As it is unique in its worldview and social, economic and political aspects, it is also unique in the moral education it gives to individuals.

The Purpose of the Creation of Human Being

The purpose of the creation of human being as being described in the Qur'an { وَإِذْ قَالَ رَبُّكَ لِلْمَلَائِكَةِ إِنِّي جَاعِلٌ فِي الْأَرْضِ خَلِيفَةً } (Sajdah, 32:7, 8) saying that "Remember (when) your Lord said to the angels: "I am setting on the earth a vicegerent (Baqarah, 2:30)."

which clearly articulates and describes human being as the trustee of God on earth. The meaning of trustee here denotes a person granted legal custodianship over property not belonging to him. So has the human being been granted custodianship over the planet earth with which human beings have been entrusted. This implies that one's behaviour should be in accordance with the will of the One who appointed us as trustees. This also implies the muslim vision of property. If indeed property is transient given to us by the real owner it means that when He says that there is a share of the poor and the needy in your property then it would be betrayal of our trusteeship in case we don't fulfill his will.

The Concept of Human Nature and Social Justice

The Qur'anic vision of human nature which has been summed up in the chapter as-Sajdah and some other chapters as well according to which that the human being has three interrelated and interdependent elements. There is the physical body { تَمَّ جَعَلَ نَسْلَهُ مِنْ سُلَالَةٍ مِنْ مَاءٍ مَهِينٍ } (Sajdah, 32:7, 8), the intellect not just mind (complex reasoning) and the most important element: the spirit as being mentioned in the Qur'an { مِنْ رُوحِهِ وَجَعَلَ لَكُمُ السَّمْعَ وَالْأَبْصَارَ وَالْأَفْئِدَةَ قَلِيلًا مَّا تَشْكُرُونَ } (Sajdah, 32:9) "God breathed into him (every human being) of His spirit." (Sajdah, 32:9) What is the relevance of that to the question of justice. When we deal with the human being in a broader concept of justice we should take care of not only the physical needs as in the materialistic approaches but also the intellect by supporting freedom of thoughts, dialogue, debating... and the most important element, the spirit. What nourishes the body is that what comes from earth. That is because man was created from an extract, a quintessence of earth. Allah the exalted says: "Certainly We created man of an extract, a quintessence of earth." (al-Mu'minun, 23:12). Accordingly, what nourishes the spirit is that what comes from God. That is because the spirit is God's breathing of His spirit into every human being. The Qur'an addresses { الَّذِينَ آمَنُوا وَتَطْمَئِنُّ قُلُوبُهُمْ بِذِكْرِ اللَّهِ أَلَا بِذِكْرِ اللَّهِ تَطْمَئِنُّ الْقُلُوبُ } (ar-Ra'd, 13:28). This also has been emphasized in the Bible as being told by Jesus (pbuh) "Man shall not live by bread alone, but by every word that proceedeth out of the mouth of God (Matthew, 4:4)."

Who is the Master Of People?

Prophet Muhammad (pbuh) is with His friends in the mosque. A foreign envoy comes in haste. He brings an important diplomatic letter. The envoy, who is totally alien to Medina and to Muslims, asks breathlessly: - Who is the master of this people? At that moment, Prophet Mohammed is standing and distributing offers to His sitting friends with His own hands. When He hears the envoy's question. He replies without thinking a second: -The master of a people is the one who serves people. With this reply given without thinking, He had, all at the same time, met the envoy's question, gave a lesson in courtesy to His friends and to all Muslims and established an important principle of political philosophy. Concerning the excellence of serving people, The Prophet (pbuh) said: (سيد الفوم في السفر خادمهم فمن سبقهم بخدمة لم يسبقوه بعمل إلا الشهادة) "On a journey, the master of people is the one who serves people. Nothing else, except martyrdom, can reach the thawab (reward) of serving people (Bayhaqi, 1990/1410, VI, 334)."

The Islamic Understanding of the Concept of Universe and Social Justice

The Qur'an gives a vision of the resources that God has created in this universe. Everything in the universe has been created to help the human being to fulfill that aforementioned trusteeship. God informs us in the Qur'an saying that "It is He Who has created for you all things that are on earth..." (Baqarah, 2:29); "And He has made subservient for you the night and the day and the sun and the moon, and the stars are made subservient by His commandment; most surely there are signs in this for a people who ponder (an-Nahl, 16:12)." Accordingly today's science bears witness that the existence of intelligent life anywhere in the cosmos depends upon a complex and delicate balance of initial conditions which are given simply in the big bang. This is called the fine-tuning of the universe. At the same time the Anthropic principle tells us that the universe has the age and the fundamental physical constants necessary to accommodate conscious life. It is remarkable that the universe's fundamental constants happen to fall within the narrow range thought to be compatible with intelligent life. From this point of the view a true muslim does not see the universe as a whole, its resources and the natural laws that God created as enemies and tries not to subdue the nature by spoiling the balance of it. In this respect to gain

control over nature by damaging nature and the ecosystem is not totally acceptable Islamic approach in a sense of being not just and fair to the environment. The universe has been created as a friend so that we need to understand the natural laws to avoid harm that could result from our lack of understanding or our dealing with the universe. Today, the natural order may be disturbed by people, communities, states and international institutions. This problem has the potential to give rise to serious conflictions for the society at different levels.

You Will Guard Them

While he was marching at the foremost of His army, He saw a female dog that had just given birth and her babies. He called His friend; Juayl the son of Suraka and ordered him: (نَظَرَ إِلَى كَلْبَةٍ تَهْرُ عَلَى أَوْلَادِهَا وَهُمْ حَوْلُهَا يَرْضَعُونَهَا، فَأَمَرَ رَجُلًا مِنْ أَصْحَابِهِ يُقَالُ لَهُ جُعَيْلٌ بِنُ سُرَاقَةَ أَنْ يَقُومَ جَدَاءَهَا، لَا يَعْصُرُ لَهَا أَحَدٌ مِنَ الْحَبْسِ وَلَا وَلاَ لِأَوْلَادِهَا) "You will stand in front of the mum and her babies. Guard and protect them from being crushed until the whole army pass by (Wāqidī, 1409/1989, II, 804)." The mother and her babies were not disturbed but the army of the conquest that had ten thousand soldiers had changed its direction.

The Equality of Human Beings and Social Justice

The equality of human beings is not just for muslims but it is regardless of gender or sexual orientation, ethnical, cultural and religious background. All humans share the same parents as the Qur'ān indicates in the beginning of the fourth chapter. "O mankind reverence your guardian Lord, who created you from a single person, created, of like nature, his mate, and from them twain scattered (like seeds) countless men and women..." (an-Nisā, 4:1) Having immense amount of individual, national and ethnical differences, we are also all one family being equal in our basic human nature such as our emotional aspect, our psychology and our physical aspect for instance, in terms of our genetical structure. When researchers completed the final analysis of the Human Genome Project in April 2003, they confirmed that the 3 billion base pairs of genetic letters in humans were 99.9 percent identical in every person. It also meant that individuals are, on average, 0.1 percent different genetically from every other person on the planet. This tells us that we are all equal regardless of our race being the children of Adam (pbuh) and having the same forefather. For this reason, there are a lot to share among all human beings. A verse in the Qur'ān succinctly points out this fact saying that "O humankind! Surely We have created you from a single (pair of) male and female, and made you into tribes and families so that you may know one another surely the noblest, most honorable of you in God's sight is the one best in piety, righteousness, and reverence for God. Surely God is All-Knowing, All-Aware (al-Hujurat, 49:13)." This verse admonishes us to build mutuality and co-operative relationships and not to take pride in our differences of race or social rank, or breed enmities.

Racial discrimination is one of the greatest problems of our age. At time of the prophet Muhammad (pbuh), the attitudes behind racism were prevalent in Makkah in the guise of tribalism. The Quraysh considered themselves (in particular) and Arabs (in general) as being superior to all other people. In the year 632, in the Islamic month of Dhul Hijjah (the twelfth month), Prophet Muhammad (pbuh) at the occasion of Hajj, the Islamic pilgrimage, stood at the Mountain of Arafat and delivered his last sermon, which is now referred to as the "Farewell Sermon / حجة الوداع". He stood before thousands of men and women and spoke to them in a long manner about their responsibilities. He gave a clear message about equality and social justice. He said, All of you are equal. All men, whatever nation or tribe they belong to, and whatever station in life they may hold, are equal... "an Arab possesses no superiority over a non-Arab, nor does a non-Arab over an Arab (Hanbal, 1999/1420, XXXVIII, 474)."

Once Abū Dharr (r.a.) got so angry with Bilāl (r.a.) that he insulted him: (فَقَالَ إِنِّي سَابَبْتُ رَجُلًا فَعِيرْتَهُ بِأَمِّهِ فَقَالَ لِي النَّبِيُّ صَلَّى اللَّهُ عَلَيْهِ وَسَلَّمَ: (يَا أَبَا ذَرٍّ أَعْبِرْتَهُ بِأَمِّهِ إِنَّكَ أَمْرٌ فِيكَ جَاهِلِيَّةٌ إِخْوَانُكُمْ إِخْوَانُكُمْ جَعَلَهُمُ اللَّهُ تَحْتَ أَيْدِيكُمْ فَمَنْ كَانَ أَخُوهُ تَحْتَ يَدِهِ فَلْيَطْعَمْهُ مِمَّا يَأْكُلُ وَلْيَلْبَسْهُ) "You son of a black woman!" Bilāl came to God's Messenger, (pbuh) and reported the incident in tears. The Messenger, (pbuh) reproached Abū Dharr: "Do you still have a sign of Jāhiliyyah?" Full of repentance, Abū Dharr lay on the ground and said: "I won't raise my head unless Bilāl puts his foot on it to pass over it." Bilāl forgave him, and they were reconciled (Bukhārī, 1987/1407, "Īmān," Bāb: 20).

The Human Dignity and Social Justice

The human dignity is mentioned in the Qur'ān with concise and precise brevity in Sūrat al-Isrā' which says: "Verily We have honoured the children of Adam...(al-Isrā', 17:70)" As the verse clearly and precisely indicates, it is not only about dignity of muslims. This statement is not just a mere talk in the Qur'ān. This fact is a manifest in the Qur'ān. For example, in Sūrat al-Mā'idah a verse says that "...whosoever killeth a human being for other than manslaughter or corruption in the earth, it shall be as if he had killed all mankind, and whosoever saveth the life of one, it shall be as if he had saved the life

of all mankind... (al-Mā'idah, 5:32)" This verse states outloud the value of human beings in the sight of Allah. The muslim jurists also said that if indeed there is respect for human life, it also means entitlement to support for food, clothing, shelter, security as well as treatment in case of illness. The mentioned verse is also a manifest in respect of basic freedoms but it could be a long topic in itself... Life is the highest asset in Islam, the Qur'ān demands absolute protection of humankind regardless of ethnic background or religious confession. According to Islam, one of the supreme goals for the existence of the Prophets is to teach humanity how important it is to preserve such basic God-given rights as life, religion, progeny, wealth and intellect (Shātibī, 1417/1997, II, 7-8). The Prophets spent great effort to make these rights permanent values, standard for all rather than given to those who shout the loudest or lobby the most.

The Concept of Solidarity, Mercy and Social Justice

Solidarity and mercy has a great importance in establishing the social justice in community. Clearly, justice without love and mercy is meaningless just as are love and mercy without justice. The mission of the Prophet (pbuh) has been summed up in one sentence in the Qur'ān which says: "We have not sent you (O Muhammad) but as an unequalled mercy for all the worlds (al-Anbiyā, 21:107)." This mercy includes the world of humans, the world of animals, the world of vegetation and may be some other realms we don't know. Prophet Muhammad taught kindness to animals and also taught not to cut the trees even in the battlefields. It is very important to examine this notion of human brotherhood which allows plurality, diversity and at the same time unity in spite of the diversity in certain areas that was mentioned earlier. We should also mention here how the Prophet (pbuh) had forgiven his uncle's killer Wahshi b. Harb and how he pardoned those individuals who spread lies about his beloved wife, Aisha.

In Madinah, Prophet Muhammad (pbuh) saw a funeral procession of a jew. So he stood up. One of his companions wondered about that, simply because there were certain conflicts with some jewish tribes in Madinah being detailed by ibn Ishāq. The companion said: it is a funeral of a jew. (إِنَّ رَسُولَ اللَّهِ -صلى الله عليه وسلم- مَرَّتْ بِهِ جَنَازَةٌ فَقَامَ فَقِيلَ إِنَّهُ يَهُودِيٌّ). The prophet responded quickly: (فَقَالَ أَلَيْسَتْ نَفْسًا) is it not a soul meaning that a soul that God created (Muslim, Al-Janāiz, Bāb: 24).

Prophet Muhammad (pbuh) started to play the role of a conciliatory even before his Prophethood. Despite the existence of the House of God located at the centre of Mecca which attracted the respect of many people from all neighborhoods, there were quite a number of injustices carried out by the powerful chieftains of Mecca. The exploitation of the weak both inside and outside the city disturbed some wise people and they established a society under the name of hilf al-fudūl (the pact of virtues). We observe that the Prophet Muhammad (pbuh) took part voluntarily in this pact. The Prophet (pbuh) summarised his observations about this pact as: "I had witnessed the activities of this pact and I joined it without wasting a minute. I'd prefer to live in a society where reconciliation exists on the basis of truth and justice. This is better than owning the finest red camels in their hundreds. If I was called up to join such an organisation (reconciliation among the people) during the Islamic era, I would still run to it without any hesitation (Qurtubī, 2003/1423, X, 169)."

Conclusion

In conclusion, I wish to emphasize that Islam is the middle path being away from extreme edges and points and embracing a great deal of differences in its capacity. It is compulsory for Muslims to stand firm against oppression and injustices in an appropriate manner. The Qur'ān states that the community of Muhammad (pbuh) has been made a justly balanced, middlemost and moderate community among other communities (Baqarah, 2:143). The most distinguishing characteristic of Islam and, the community of Muhammad, (pbuh) is that it is far from all kinds of extremism when looked at different aspects of life through the lenses of the Quranic concepts and the Prophetic traditions. Islam represents the balance and middle way in all aspects of life. For example, it is neither spiritualism nor materialism; neither realism nor idealism, neither capitalism nor socialism; neither individualism nor statism; neither absolutism nor anarchism; and neither this-worldly and hedonist, nor purely other-worldly or monastic. As it is unique in its worldview and social, economic and political aspects, it is also unique in the moral education it gives to individuals.

Bibliography

- [1] Bayhaqī, A. B. (1414/1994). as-Sunan al-kubrā. (M. 'Atā, Ed.) Makka: Maktabat Dār al-Bāz.
- [2] Bukhārī, M. b. (1987/1407). Ṣaḥīḥ al-Bukhārī. (M. D. al-Bughā, Ed.) Beirut: Dār Ibn Kathīr.
- [3] Ḥanbal, A. b. (1999/1420). al-Musnad (3 ed.). (S. al-Anrawūt, Ed.) Maḍīna: Muassasat ar-risāla.

- [4] Qurtubī, A. ' (2003/1423). al-Jāmi' li aḥkām al-Qur'ān. (H. S. al-Bukhārī, Ed.) Riyād: Dar 'Ālam al-Kutub.
- [5] Shātibī, A. I. (1417/1997). al-Muwāfaqāt fī uṣūl ash-sharī'a (1 ed.). (A. ' Alu Salmān, Ed.) Saudi Arabia: Dār Ibn 'Affān.
- [6] Tirmidhī, A. ' (n.d.). Sunan at-Tirmidhī. (A. Shakir, Ed.) Beirūt: Dār Ihyā at-Turāth al-'Arabī.
- [7] Wāqidī, ' . -2. (1409/1989). Kitāb al-maghāzī (3 ed.). (M. Jones, Ed.) Beirūt: Dār al-A'lamī.

What kind of teacher opens facilitating ways for purposeful learning:?

Lokman Coskun

Lecturer at Beder University College

Abstract

For being a good teacher, a comprehensive outlook on both teaching materials and students' expectations seems to be an effective way, since this outlook might reflect the required characteristics of a good teacher through which the students can gain access to intended outcomes of the lesson. But what kind of teachers might have this outlook and what are their manifest characteristics? In this aspect, the intentional teachers are able to engender intended outcomes of the lessons, since these respective teachers consider the outcomes and prepare the lessons in accordance with the students' expectations for making it a success. Because the teachers play important role in order to make the lesson happen with the aid of their personal approaches/thoughts through which purposeful learning occurs. Intentional teachers have control over their actions and the lesson is under their responsibility and also according to Slavin (2017, p.6), the "intentional teachers constantly think about the outcomes they want for their students and about how each decision they make moves children toward those outcomes". Actually, teachers as the facilitator of the lessons and everything should be under their control for positive outcomes. As research methodology, literature review was used in this educational study. The researcher is of the opinion that the intentional teacher creates the learning opportunities for students smoothly and making a natural learning atmosphere through which both teacher and students are likely to show tendency for facilitating teaching/learning activity purposefully, since learning does not occur by force and it happens by students' enthusiasm. Evidently, intentional teacher prepares the respective students in accordance with the expectations of the students and takes this inspiration from the approach of John Dewey, since he emphasized the role of the teacher as a facilitator.

Keywords: comprehensive outlook, intentional teacher, facilitator, characteristics, outcomes, enthusiasm

Introduction

Teachers have important role for teaching, guiding and equipping the students with relevant strategies, methods and motivation, since teaching/learning is known as purposeful activity. Therefore, the teachers need to process this activity with intentionality and they also need the following characteristics in order to put into practice the teaching, guiding and equipping accordingly.

Slavin (2017) gives emphasis on the characteristics of intentional teacher as follows through which the students can acquire their own: awareness towards their respective learning processes, required time to process new concepts and skills, devotion for their mental energy to learning with the aid of motivation, need for enhancing long-term memory with the aid learning strategies and engaging in active learning, practicing for gaining automaticity in basic skills, need for organized information to have access to new concepts, need for effective study strategies and relevant opportunities to use them, need for facilitation about previously learnt concepts and new ones and need for having diminished mental interferences such as avoiding from learning easily confused topics at the same time.

Students need awareness towards their respective learning processes

Students' awareness help them have attention, interactions, meaningfulness and motivation towards the learning materials. In this regard, Lutz & Huit, (2003, p. 3-7) state that "attention does facilitate the integration and transfer of the information being attended, but it is impacted by many factors including the meaningfulness of the new stimulus to the learner" Actually, the "stimulus information is processed at multiple levels simultaneously (not serially) depending on characteristics, attention and meaningfulness".

At the same time, awareness can create attention through which the students can focus on the main points. Awareness can cause them to have positive social relations with the respective students and teachers. Awareness can help the students to figure out the meaningfulness of the particular lesson. Awareness can bring about motivation through which they can benefit from the outcomes of the lessons, since the lessons are under the control of an intentional teacher.

With the aid of awareness as above-mentioned, the students are able to stay with the respective teacher and with the particular learning materials. Concerning this point, Steiner (2014) states that "self-awareness is generally seen as an inwardly focused evaluative process in which individuals use reflection to make self-comparisons to reality and the feedback of others", it "results in implicitly creating a feedback loop that is critical to monitoring and controlling behavior" and also it "suggests that individuals who are more cognizant of how they are perceived by others are better at incorporating information from others into their self-appraisals and, ultimately, into their behavior" (Steiner, 2014).

Students need time to process new concepts and skills

Teachers always keep in mind that "how one learns, acquires new information, and retains previous information guides selection of long-term learning objectives and methods of effective instruction" (Lutz & Huitt, 2003, p. 1). Also, they are aware that information process does not occur in double quick time.

Each student processes information differently, for each student has different personality. To some extent, processing information reflects students' level of understanding. For someone it takes much time, for the latter it takes short time to comprehend the intended information. Therefore, whenever the respective teachers teach new concepts and expect from the students to learn new skills, they need to consider to give ample time to the students for absorbing the particular information. Because "the more deeply information is processed, the more that will be remembered" and also agree that "the more connections to a single idea or concept, the more likely it is to be remembered" (Lutz & Huitt, 2003, p. 7-8). At the same time, they need to know that as stated (How do I Improve), "intellectually challenging activities stimulate dendrite growth, which adds neural connections in the brain. The brain modifies itself to accommodate learning challenges regardless of age".

Concerning this point, the teachers also need to structure the instructions in order to create more connections, since "there are means of structuring instruction, though, that can incorporate the best of all of these ideas, and in order to help students reach higher-level thinking and learning skills" (Lutz & Huitt, 2003, p. 10).

Students need to devote their mental energy to learning with the aid of motivation

Lutz & Huitt, (2003) give emphasis on associations in the mental dictionary, they state "their associations to one another represent concepts" (Lutz & Huitt, 2003, p. 17). Herein, associations stand for the related connections between the words that focus on the same topics. Because the connections amongst the words reflect meaningful pictures between the information with one another, since meaningful and related concepts can do those pictures.

The students are likely to use their mental energy well/smoothly, if they have known relevant concepts in a particular topic. Actually, sensitively selected concepts that reflect the target topic might help the students to use their mental energy in a righteous way for learning. In this endeavor, those concepts are likely to keep the respective students on the track of learning with expected motivation.

Therefore, the more the teachers are aware of the relevant concepts, the more they will make connections between the concepts and the particular topic. The more the students have known the concepts of particular topic, the more they are likely to be motivated towards learning topic. It can be said that righteous/relevant concepts can open ways for better motivation towards positive outcomes of the lesson through relevant concepts.

Students need to enhance long-term memory with the aid of learning strategies and engaging in active learning

In relation to long term memory, the scientists focus on both the repetition of a new experience and practice; since this repetition "causes neural firing across synapses between nerve cells" and the "practice makes the bonds between surrounding cells increasingly stronger and gets more neurons involved" and as a result of this, the "whole network of neurons taking part in remembering the skill, word, or event" or concepts (How do I Improve).

Therefore, the teachers need to consider learning strategies which engender students' actively engagement in learning particular topic. Firstly, the teachers can help students to "improve their long term memory by participating in activities that

they enjoy and recollecting such memories through quizzes and games” and secondly, teachers need to keep in mind that “long term memory can also be improved through different tasks and activities related to the concept to be learned, and also by connecting field trips and other experiences to subject content” (How do I Improve).

Students need practice for gaining automaticity in basic skills

As mentioned in the proverb: ‘practice is the best teacher’. So that, if more practice is done in the same activity, that can make ways for automaticity in learning. Because “automaticity is the ability to do things without occupying the mind with the low level details that are required; this is usually the result of learning, repetition, and practice” (Automaticity in Language teaching).

At the same time, Lutz & Huitt (2003, p. 4) emphasized the “automaticity allows attention to be redirected to other information or stimuli and allows for the ability of multi-tasking without distracting totally from the acquisition of new information”. Therefore, the respective students might have opportunities for acquiring other new information; since they will use less effort for the learnt information and they will use their remaining effort for learning new information. Like this, they are likely to gain basic skills such as; devoting their efforts towards learnt information through practice and due efforts towards new information.

Students need organized information to have access to new concepts

People need organization everywhere in order to classify the stuffs smoothly and put them in order and also to reach them accordingly. This happens even in a small market. In this regard, our brain works in organized fashion like a computer. In case, we need information, we need to have resort to various relevant files in the brain in order to retrieve information for any usage, since this organization can facilitate any finding again.

Organization information opens ways for easy access to the students. Therefore, the respective teachers are aware of how important the organized information for delivering a good instruction and making the learning materials understandable. Because a new topic includes new concepts that are in need of organization for better comprehension. The teachers never forget that as Alderman (2014) emphasized, they need to give their time and efforts in order to store information in organized fashion for the good access and search of the students.

Students need effective study strategies and relevant opportunities to use them

The teachers need to focus on semantic memories of the students through which the students are likely to learn study strategies and use the facts on the ground accordingly. Semantic memory stands for that it is “the central focus of most current study because it houses the concepts, strategies and other structures that are typically used for encoding new information” (Lutz & Huitt, 2003, p. 6). It “is a system for receiving, retaining, and transmitting information about meaning words, concepts and classification of concepts” (Tulving, 1972, p. 402). Also, it “deals with general, abstract information and can be recalled independently of how it was learned” (Lutz & Huitt, 2003, p. 6).

With the aid of semantic memory, the students are able to use the facts on the ground, since they can remember the facts they have already learned and tested and they can put into practice the basic information in their jobs and also more importantly they will be knowing the world around them. Therefore, without semantic memory people cannot know real life matters such as how birds fly, what color is the sea, what a book is, what a computer is etc. (Beasley, 2018).

Students need facilitation about previously learnt concepts and new ones

As John Dewey mentioned that teacher is a facilitator that stands for creating more learning opportunities for students in order to make learning occur, since expected guidance from the respective “teacher is likely to give a big hand to the students to use all their capacities through which they are able to find out their weak and strong points. At the same time, they will be aware of using their freedom for expressing themselves in learning environment” (Coskun, 2016, p. 65).

Also “John Dewey used the word the teacher as facilitator meaning that the particular teacher has the role of making learning process easier and also directing learning activity overall. Both role causes actively participating of the students towards learning” materials (Coskun, 2016, p. 61).

Like that, the teachers are not only able to channelize the students towards learning materials but also help the students find the atmosphere very helpful for learning and try to learn both old and new relevant concepts accordingly. So that,

facilitating and monitoring role of the teacher might give positive contributions to learning both mentioned concepts. Because facilitating role will open the ways for explaining the concepts in accordance with the understanding level of the students and monitoring role will help students in terms of doing relevant exercises in the class or assigning relevant homework later on.

Students need diminished mental interferences

Interference constantly occurs in learning process. It happens knowingly or unknowingly. But what is the interference in learning? Shrestha (2017) explains as; "interference theory refers to the occurrence of interaction between new learned material and past behavior, memories or thoughts that cause disturbance in retrieval of the memory. Based on the disturbance caused in attempts to retrieve past or latest memories".

Respective teachers focus on how this disturbance in retrieval of the memory happens? This is natural outcomes of learning process. During this process, the students are likely to have interaction between new learned materials and old learned materials. In this regard, the teachers constantly consider relevant class activities, tests, quizzes and other types of practice in order to reduce interferences through which they can diminish mental interferences of their students.

Conclusion

Teaching and learning process includes methods, strategies, motivation etc. But first and foremost, the enthusiasm of both teacher and students appear as a must, because without enthusiasm, teaching/learning does not occur. Intentional teacher can offer this opportunity towards the respective students in the lessons.

The researcher is of the opinion that purposeful learning is the main focus of the intentional teacher. Because that main focus creates the learning opportunities for students smoothly and making a natural learning atmosphere positively through which both teacher and students are likely to show tendency for facilitating teaching/learning, since learning does not occur by force and it happens by students' enthusiasm. Evidently, intentional teacher prepares the respective students in accordance with the expectations of the students and takes this inspiration from the approach of John Dewey, since he emphasized the role of the teacher as a facilitator.

References

- [1] Alderman, J. (2014). "Information: What Is It? How Is It Organized?" *Beginning Library & Information Systems*.
- [2] Automaticity in Language Teaching & Learning. (n.d.). Retrieved April 10, 2019, from [https://sites.educ.ualberta.ca/staff/olenka.bilash/Best of Bilash/automaticity.html](https://sites.educ.ualberta.ca/staff/olenka.bilash/Best%20of%20Bilash/automaticity.html)
- [3] Beasley, N. (2018, June 20). Why Semantic Memory Is Important. Retrieved April 10, 2019, from <https://www.betterhelp.com/advice/memory/why-semantic-memory-is-important/>
- [4] Coskun, L. (2016). Is the teacher a facilitator or a monitor? *Beder Journal of Education Sciences*, 12, 61-67.
- [5] How do I Improve Long Term Memory in Students? (n.d.). Retrieved April 8, 2019, from <https://k12teacherstaffdevelopment.com/tlb/how-do-i-improve-long-term-memory-in-students/>
- [6] Lutz, S., & Huijt, W. (2003). Information processing and memory: Theory and applications. *Educational Psychology Interactive*, 1-17.
- [7] Shrestha, P. (2017, November 17). Proactive and Retroactive Interference. Retrieved April 17, 2019, from <https://www.psychestudy.com/cognitive/memory/proactive-retroactive-interference>
- [8] Slavin, R. E. (2017). *Educational Psychology-Theory and Practice* (12th ed.). New York, NY: Pearson.
- [9] Steiner, P. (2014, August 19). The Impact of the Self-Awareness Process on Learning and Leading. Retrieved April 2, 2019, from <https://nebhe.org/journal/the-impact-of-the-self-awareness-process-on-learning-and-leading/>
- [10] Tulving, E. (1972). Episodic and semantic memory. *Organization of memory*, 1, 381-403.

Statistical Process Control (SPC) and Quality Management Systems as a Specialty of Quality Management and Case Turkey

Semih Dönmezer

Anadolu University, Turkey

Abstract

Concept of quality, quality assurance, quality policy and quality management have long since become indispensable in economic aspects. Quality management systems and their meaning are no longer discussed every now and then they have become reality and economic necessity. Also, in public administration, in politics, in education and in the non-profit sector, declarations of quality and their steering and securing are of fundamental importance. The general trend is higher expectations as to the quality of the most diverse products - whether physical products or services - is accompanied by the growing awareness that only through continuous and consistent improvements. A high product quality adds to satisfy the needs of the population. Therefore, the extraction of high-quality information based on the measurement technology. The measurement technology is integrated into the production process maximally strongly.

Keywords: Total Quality Management, Quality in Industry, Quality Management Testing

Introduction

Among the competitive factors of industrial companies, quality has one particular importance. It was used over longer periods as a property for which had to be paid extra or longer delivery times. This change was only possible through corresponding developments in the production processes. With that comes the Product or process quality a central role in industrial operation; quality control has become the original task of company management and one comprehensive quality management (Total Quality Management) is one of the primary leadership functions. Among the competitive factors of industrial companies, quality has one particular importance. It has been used over longer periods as living conditions and environment have been through the centuries again influenced and changed by new production methods.

Understanding Quality

The customer's perception of quality on products varies between customers and it could also vary for the same product of organization. Hence, it would be difficult to evolve a generic definition of quality. Understanding quality is more relevant than defining it. The philosophical description of quality is appropriate for understanding quality and some of the descriptions are:

- The pursuit of perfect that never ends,
- Quality is the fulfilment of needs,
- Quality is the degree of feeling happiness,
- Quality is the way of life.¹

Quality Management System

Quality management system (QMS) is planned and established by documenting procedures for the processes of organization to fulfill the needs and expectations of internal and end customers. The international standard, ISO 9001, specifies the requirements of quality management system (QMS) to consistently provide products that meet customer and

¹ Slack N, Roden S (2015) internal customer–supplier relationships. Wiley Encyclopedia of Management

applicable statutory and regulatory requirements¹. The standard is applied by many organizations throughout the world. ISO 9001 QMS processes are organized representing the four steps of Plan-Do-Check-Act (PDCA) cycle. Documented procedures and product related engineering documents are established for the processes integrating the needs and expectations of internal and end customers².

Evolution of Total Quality Management

The historical evolution of Total Quality Management has taken place in four stages.

They can be categorized as follows:

1. quality inspection
2. quality control
3. quality assurance
4. Total Quality Management.

With further industrial advancement came the second stage of TQM development and quality was controlled through supervised skills, written specification, measurement and standardization. During the Second World War, manufacturing systems became complex and the quality began to be verified by inspections rather than the workers themselves. Statistical quality control by inspection—the post-production effort to separate the good product from the bad product—was then developed and Total Quality Management. The development of total quality management from 1950 onwards can be credited to the works of various American experts. Among them, Dr Edward Deming, Dr Joseph Juran and Philip Crosby have contributed significantly towards the continuous development of the subject.

According to Deming (1982), organization problems lie within the management process and statistical methods can be used to trace the source of the problem. In order to help the managers to improve the quality of their organizations he has offered them the following 14 management points.

- 1) Constancy of purpose: create constancy of purpose for continual improvement of product and service.
- 2) The new philosophy: adopt the new philosophy. We are in a new economic age, created in Japan.
- 3) Cease dependence on inspection: eliminate the need for mass inspection as a way to achieve quality.
- 4) End 'lowest tender' contracts: end the practice of awarding business solely on the basis of price tag.
- 5) Improve every process: improve constantly and forever every process for planning, production and service.
- 6) Institute training on the job: institute modern methods of training on the job.

Dr. Joseph Juran (1980) through his teaching was stressing the customer's point of view of products' fitness for use or purpose. According to him a product could easily meet all the specifications and still may not be fit for use or purpose. Juran advocated 10 steps for quality improvements as follows:

- 1) Build awareness of the need and opportunity for improvement.
- 2) Set goals for improvement.
- 3) Organize to reach the goals (establish a quality council, identify problems, select projects, appoint teams, designate facilitators).
- 4) Provide training.
- 5) Carry out projects to solve problems.

¹ Borawski P (2011) Toward a definition of quality, American society for quality. Future of quality study

² Dhanasekharan Natarajan, ISO 9001 Quality Management Systems, Springer International Publishing AG 2017

- 6) Report progress.
- 7) Give recognition.
- 8) Communicate results.
- 9) Keep score
- 10) Maintain momentum by making annual improvement part of the regular systems and processes of the company.

However, Crosby (1982) on the other hand was not keen to accept quality which is related to statistical methods. According to him quality is conformance to requirement and can only be measured by the cost of non-conformance. Crosby provides four absolutes and the 14 steps for the quality improvement process. His four absolutes are:

1. Definition of quality—conformance to requirements.
2. Quality system—prevention.
3. Quality standard—zero defects.
4. Measurement of quality—price of non-conformance¹.

Quality Control Definition.

Describing the quality control process. “Quality control” is a universal managerial process for conducting operations so as to provide stability—to prevent adverse change and to “maintain the status quo.” To maintain stability, the quality control process evaluates actual performance, compares actual performance to goals, and acts on the difference.

Quality control is one of the three basic managerial processes through which quality can be managed.

Joseph M. Juran stands for a management-oriented corporate philosophy, in a systematic, continuous improvement process in three stages which is referred to as a quality trilogy or Juran trilogy. The Trilogy consists of the step’s quality planning, quality control and Quality improvement.

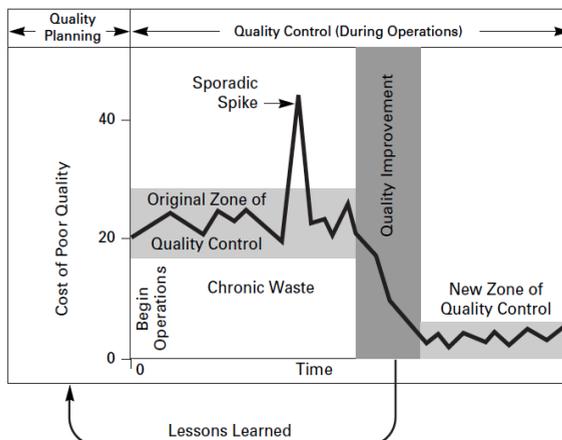


Figure 1; The Juran trilogy diagram². (Juran Institute, Inc., Wilton, CT.)

¹ Dahlgard Jens J, Fundamentals of Total Quality Management Process analysis and improvement, Taylor & Francis 2002

² Juran M. Juran, Juran's Quality Handbook, 5e. Mc Graw Hill Professional

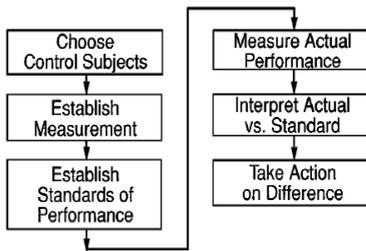


Figure2. The input-output diagram for the quality control process.

Quality goals may also be established for departments or persons. Performance against such goals then becomes an input to the company's reward system. Ideally such goals should be:

Legitimate: They should have undoubted official status.

Measurable: So that they can be communicated with precision.

Attainable: As evidenced by the fact that they have already been attained by others.

Equitable: Attainability should be reasonably alike for individuals with comparable responsibilities.

Control subject.	Goal
Vehicle mileage	Minimum of 25 mi/gal highway driving
Overnight delivery morning	99.5% delivered prior to 10:30 a.m. next
Reliability service	Fewer than three failures in 25 years of
Temperature	Minimum 505°F; maximum 515°F
Purchase-order error rate orders	No more than 3 errors/1000 purchase
Competitive performance	Equal or better than top three competitors on six factors
Customer satisfaction	90% or better rate, service outstanding or excellent
Customer retention	95% retention of key customers from year to year
Customer loyalty	100% of market share of over 80% of customers

The Process. In all of the preceding discussion we have assumed a process. This may also be human or technological or both. It is the means for producing the product features, each of which is a control subject. All work is done by a process which consists of an input, labor, technology, procedures, energy, materials, and output. For a more complete discussion of process. The PDCA Cycle. There are many ways of dividing the feedback loop into elements and steps. Some of them employ more than six elements; others employ fewer than six. A popular example of the latter is the so-called PDCA cycle (also the Deming wheel). Deming

(1986) referred to this as the Shewhart cycle, which is the name many still use when describing this version of the feedback loop.

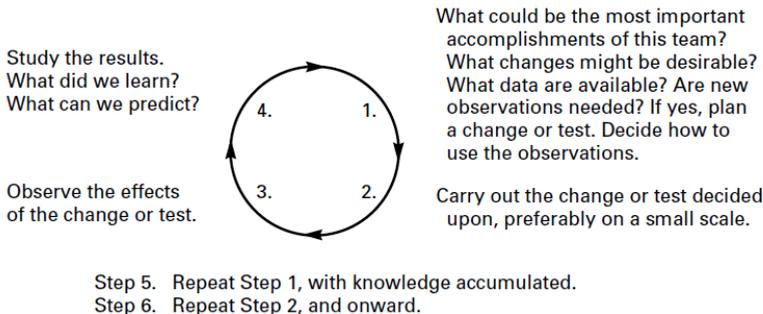


Figure 3. The PDCA cycle. (Deming, 1986.)

These steps correspond roughly to the six steps discussed previously:

“Plan” includes choosing control subjects and setting goals.

“Do” includes running the process.

“Check” includes sensing and umpiring.

“Act” includes stimulating the actuator to take corrective action.

Statistical Process Control (SPC).

The term has multiple meanings, but in most companies

it is considered to include basic data collection; analysis through such tools as frequency distributions, Pareto principle, Ishikawa (fish bone) diagram, Shewhart control chart, etc.; and application of the concept of process capability. Advanced tools, such as design of experiments and analysis of variance, are a part of statistical methods but are not normally considered to be a part of statistical process control¹.

Deming’s Fourteen Points for Management.

1. Create constancy of purpose for improvement of product and service.
2. Adopt the new philosophy.
3. Cease dependence on mass inspection.
4. End the practice of awarding business on the basis of price tag alone.
5. Improve constantly and forever the system of production and service.
6. Institute training.
7. Adopt and institute leadership.
8. Drive out fear.
9. Break down barriers between staff areas.
10. Eliminate slogans, exhortations, and targets for the work force.
11. Eliminate numerical quotas for the work force; eliminate numerical goals for people in management.
12. Remove barriers that rob people of pride of workmanship.
13. Encourage education and self-improvement for everyone.
14. Take action to accomplish the transformation.

Deming’s Deadly Diseases.

1. The crippling disease: lack of constancy of purpose
2. Emphasis on short-term profits
3. Evaluation of performance, merit rating, or annual review
4. Mobility of management
5. Running a company on visible figures alone (counting the money)
6. Excessive medical costs
7. Excessive costs of liability²

ISO 9000

The International Organization for Standardization (ISO) is a global body headquartered in Geneva, Switzerland, that develops consensus standards for worldwide use. The organization’s short title “ISO” is not a fractured acronym, but rather an adaptation of the Greek word isos, which translates to English as “equal.” The American National Standards Institute (ANSI) is the U.S. member of ISO. The American Society for Quality (ASQ) is a member of ANSI and is responsible for

¹ Juran M. Juran, *Juran’s Quality Handbook*, 5e. Mc Graw Hill Professional

² From Deming, W.E., *Out of the Crisis*, The MIT Press, Cambridge, MA, 2000, pp. 97–121.

quality management standards. It publishes standards in the ANSI/ISO/ASQ-Q9000 series that are the U.S. equivalent of standards published by ISO. The ISO 9000-series of standards addresses quality management systems.

The series includes three standards:

1. ISO 9000, Quality management systems—Fundamentals and vocabulary
2. ISO 9001, Quality management systems—Requirements
3. ISO 9004, Quality management systems—Guidelines for performance Improvements.

ISO 9001 is a specification standard. If an organization wishes to become certified or registered—the terms mean the same thing, only the conventions of use differ—it would have to conform to the requirements in ISO 9001. Organizations can self-declare conformance or can hire a third-party registrar. Third-party certifications are generally viewed as more objective. ISO 9004 is a guidance standard. It provides additional, useful information about

quality management. Nothing in it is required for certification. Generally, ISO 9004 contains elements on which international consensus could not be reached and, therefore, could not be included in ISO 9001. Neither ISO 9001 nor ISO 9004 are performance standards¹.

Control Chart

Total number of defects, total number of samples taken, and the average defects per sample (the mean) are taken directly from the chart. Sample size was predetermined. Other numbers are calculated as follows:

Total number of observations = Sample size times total number of samples taken

Defect proportion of total = Total number of defects divided by total number of observations

In an np chart, control limits are derived according to the following formula: The mean plus or minus three times the square root of the mean times one minus the proportion or

Mean \pm 3 $\sqrt{\text{mean}(1 - \text{proportion})}$

the mechanics of control chart construction have been completed, evaluation of the data can begin. Control charts are described as the “voice of the process” because they indicate how the process is performing. The project manager’s question about what kind of results can be expected is answered by the control limits. These values are derived statistically to show the range of normal process performance. As the process is currently performing, any sample of fifty reports may be expected to include one to eighteen defective reports. This range of defects will not change in the future unless the process is changed. Any repeatable process includes variation. Results are not precisely the same; results will vary. How much will they vary? The control chart defines the upper and lower extremes. It tells managers what they may reasonably expect from the process².

Process Capability Analysis, Formulas, Definitions

Process capability analysis is a set of tools used to find out how well a given **process** meets a set of specification limits. ... Sometimes it compares to a specification target as well. **Process capability** indices are usually used to describe the **capability** of a **process**. **Cp** and **Cpk**. **Cp** and **Cpk**, commonly referred to as process capability indices, are used to define the ability of a process to produce a product that meets requirements. ... Specifications: Specifications define product requirements. In other words, they define what is expected from an item for it to be usable. **Cp** and **Cpk** are statistical tools that are used to measure how good a process is (how capable it is) to produce parts within a specified tolerance. **Cp** is called Process Capability and **Cpk** is called Process Capability Index. ... **Cp** and **Cpk** are two important parameters in Statistical Process Control.

¹ Kenneth H. Rose, Project quality management: why, what and how, PMP. Second edition, 2014

² Kenneth H. Rose, Project quality management: why, what and how, PMP. Second edition, 2014

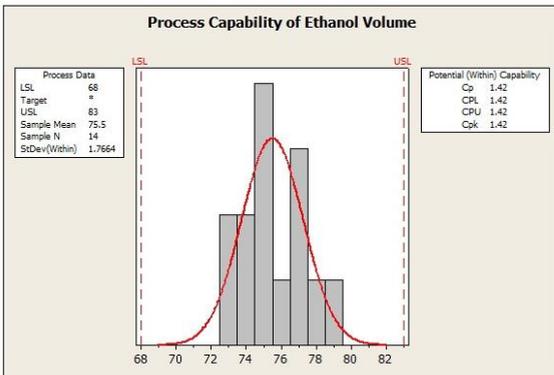


Figure 4. Process Capability

The two statistics have a lot in common. The smaller the standard deviation, the greater both statistics are. In fact, under the right conditions, Cp and Cpk have exactly the same value. Here's some data about the volume of ethanol in E85 fuel, which I've manipulated so that Cp and Cpk are the same. Minitab's capability analysis output shows both statistics together¹.

$$\begin{aligned}
 CPU &= \frac{(USL - \mu)}{(3 * \sigma_{Within})} & PPU &= \frac{(USL - \mu)}{3 * \sigma_{Overall}} \\
 CPL &= \frac{(\mu - LSL)}{(3 * \sigma_{Within})} & PPL &= \frac{(\mu - LSL)}{3 * \sigma_{Overall}} \\
 Cpk &= \text{minimum}\{CPU, CPL\} & Ppk &= \text{minimum}\{PPU, PPL\}
 \end{aligned}$$

The goal of capability analysis is to ensure that a process is capable of meeting customer specifications, and we use capability statistics such as Cpk and Ppk to make that assessment. If we look at the formulas for Cpk and Ppk for normal (distribution) process capability, we can see they are nearly identical:

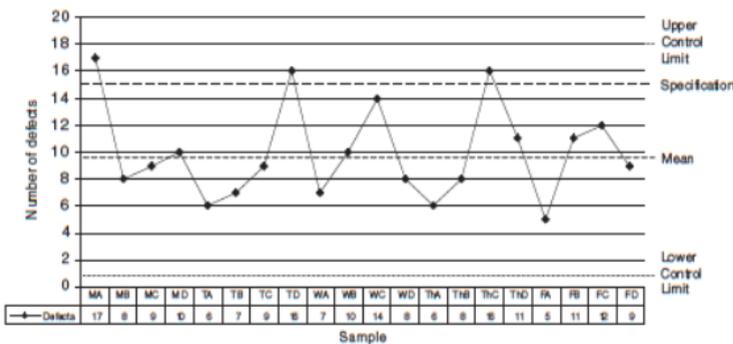


Figure 5. Control Chart with specification²

Quality Costing

Quality costing is not an exercise which is going to solve organizational problems or have an impact on performance. Quality costing can be considered as a means to an end, to help improve quality and help companies reach their quality

¹ Kenneth H. Rose, Project quality management: why, what and how, PMP. Second edition, 2014
² Durakbasa. N. Total Quality Control in Industry- TU Wien

targets. Quality costing is a process-related exercise rather than for product control. The intention of quality costing is to spur some positive action as has been acted; There are two approaches to quality costing:

The traditional model or PAF mode¹ where the pattern of quality costing includes Prevention, **Appraisal and Failure**: These tend to decrease as quality improvement becomes more and more an integral part of business operations. PAF costs include the

Prevention costs: Costs of quality systems, quality training and education;

Appraisal costs: Costs of performing quality inspection and audits in-house as well as audits of suppliers;

Failure costs (external): Costs associated with failures discovered outside the plant. These affects both cost and reputation;

Failure costs (internal): Costs associated with failures discovered inside the plant.

Process-based costing: A more radical approach to costing is one which considers the Cost of Quality (COQ) to be made up of two distinct components the price of conformance¹.

Multivariate Process Control

Statistical process control charts are well developed for univariate cases. By univariate case we mean treating one variable at a time. However, in many real industrial situations, the variables to be controlled in the process are multivariate in nature. For example, in an automobile body assembly operation, the dimensions of subassemblies and body-in-white are multivariate and highly correlated. In the chemical industry (Mason and Young, 2002), many process variables such as temperature, pressure, and concentration are also multivariate and highly correlated. A multivariate control chart that is based on the T^2 statistic, which is a multivariate statistic similar to the t statistic in the univariate case, can be used to develop control charts for process control in multivariate cases².

Applications of Multivariate Statistical Methods in Business and Industry

Though the quantity of literature available on applying multivariate statistical methods in quality engineering area is limited, multivariate statistical methods have been playing important roles in many areas of business and industrial practice. The most noticeable include data mining, chemometric, variation reduction in automobile manufacturing process, Mahalanobis Taguchi system applications, and multivariate process control in chemical industry. In this section, brief reviews will be given to applications in these areas³.

Data Mining

Data mining is a process of analyzing data and summarizing it into useful information. In business application of data mining, useful information derived from data mining can be used to increase revenue, cut costs, or both. Data mining is primarily used by companies with strong customer focus such as retail, financial, communication, and marketing organizations. It enables these companies to determine relationships among internal factors such as price, product positioning, or staff skills, and external factors such as economic indicators, competition, and customer demographics. Data mining enables companies to determine the

impact of these factors on sales, customer satisfaction, and corporate profitability, and to develop marketing and sales strategy to enhance corporate performance and cut down losses⁴.

¹ Mohamed Zairi, Total Quality Management For Engineers, Woodhead Limited, 1991

² Mohamed Zairi, Total Quality Management for Engineers, Woodhead Limited, 1991

³ Mohamed Zairi, Total Quality Management for Engineers, Woodhead Limited, 1991

⁴ Kai Yang, Multivariate Statistical Methods and Quality, Mc Graw Hill, Engineering Reference

Business Process

There are two somewhat different interpretations of business process among the process movements. One is of a process as a workflow, a series of activities aimed at producing something of value, the other, of a process as the coordination of work, whereby a set of skills

and routines is exploited to create a capability that cannot be easily matched by others. A business process is defined as a collection of activities that takes one or more kind of inputs and creates an output that is of value to the customer. A process is a structured, measured set of activities designed to produce a specified output for a particular customer or market.... A process is thus a specific ordering of work activities across time and space, with a beginning, an end, and clearly identified inputs and outputs: a structure for action.

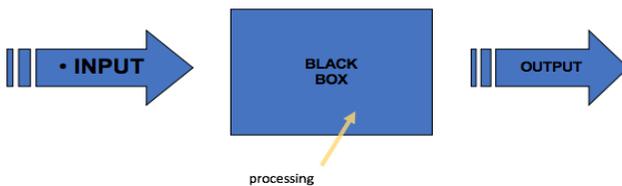


Figure 6. What is process?

A process is a series of steps and decisions involved in the way work is completed. We may not realize it, but processes are everywhere and in every aspect of our leisure and work. A process consists four major elements:

Steps and decisions — the flowchart. A series of steps and decisions describing the way work is completed. Variability of processing time and flow — the pattern of processing times. Timing and interdependence — when the arrivals happen, when people work, etc. Assignment of resources — how many and where are they assigned.

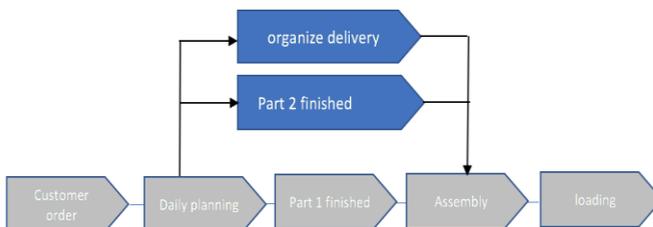


Figure 7. Parallel process

Parallel activities in process; A Parallel node represents a point in a business process at which a number of activities are executed in parallel. By default, parallel nodes contain an AND join condition. In this case, the activities on all branches must complete before the flow of execution proceeds to the node following the parallel node¹.

Total Quality Management Application in Small-Sized industry in Turkey

Small and medium-sized enterprises or small and medium-sized businesses are businesses whose personnel numbers fall below certain limits. The abbreviation "SME" is used by international organizations such as the World Bank, the United Nations and the World Trade Organization. Under the difficult competition conditions imposed by globalization; It is now a must for large-thinking SMEs. Total Quality Management approach will make a significant contribution in overcoming the

¹ Durakbasa. N. Total Quality Control in Industry- TU Wien

managerial problems of SMEs. In this respect, it is necessary a customer-oriented management style is becoming increasingly important in the activities of SMEs.

It contributes to the reduction of unemployment in the country due to the employment of SMEs with using labor-intensive technology. They are able to adapt and produce demand changes and variations in a shorter period of time, using inputs such as raw materials, semi-finished materials, operating material used by large-scale enterprises. Producing SMEs in order to complete their development and thus to create a supplier industry in the economy and to produce the same goods and services produced by large-scale enterprises and to revitalize the economy by attracting them to the competitive environment makes SMEs very important for the country.

Total Quality Management is not only a system for quality but also covers all aspects of the enterprise and its activities with a system approach. It is an understanding based on change in human behavior, methods and techniques applied in processes, work environment, product or service, and thus continuous development in organizational culture. Therefore, Total Quality Management is a process that shows itself in all areas of technical and managerial areas, from personnel to all processes in which raw material is used. It can be considered the basic elements of Total Quality Management as leadership of senior management, human understanding first, full participation, continuous improvement-development and customer focus.

Due to the fact that the structures of large-scale companies are not flexible at the moment and they cannot move fast according to development exactly, so they have increased the number of medium-sized firms by breaking out of the service and production departments.

Increasing in import and export activities due to the obligations of internal and external agreements and regulations it became more important¹.

How to implement by the new form of management and it will be consisted of every step must be carefully planned. In the implementation of Total Quality Management, plan should be established and implemented with seriousness².

Strengths of SMEs in TQM Applications

In order for the Total Quality Management application to be successful, the leadership of the senior management should play a very important role. SMEs have a great advantage in this regard. Because in SMEs, owner manager or general manager in the organization can apply in the importance of quality. The decision-making process will be shorter since SMEs have little management layer. In addition, the decision-making power will be high due to the small number of decision-makers. On the other hand, the easy communication and coordination between the employees and the easy access of the employees to the managers will facilitate the organization of multifunctional activities. Employees in SMEs generally have a sense of responsibility and sensitivity about the profitability of the enterprise. Therefore, it will be easy to direct them to develop their business. Because employees are aware of the direct effect of the results themselves and can easily observe that their labor is transformed into visible results. In general, SMEs operate as a single enterprise and they are not dispersed facilitates the implementation of Total Quality Management.

Weaknesses of SMEs in TQM Applications

Significant majority of SMEs cannot reach their expectations due to difficulties in the transition phase. To see the quality of quality circles applications as the ultimate purpose, to try to implement the system without changing and develop the system in full time or to get the ISO 9000 standard certificate, to consider the process development as the only development of production processes and to ignore the development of management processes, persons and units. The competition between the internal communication and the flow of information are important factors preventing the development of the system. To see the enough the quality of quality circles applications as the ultimate purpose, to try to implement the system of JIT without changing their system. Sometimes it is enough to get the ISO 9000 standard certificate. The other

¹ Gücelioğlu, Ö. Küçük Ölçekli İşletmelerin KOSGEB'den Beklentileri. Ankara: Tes-Ar Yayınları, No.13, 1994.

² Geylan, F., Gerem, T. "KOBİ'lerde Toplam Kalite Yönetimi-GİLAN", 6. Ulusal Kalite Kongresi Toplam Kalite Yönetimi ve Ekonomi Yönetiminde Kalite. İstanbul: TÜSİAD Yayını, 1997.

reasons are that ignoring the development of process management processes as the development of production processes, ignoring the development of management processes, preventing the internal communication and the flow of information between individuals and units are important factors that prevent the development of the system¹.

The lack of professional managers in the top management in SMEs, lead to new managerial problems within the knowledge gained by experiences, the failure to delegate power and not working with an expert / consultant outside the organization cause irreparable errors. Problem solving (quality circles) or process development (kaizen) groups created by subordinates in SMEs can disturb experts / engineers to solve some problems with their work. As a result, there is a tendency not to help groups and to provide information.

The existence of a competition due to the sharing of managerial power or the ambition of promotion among middle level managers and engineers and experts negatively affects the success of Total Quality Management. Implementation of Total Quality Management in SMEs will help to improve the competitive position of enterprises as well as achieving superior goods and service quality. In addition, the success of quality improvement activities of large enterprises generally depends on the efficiency of SMEs, who are supply providers, in quality improvement.

Nowadays, businesses have to know what the customer wants, how, how, when and at what price. SMEs want to implement Total Quality Management, which develops as a customer satisfaction-oriented system, need to carry out an understanding exchange. This change of understanding requires the redefinition of objectives, product-service quality, the role of management, the role of employees, the relations with environmental elements such as suppliers, customers and the society in general, in line with the principle of continuous change. It is a prerequisite for SMEs to accept Total Quality Management as a tool, not a goal, in achieving quality. However, it may not correct to apply the approaches applied in large enterprises directly to SMEs. Total Quality Management for Large-Thinking SMEs with a continuous change and development goal should be seen as an investment with long-term returns.

Why Total Quality Management Practices in Turkey cannot reach to the expectation?

Not practice on planning? Production planning, product planning, dynamic budget planning is missing or at the lowest level.

Economic stations: The economic environment of the Turkey varies so much as to prevent the results of scientific management, and does not allow the analysis and estimations to provide the resources for the development of the right strategies and plans.

Insufficient quality education: The resources and funds for education is not allocated for in small and medium sized organizations in our country.

Not working with the consultant:

- The most effective way to implement quality systems is to work with consultants.
- Consultants play the role of reliable referee.
- Companies that cannot allocate time to work in the quality system should get help from consultant companies.

Lack of technological infrastructure: planning and statistics habits facilities required by our age of computer technology for the acquisition and settlement in Turkey are required to provide a total quality management application.

Communication Problem: One of the important problems of Turkey is disconnection of communication between universities and the business world.

Non-professional management structure and leadership:

¹ Türkmen, İ. "KOBİ'lerde Toplam Kalite Yönetimi Amaçlı Katılımcı Yönetim ve Örgüt Geliştirme Uygulamaları", 6. Ulusal Kalite Kongresi Toplam Kalite Yönetimi ve Ekonomi Yönetiminde Kalite. İstanbul: TÜSİAD & KALDER Yayın, 1998.

- Management has not got rid of the traditional structure in which the authority in the capital owner has been centralized.
- Persons at management level should lead and participate in TQM¹.

Conclusion

How is success succeed?

- Applications of companies with successful business results should be examined
- TQM models suitable for our country should be developed.
- TQM should not be applied to receive documents but should be maintained.
- All employees of the firm must own quality work.

¹ <https://receptakaya.wordpress.com/2016/05/25/turkiyede-toplam-kalite-yonetimi-uygulamalarindan-istenilen-verim-neden-alinamiyor/>

Dispositions of Adults with Low Education Levels, and Who Haven't Returned to Formal Education, Towards Lifelong Learning

Vanessa Carvalho da Silva

PhD Student Sociology at ISCTE-IUL - Instituto Universitário de Lisboa (3rd year)

Abstract

This study aims to determine how adults with low education levels perceive lifelong education by analysing a set of interconnected and complementary aspects. The methodological strategy focussed on a qualitative analysis based on semi-directive interviews of a biographical nature. Identifying the reasons for the abandonment of initial (formal) education and obstacles faced by these adults over time revealed a myriad of factors justifying their disengagement from available education offers. To understand the amplitude of a phenomenon that links lifelong learning, knowledge, literacy and education level, in situations of a non-return to formal education, the study involved an in-depth analysis of the dispositions of persons who have "remained outside" of this relation with learning.

Keywords: Lifelong learning, knowledge society, adults with a low education level, dispositions.

Introduction

The centrality conferred on knowledge and information synchronically transformed schooling into an essential resource and indicator of inequality(educational). Converted into a leitmotiv of resource inequalities (Therborn, 2006), or category inequalities (Massey, 2007) - expressed in unequal distributions of educational resources, threatens the realization of an equal opportunity assumption.

The concept of a knowledge society (Drücker, 1969), in spite of the discussions that it provoked, has in its genesis the speed of social change (Jarvis, 2004: 15). Thus, in order to deal with these deeper and more systematic changes (idem), schooling has been understood as a vehicle for full integration of citizens in societies, protecting individuals from situations of precariousness and marginalization. Formal education thus becomes part of the relevant to the process of creating conditions for the realization of lifelong learning (LLL), considered a necessary strategy for adapting to a changing society, happens at an unprecedented speed¹.

Objectives

The purpose of this exploratory study can be summed up in the need to outline the first lines for a deeper understanding of the relationship that low-educated adults have with education and lifelong learning. The questions that served as a guideline for this research were: to know the reasons why the active adult population (between the ages of 30 and 65) and low educated (covering levels of schooling between ISCED 1 and ISCED 2) did not attend adult education and training, or attended unsuccessfully; to explore their trajectories, exploring the different relationships that they establish through learning; understand what it means to live in society knowledge with low school qualifications; capture their perception about their non-participation in formal education / training modalities; understand if there are differences in the way of 'looking' at adult education and initial education, and identify them in the light of the interviewees' discourse.

Given what has been said, the analysis model presents as a central object the relationship of these adults with lifelong learning. Therefore, we sought to understand this relationship diachronically through their school trajectories, professional and training. The identification of its dispositions on education, adult education and training (AE) and Lifelong Learning (LLL) has been complemented by gathering information on its social origins and its proximity networks. Exploring the different views and expectations, held overreach one of its forms, it was tried to capture the experience of a distance with

¹ *Educação e Transformação social* (Enguita, 2007)

the formal education and the constraints felt in the day to day of those who have low levels of schooling and moves in the designated society of the knowledge. In order to observe these obstacles, Jarvis typology was used (Jarvis, 1992: 245).

Given what has been said, the analysis model presents as a central object the relationship of these adults with lifelong learning. Therefore, we sought to understand this relationship diachronically through their school trajectories, professional and training. Identification of its provisions on education, adult education and training (AE) and Lifelong Learning (LLL) has been complemented by gathering information on its social origins and its proximity networks. Exploring the different views and expectations, held overreach one of its forms, it was tried to capture the experience of a distance with the formal education and the constraints felt in the day to day of those who have low levels of schooling and moves in the designated society of the knowledge. In order to observe these obstacles, Jarvis typology was used (Jarvis, 1992: 245). Aware that the analysis of this relationship with LLL should always be multidimensional, responding to the innumerable challenges that make up the daily life of adults in today's societies, we worked on the interconnection of all these dimensions, reserving the continuum that seems to exist between 'cause and effect'.

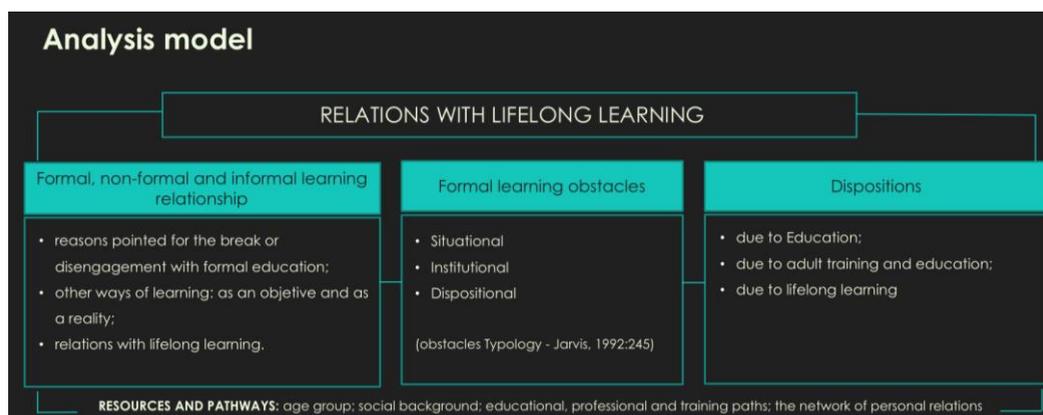


Figure 1 - analysis model (author)

Starting the research by the contextualization of the phenomenon in Portugal, through the results found in the second edition of the Adult Education Survey (AES)¹, it was possible to verify that, despite the existence of a significant increase between 2007 and 2011, there were adults who persistently did not participate in any activity of formal, non-formal and informal education (2007: 30,9%; 2011: 48,8%).

The social weight of schooling and the fact that other forms of learning depend on it (informal and non-formal)², making it an essential resource for LLL³, seems to contribute to the relevance of formal education. However, in Portugal, and despite the persistence of an adult population with low levels of schooling, of the 48, 8% who participated in LLL activities, only 16.6% of the population was involved in formal education activities (6, 5% did not have any level of education] (IEFA, 2011: 33-35).

Given their relevance, other research has sought to understand the relationship that low levels of schooling may have with other skills, such as *literacy*⁴. Previous studies have confirmed the existence of a relationship between levels of education and levels of literacy (Benavente, Rosa, Costa and Ávila, 1996; Ávila, 2008), confirming the existence of a "double" national handicap in the "race to knowledge". Literacy, multidimensional competence that has gained relevance in writing-dominated societies, translates into the ability to reflect/analyze reality critically, recognize emotions in a subjective sense, allowing

¹ Adult Education Survey (AES, 2011), Eurostat; In Portugal it is known as IEFA.

² National Qualifications Catalog: the relationship between schooling and access to non-formal education offerings; the relationship between schooling and other forms of education/learning present in the two editions of IEFA (2007/2011); the relationship between literacy and schooling in Ávila 2008.

³ IEFA 2011, p. 34: '... participation in lifelong learning activities is strongly influenced by the level of education of the population'.

⁴ Multidimensional concept (numeracy, digital/social skills, reading/writing skills, cognitive/affective, sociocultural/creative).

self-recognition/self-efficacy, active citizenship, and an encounter with knowledge¹. However, this knowledge, manipulated by individuals, forces them to decide, plan and reflect before making a decision, for which they only rely on their knowledge, and their ability to learn/adapt to a so-called learning society (Jarvis, 2004). Thus, literacy skills are now considered essential to find/maintain a job, to participate in the democratic system, to be an active consumer and to enjoy the benefits of digital/social/professional development.

Faced with this multidimensionality that reflects the relationship that individuals began to struggle with knowledge and education, some authors warned of the existence of individuals who have been marginalized (Field, 2006). Considering the limited availability of Adult Education and Training (EA) in the national education system, and the existence of a significant number of adults who have been 'on the sidelines', it is necessary to understand the place that this has occupied in the history of this system in Portugal². Rodrigues et al. (2014) refer to it as a subsystem of a second chance education. Wrapped in advances and setbacks of 'transitional' policies and measures, in a country facing a deep-seated skill/education deficit of its population, the conclusions point to a system whose response has been limited.

In the assimilation of the relationship of these poorly educated adults, who did not return to formal education, through lifelong learning, the multidimensionality of LLL was incorporated. In this way, to understand it, responding to the challenges that imbue the daily life of adults in today's societies, in order to find the genesis of their dispositions due to LLL, their school, vocational/training, proximity networks, and social origins were considered in the analysis.

Faced with the school trajectories, there was a need to understand the process of withdrawal from formal learning, as well as the constraints experienced in the daily life of those who have moved in the knowledge society with low levels of schooling. Thus, in order to capture the separation process, identifying the main barriers, the Jarvis typology distinguishes them in three groups: situational, institutional and dispositional obstacles (Jarvis, 1992: 245). Knowing the obstacles, visions, and expectations around these types of learning, allowed to verify significant differences in the way these adults see the EA and the initial (formal) education.

Brief methodological notes

Inserted in a comprehensive perspective, the pertinence of a qualitative methodological approach was considered, materialized through the in-depth interview, based on a chronological background. With a strong descriptive and interpretative dimension, two systems of theoretical-analytical concepts were used as resources, one initial and the other, which was summoned throughout the analysis. We opted for the total transcription of the interviews, analyzing them thematically and problematically. The content analysis was based on the (re) reading of the interviews and on the grids, enriching each dimension through the appropriation of the meanings transmitted by each interviewee.

As an exploratory qualitative study, twelve adults, from Torres Vedras, whose social origin was predominantly rural, were interviewed. Selected by the snowball technique, subjects were between 30 and 64 years old and had an education level between an incomplete ISCED 1 (<4 years) and ISCED 2. They were in different professional situations: unemployment/retirement, self-employed/employees and distributed in different activities: cleanings/agriculture, locksmithing/logistics, commerce, and industry.

Also considered to be relevant, as a complement to the analysis of the interviews, were the difficulties encountered in their implementation, namely situations of refusal. These situations occurred with less educated adults, in the approach/invitation to participate in the interview. Resistant to a possible evaluation, here interpreted as a defense strategy to deal with negative self-images, full of frailties and insecurities, the answer "I can't respond to nothing, I only have the 4th year (ISCED 1)!", seems to converge with the warning about the "shame of those who do not know", left by the EU High-Level Group of Experts on Literacy (2012).

Another aspect worthy of a reservation was the first interview, in which it was possible to verify that it had to be the more directive the lower the level of education of the interviewee, observing the need for an "external orientation" in the reflection on their trajectories. Therefore, the techniques were adjusted to the individuals, being reflected in a dynamic capable of enriching the analysis itself.

¹ EU High Level Group of Experts on Literacy (2012).

² Read the work of Capucha (2013).

The relationship of under-educated adults to formal education

Leaving school: leaving or dropping out?

In order to analyze the relationship with formal education, we tried to understand the reasons that were the origin of the rupture/withdrawal with the school.

The decision to leave school, despite having been lived differently in each one of the interviewees, was mostly associated with difficulties in learning, materialized in disapprovals and failures [negative evaluations] that discouraged them. This first conclusion, centered on the school trajectories of the adults, led the research to a more detailed understanding of the withdrawal, allowing to observe that, in all cases, it began long before it materialized.

Most school trajectories have revealed winding, negative and disapprovals paths [Seabra's school success measure unit, (2011: 82)], resulting in demotivation and lack of self-esteem. At the origin of the abandonment of formal education, these learning difficulties arose impregnated with self-responsibility in the face of failures, understood by these individuals as the result of their inability to learn:

Ana (64 years/ ISCED 1/cleanings): *"[...] or the head did not ... I got it!"*;

Madalena (62 years/ISCED 1 incomplete/retired): *"I do not know, it was stupid ... I did not learn enough!"*;

Mário (39 years old/incomplete ISCED 2/shopkeeper) *"[...] was stupid [...] was to draw red, always"*;

This idea corroborated the existence of a meritocratic vision of education, deeply rooted in the premise that the future would depend on the merit of each one and that success/failure would result, first, from the merits of one's own student. In addition to failure (or its origin), negative experiences with the teacher and the school also determined the relationship with formal education:

Alfredo (41 years old / ISCED 1 / unemployed): *"I did not like that ... it was a horrible environment [...] I was only there because I had to!"*;

Susana (54 years old/ISCED 2/Reformed): *"[...] I never liked the school ... the school for me was a martyrdom!"*;

João (30 years old/ISCED 2/Storeman): *"I did not like going to school at the time ... I remember well, the teacher was screaming a lot."*

The warning about the multifactoriality of the reasons behind school drop-out is echoed in studies such as Benavente et al. (1994), Ferrão et al. (2000) cited in Ávila (2008). In Seabra (2010), one reads Bressoux to defend an analysis to the abandonment [rupture/withdrawal] able to privilege the combination of its multiple dimensions. From their contributions, the socio-economic conditions of families [educational resources, aspirations, projects against schooling] and the school experience were summoned in this analysis, which led to another essential point, the disadvantaged family contexts and the cost/benefit of the school against the call of the beginning of the professional life (idem).

At this point, we highlight the discussions of Bourdieu and Boudon on the mobilization of families in relation to the school (Seabra, 2010: 50). In an individualist/actionalist conception [concerning social inequalities] Boudon argued that the investment of families and students in schooling did not happen through internalization objective, but through the use of a rationality conditioned by its social position/class, based on a kind of cost/benefit type calculation (idem). This investment would, therefore, depend on its position and families and students would have a different estimate of costs/risks and benefits, determining their decisions about the school.

With a persistent problem of early school leaving, Portugal has been confronted cumulatively with challenges arising from the lag of the universalization of education and a labor market that is not very demanding in qualifications, attracting the young. Tânia Costa (2000) observed that dropout rates were more pronounced in rural areas, gaining expression in families with low levels of schooling, low incomes, and economic difficulties. In its origin, the author found on one side the role of a market that attracted young people and besieged them with the promise of financial autonomy, and on the other the presence of a school that has proved incapable of motivating them.

¹ The transcription of the interviewees' speeches respected the linguistic code of individuals.

In the research that illustrates this article, the majority of respondents belonged to poorly schooled rural families whose professions ranged from agricultural wage earners to self-employed workers. The school coexisted with other activities that served as a financial complement to the family [work in the field, housework, sewing or collaboration in the activity of the parents], making it cost-effective for the school to lose relevance. For most of the families of the interviewees, the integration of children into working life was a fundamental resource in family subsistence:

Madalena (62 years/ISCED 1 incomplete/ex-administrative of her husband's company), born in a village on the west coast and left the school by will and decision of her mother, after some disapprovals. She used to work while she was at school, and when she left, she started to work at sewing: *"We went to school and then when we left school ... the mother and father went to the farm and I had to put the food on the table [...] my mother took me when I was 12 years old [...] it was her who wanted me to learn to sew";*

Luís (50 years/ISCED 1/former driver), born in a village in the center, left school at the age of thirteen by the will and decision of the parents to go to work in the field: *"Parents also didn't allow it, they didn't have enough money ... it was "you already have a lot of work to do, you can't go to school, you have to go to work" [...] for the field, for the works [...] was to leave school and go to work soon.";*

Pedro (62 years/ISCED 1), left the school by parents' decision to help them financially, expressing the tension between their aspirations and the decision made: *"I left school and I was very sorry for not studying at the time, not going to school, but since my parents had a lot of trouble, I felt obliged to help them ";*

These testimonies expressed the presence of a conflict between the school [understood as a short-term project] and the work [guarantee and financial support of the family]. Considering it necessary to understand the relationship between these adults and the initial education, perceiving that it would translate into a withdrawal, the time of leaving the school, of each trajectory, was analyzed in light of the law that defined the level of compulsory schooling¹. In this way, it was concluded that only a few individuals had left school fulfilling compulsory schooling. Consequently, in most cases, the prevalence of breakdown/dropout [pre-completion of compulsory schooling] among family tensions prevailed.

The oscillation and tension found between the will of the parents and the will in the decision to leave the school also allowed to verify that when the rupture happened by his own will, the failure and the negative relation with the school functioned as "triggers" opening up the attraction for the labor market and the desire to access consumer goods not supported by households.

Sérgio (34 years/locksmith/ISCED 2 incomplete), born in a village on the west coast near the city, left school, after some disapprovals voluntarily to go to work, continuing the work that already coexisted with the school (help the father in electricity): *"I did the 9th grade, but I failed [...] did not want to repeat it ... my father is an electrician and he needed someone to help pull the wires ... that's where I started to enjoy working ... maybe 14/15 years old".*

Mário (30 years/ISCED 2 incomplete/Storeman), decided to leave school, contradicting parents, after some disapprovals, unmotivated and disintegrated, *"... I snorted once in the 8th and then went back to sinking in 9 ... I began to disperse because my colleagues were not the same, it was all younger people ... to start thinking about abandoning happened there. [...] who wanted to leave? I did! For my parents, it was the worst, but I would be upset too. "*

Alfredo (41 years/ISCED 1/industrial worker), gave up the school by his will, after three disapprovals and not liking it, contrary to his mother's will: *"I went to the preparatory cycle and I was there for 3 years because I didn't like it. My mother obliged me ... I didn't go to school, it was a terrible environment ... I hated being there!";*

However, in both situations, and according to Boudon (idem) in the cost/benefit calculation, economic resources overcame, since the educational resources symbolized obstacles to the autonomy processes.

Bruno (41 years/ISCED 2 incomplete/maintenance of swimming pools), left the school at his will to go to work: *"I wanted to go to work, to have my things, my parents did not need help, but I saw my friends with motorbikes and such things, and I began to want. Then I said, "I'll work by day and study at night!" [...] I did it for a year, but it wasn't enough, because studying at night is difficult ... I was always going to the cafe".*

¹ See Decree Law no. 85/2009, of August 27.

Within the singularities of the trajectories, there was a case where dropping out of school occurred as a consequence of the accumulation between school failure and a teenage pregnancy, indicating the need for an early transition into adult life. The case of Sónia (34 years/ISCED 1/unemployed > 12 months) can be summarized as follows: reproval-dating-withdrawal-return-pregnancy-marriage-abandonment:

"I went back to the 1st year of ISCED 1, I stayed behind and then I failed in 4th grade ... I went from fourth to fifth year (ISCED 1), after the 5th year to the 6th, then I reprovado again (ISCED 1) [...] I dropped out of school and started dating my son's father[...] I got to attend 7th year (ISCED 2), but then I didn't conclude it. So, that's how I ended up with only the 6th grade (ISCED 2) [...] Then, between the ages of 16 and 17, I got pregnant, and I got married at 18 [...] only after Diogo's birth I ended up for giving up the course".

Other cases similar to this can be read in the studies on young people and uncertain transitions, such as Guerreiro et al. (2004) and Alves et al. (2011).

Summarily, this study allowed us to verify that dropout occurred through different stresses: economic conditions, family, school, and society in general versus projects and expectations of these adults in relation to school/life. Capturing the internal dynamics of these tensions, it was observed that the cases of rupture by the will of the parents/family were accompanied by the disagreement of the individual, expressed through the recognition of the will to have remained in the school, since this would represent a vehicle for a better life. On the other hand, when the genesis of abandonment lay in the will of the individual, the tension resulted from the divergence of opinions about the school: oscillating between the perception of the family and society about a relationship between school progression and social mobility; and the representation of this same relationship as an obstacle to a faster process of autonomy for individuals.

The relationship with other learning contexts: individual strategies?

If in IEFA (2011) the operationalization of the LLL concept covered only formal and non-formal education, in its genesis¹ we are referred to formal, non-formal and informal learning processes, which in itself calls for a multiplicity of forms and contexts to be taken into account in their analysis, breaking with less comprehensive visions that only privilege certified apprenticeships in specialized entities (Ávila, 2008: 306).

In the scope of this research, and in this dimension of analysis, the more comprehensive conception of the LLL was assumed, making it possible, after observing the reasons that led to abandonment/withdrawal from formal education, to identify other forms of learning in the life trajectories of these adults. From this analysis, we find what has been called the "individual strategy" and which represents a selection of the type of learning to be used throughout the different stages of trajectories, supported by a conscious need to mobilize resources.

Non-formal education², commonly associated with the professional context, and informal learning³ integrated the trajectories of all the interviewees, although it was verified that the activities and resources used depended on the level of education and their situation at work. Regarding the relationship with informal learning and corroborating the results of the IEFA (2011) on participation in this type of activities⁴, the presence in the trajectories of all individuals was confirmed. For this group, the informal type of learning represented an accessible response to the needs imposed by the speed of social change, considered as an "*atomic bomb of technologies and new things*" (Susana/54 years/ISCED 2). However, in this relationship with learning the respondent valued individual characteristics as resources/tools for those who considered itself "learners": curiosity, self-learning, resourcefulness, and proactivity.

Alfredo (41 years/ISCED 1) made clear the presence of informal learning between "seeing-doing" and using his proximity networks (family/co-workers), or even self-learning, using manuals and of experience. Doesn't use the internet or computer, and with the mobile phone he has learned by trying and failing: "*Once I found two birds that I didn't know ... but then I spoke*

¹ Memorandum for Lifelong Learning (2000).

² Developed in the job or in the free time to improve knowledge or skills: courses, professional context, private lessons, and workshops or seminars; doesn't confer equivalence to any level of schooling.

³ Proximity networks/internet/reading manuals or magazines, other social activities that translate learning used/transferred to and between the different life dimensions of these individuals.

⁴ It was attended by about two-thirds (66.9%) of the Portuguese population, between 18 and 69 years.

with a man who is a hunter and he said that they were the "dom fafe"... my uncle who was a fisherman taught me to tie fishhooks and that sort of thing ... had a very old manual";

Sérgio (34 years/ ISCED 2 incomplete), resistant to formal and non-formal education, based on the premise of 'needing work and not taking courses', has invariably turned to informal learning because, according to it, on his profession it was very important the experience and the ability to "unleash" itself. The Internet was the privileged resource for an autonomy process in their learning: "*... No, what I learned, I learned alone! [...] you do not need a course [...] because you have developed skills over the years [...] when I have doubts [...] nobody knows them, I come to the internet and that's where I find the answer*";

Madalena (62 years/ISCED 1 incomplete) presented an individual strategy based on continuous informal learning, driven by curiosity. His professional experience added to the characteristics which she considered to be the basis of her will to learn: "*They taught me and I learned sewing [...] On the computer, my son has been helping me [...] I am learning more with a kid that I have ... I asked, because I knew how to read, I understood what I read ...I am one of those people who, when I don't know, I ask [...] I like to know, I like to be explained ... it is important to learn and every day you are learning a little bit of everything*".

The relationship with non-formal education, mentioned by about half of the respondents, was inscribed in an obligatory relationship that did not always grant positive recognition. For the unemployed, it was imposed by the IEFP¹, for the assets the imposition was of the company and few assumed it as part of its "individual strategy". In Portugal, participation in non-formal education activities covered 39.6% of the population between 25 and 64 years (EU 27 countries - 38.4%), participation in higher educational levels was more significant and the employer was the main institution to prepare it or to empower it (IEFA, 2011). In the reasons mentioned for their participation, 33.2%² mentioned that they were obliged to participate.

In this study, we found individuals who, despite having participated, challenged the model used considering that the contents were below what they had to learn. Alfredo (41 years/ISCED 1/unemployed/industrial ex-employee in the automobile industry), participated in company formation and questioned the objectives of this learning: "*I had training, but I was a bit of a fool, because it was to see puppets about security and noises [...] and this kind of very basic things*";

Susana (54 years/ISCED 2/ retired/Electric Company ex- employee), performed different functions at the company, where she attended different types of non-formal education, reported on its disconnection and (in) utility: "*... I did formations that had nothing to do with the work I was doing. Were those formations that we were forced to go and that was not formation*".

However, other testimonies have recognized this form of education as being useful and necessary to improve their skills and to acquire new skills to operate professionally. Bruno (41 years/ISCED 2/swimming pool maintenance), was at the company where he worked, that he experienced his first contact with non-formal education, recognizing a major role for his professional experience: "*[...]every year I take a course to grow in the area ... learning between training and experience*".

The main difference between the two positions above illustrated was the decision to participate. Whenever participation took the form of external imposition, the relationship brought resistance and the devaluation of its usefulness and pertinence, whereas, when it was assumed by itself, to manage its career, it gained importance and recognition as learning.

In the interviewees who were unemployed and with lower levels of schooling, and that came across the IEFP³, had the perception of the recent processes of change that characterize the relationship between formal and non-formal education, sensing the effects of their exclusion. Non-formal education began to consider as a requirement of access the level of schooling of individuals, which has left behind the least educated, reinforcing one of the forms of social inequality associated with LLL.

Pedro (62 years/ISCED 1), after farming, where he only learned the informal way, entered the field of automobile education experienced non-formal education: "*I'm going to take an instructor's license [...] was the last course already done with the*

¹ Institute for Employment and Vocational Training.

² IEFA brochure (2011: p.7).

³ With its guidance services for non-formal education modalities, according to the local offer and the Catalog National Qualifications (CNQ); Information that can be consulted at CNQ of ANQEP, I.P.

4th grade/ISCED 1 [...] from there, in the following course, it was already with the 6th grade [...] today they already require the ISCED 3^o;

Luis (50 years/ SCED 1/unemployed), questioned about his participation in non-formal education modalities, which emerged through the Employment Center, let escape that access is differentiated, depending on the levels of education, fewer school resources, see restricted opportunities to learn: "No, it was only for those who had up to the 4th class, those who had more studies went to another".

The evidence collected in this study allowed us to support the idea defended by Jarvis and patent in the IEFA (2011), that the less educated, those in the most disadvantaged positions of the social hierarchy and also the older ones, are the ones that are farthest away of learning processes in adulthood (Jarvis, 1992: 242). At the same time, it was found that the presence of greater dependence or autonomy on the trajectories of the interviewees was directly associated with their educational levels and their ages, which in the case of the older and less educated adults accentuated these processes of exclusion and increased inequalities.

"Staying out" and the relationship with the knowledge society

The passage from the so-called "industrial society" to what some authors¹ considered to be a new era (a consequence of the service economy that preceded it), gave rise to a myriad of theses and proposals of different nomenclatures to form concepts that today seem vulgar: information society and / or knowledge society. These concepts translate new relationships between societies, individuals, information, knowledge, education and learning itself, about which some care in the analyzes directed at them is important and urgent.

António Costa (2012), recalls that in the last decades the enlargement and prolongation of the education of the population, as well as the rapid increase in formal qualifications, and their assimilation into economic and social activity, together with the other transformations already mentioned, have been driving social change. Understanding schooling as a relevant indicator in the multidimensional analysis of development has been attributed to the task of empowering individuals with the "skills" needed to keep up with the rapid pace of change, preparing individuals for full integration, fostering the idea of sustainable development of an economy that is increasingly taking place around knowledge and information.

Throughout the twentieth century, despite efforts to make the public system, through its policies, serve as a vehicle for ensuring greater social equality, focusing its attention on the school system and higher education, adult education was being left at the margin of a political consensus. This lack of consensus could help to understand such disparate and unequal national participation. In Field (2006), we see the organizations dedicated to adult education based on principles guiding the great social movements: autonomy; emancipation; democracy and human rights. However, the author also underlines the presence of skepticism based on the ability of schools to play their part, as they continue to see failures in large population groups. It has alerted us to the existence of high social expectations of how we seem to assume that those with whom we meet in everyday life are apt to deal with writing, reading, and numeracy, maintaining coherent conversations, forgetting that they are real competences for people who have received a higher quality schooling, a situation that, according to the same author, reinforces the gap between the older and more new ones (idem).

By analyzing the access and use of information, within the framework of the requirements introduced by these knowledge/information societies, this study allowed to observe that individuals with low levels of schooling revealed deficits in the necessary skills to identify, autonomously, i.e. opportunities. The testimony of Sonia (34 years/ISCED 1) is an example, the research on the internet proved unable to find compatible learning solutions. In other testimonies, there was a lack of knowledge about the current EA offers in Portugal (in addition to the '*Novas Oportunidades*' initiative, which expired in 2012).

On the day-to-day difficulties of those who have been excluded from formal education, the supra-referenced theoretical lines were corroborated, confirming that for individuals with schooling that was around ISCED 2 they were less-expressive, then for those with only ISCED 1. Thus, among the less educated interviewees, there were a number of difficulties that were embarrassing their lives, which resulted, in summary, in the lack of job opportunities and the lack of autonomy to use

¹ Robert Lane (1966); Daniel Bell (1973); Peter Drucker (1993); Nico Stehr (1994).

services in institutions considered essential in a society which has been responsible for the individual (e.g. Finance, Health ...).

Ana (64 years/ISCED 1), worked in the cleanings and her life was spent between the field and the cleanings. When she talks about her hard work life, she reflects on having lost other opportunities: *"now it's no longer worth it, I would like to find something else, but also schooling don't [...] only have the ISCED 1 (4th) [...] if I had more, maybe I could have chosen another job."* Other difficulties were experienced in tasks that depended on the computer (e.g. the issuance of financial payment guides, requests for exemption from social security) by resorting to their proximity networks - colleagues - to circumvent them; at home, they all had ISCED 1 and could not support it.

For Sofia (34 years/ISCED 1), the level of schooling also restricted access to job opportunities, summarizing them as precarious or seasonal offers: *"Many doors have closed because I only have ISCED 1 [...] I look for work, I go to restaurants ... I go everywhere, I look for [...] no arrangement, or what they pay it does not compensate [...] and this discourages me."*

Madalena (62 years/ ISCED 1 incomplete), although she said that her schooling was sufficient for the life she had until her retirement, she recognized the fragility of those who didn't complete the ISCED 1, especially in writing and speaking. *"so, I read I have no problems at all to read, now I say many nonsenses, because I can't speak, I can't write, because I make many mistakes."*

In the interviewees whose schooling approached the ISCED 2, the difficulties were felt in another way and in another type of skills, for example, the scarce knowledge of a foreign language (English) that compromised an autonomous use of the internet, a resource that they used with regularity in their professional contexts and leisure activities.

Mário (39 years/ ISCED 2 incomplete) *"... the question of English would have helped a lot ... because what you do today on the internet, to research something, has to be English."*

The results of this research underscored Field's contributions (2006:113), evidencing the existence of a gap between those who 'have' and those who 'haven't' educational resources, aggravating it when it is perceived that it is more likely for those who are already 'rich in knowledge' to expand their learning/skills, leaving behind the most 'disadvantaged' prisoners of dependency networks to move and adapt, leaving aside a large number of opportunities, which extend beyond the world of work.

It should be stressed that these difficulties must reflect the limits of informal learning, which is insufficient to give the under-educated adults the skills necessary to reduce social inequalities and to integrate into a reality increasingly structured by knowledge and information.

Obstacles to formal learning: situational, institutional and dispositional

Regarding non-participation in education and training activities, IEFA (2011, p. 33- 79) revealed that 51.2 % of the population between the ages of 18 and 69 didn't participate in education and training activities (formal and non-formal), and 21.9 % didn't participate in any kind of education, training, and (informal) learning. The results of the IEFA (2011) left open the will to know the reasons for the two segments that participated: those who did not participate but would like to have participated (7.8 %) and those who did not participate and did not wish to participate in education or training (43,5 %). The existence of 33,9% who participated and did not want to participate more also left unanswered questions. Of the reasons there, the lack of time was indicated as one of the main obstacles to learning (45.8 %), preceded by the lack of training offer (15.3 %). The financial reasons, associated with the cost (14.7 %) and, finally, family responsibilities (11.5 %).

In this dimension, it was tried to identify the obstacles that were determining the withdraw of these adults from formal education, after the exit of the school. The alert for the need to look at this participation in education/training as something that doesn't depend only on the motivation/intention of the adults, because it also depends on their life paths and their position occupied in the social system, was in Jarvis (1992:242). In its typology on the obstacles to participation in non-formal learning - situational factors; institutional and dispositional - he explained the possibility of articulation between them. Situational factors were related to professional and family life, while institutional factors referred to the existing offer and its disclosure. The attitudes of individuals to the frequency of training actions were the dispositional factors (Jarvis, 1992: 245). In the case of low-schooling adults, this combination of factors was also found, so that non-participation in formal education could be dependent on the lack of objective conditions, especially on the part of employers(which encourage and enable the registration of these practices); of institutional offers are considered insufficient or inadequate (time, location, model);

or personal dispositions in relation to education/training are negative, leaving receive previous unsuccessful school experiences, such as those that have already been described here (Ávila, 2008).

In all the speeches of these interviewees were found, cumulatively, situational, institutional and dispositional factors. In the situational factors, the role of the professional context and the family as determinant forces for the (non) participation in formal education, either by the type of functions (different levels of complexity, devaluation of formal certification), or by the existence of tensions in the compatibility of different dimensions of the life of the individuals (work, family and other activities).

Situational and dispositional factors

Ana (64 years/ISCED 1), began to work in sewing, then in industry and agriculture. She was currently working in the cleanings. The main obstacle to returning to formal education was the fact that she had not had time to think about it and that the activities she had developed had not made her feel that it was worth investing in schooling *"I never thought it, because either I was in country, or I was housekeeping"*;

Alfredo (41 years) started working in a car workshop, then went to a factory, left and went to an electrometallurgy where he worked as an assistant to a CNC¹ operator. (19) Later he worked as an assembler of pieces 3rd in a factory of automotive components. He never felt the need to improve his schooling because he considered it sufficient for the jobs he was arranging. *"I didn't need more ... it was all manual labor, because I like to do manual labor, so I didn't feel this difficulty"*;

Sergio (34 years/ISCED 2 incomplete), always worked with his father, so schooling was not important, he just needed to show what he knew "doing". Their priority was to be professionally integrated. The justification for not resuming formal education processes was the absence of a request/requirement of any certificate: *"they say that I don't need it, because it is enough for people to see me do things"*.

Bela (50 years/ISCED 1), her first job was to "serve"² and the professional career was little diversified, inhibiting the need to increase her schooling. It revealed certain conformity, reflected in the idea of naturalization of the place/position occupied, arguing that in society there must also be people who perform those functions. *"Not. I thought it might be a little late, but I figured there had to be people doing the work I do, too"*;

Ramiro (62 years/ISCED 1), knew the offers for adults but never had time to think about them, because of work. Being unemployed he considered that the offers were for who had the time and could. He would not be able to survive on unemployment benefit alone, and he would have to devote time to agriculture and animal husbandry: *"my job didn't give me the opportunity to study because I got up at 6:30 in the morning, and only came home around 11:00 pm [...] is for those who have available times [...] for Who has nothing else to do."*

The tensions between reconciling a "return to school" and family life were also present in the above-mentioned obstacles:

Mário (39 years old / ISCED 2 incomplete): *"The fact that I am having this conversation here ... makes my wife have to be at her mother's house with her two daughters and give them dinner there [...] when I leave work ... I can't go to school."*

The dispositional factors, found in most respondents, did not always reflect the negative view of education and training as a consequence of previous experiences, but converged with the idea of willingness as a "manifestation of will," to act and to believe (Lahire, 2005), adding to the motives presented, judgments about their usefulness, necessity and place, as a non-integral part of their personal projects in the short, medium and long term. They have been scattered in arguments related to their experience of the school, and with the fact that they were not motivated, throughout their life trajectories, to resume formal education:

Ana (64 years/ISCED 1) confesses that she got tired of school *"I never thought about it, and I never had anyone to support me, we were so tired of school!"*

Economic difficulties made the priority of individuals fall back on activities from which income could be withdrawn, allowing the subsistence of the household, inhibiting the desire, or the possibility of participating in or resuming formal education.

¹ Computer-assisted numerical control.

² Domestic work in the form of boarding school in other people's homes.

The presence of these difficulties is found in Ana's discourse on her husband, who never thought of resuming formal education: *"Not because his life too ... made the fourth class and then also wanted to make money ... went to the tulips, lay the woods down, it was his life to throw the woods down, however, he went to the troop, came from the troop and went to agriculture. He was 8 years old employed in the chamber, in the gardens, and now he is retired, and if anything appears to him, even from the outside, to tell him to do this or that, he will."*

Luis (50 years/ISCED 1), there were six siblings at home and the work happened at school time: *"It was a full house, that's why we worked for each other. It's not easy, it was "you can't go to school, you have to go to work"; we all were like this. I think only one brother of mine went to study ... the youngest."*

In the speeches it was possible to find a certain "comfort" in the life that happened with that schooling, accompanied by skepticism about the return of an investment in formal education. The interviewees acknowledged that the frequency of education/training actions was not compatible with the need to work, reflecting the idea that was something addressed to those who had [time/financial] availability, showing a short-term overlap of needs [here and now] with the idea of a project that, in the long term, could improve their living conditions.

Luis (50 years/ISCED 1): *"then I walk here information, now I have no unemployment fund [...] I cannot walk here ... what's the use of a guy coming to spend a hand full of money, if a guy comes to an end and has no job because they have a younger one? "*

Pedro (62 years/ISCED 1): *"for those who have spare time [...] for those who have nothing else to do ... unemployment cannot survive, I have to have some vegetables and some jobs"*.

Two of the interviewees also mentioned depression as an obstacle to learning because it inhibited their ability to learn. One of the ladies summoned the idea of a 'domestic trap' (Lahire, 2005: 5), as a consequence of marriage to a less educated person and the fear of conflicts, in this case the obstacle arose beyond his "will to act".

Bela (50 years/ISCED 1): *"no, I never think about it! my husband is an old-fashioned person. Sometimes, I thought about going back to school [...] I thought about moving forward in life [...] but it will be very bad for both [...] it didn't have the courage";*

In older adults, age was also often cited as a reason to stay out of formal education offer:

Pedro (62 years/ISCED 1), considered that it wasn't an offer for his age since it wouldn't change his condition to work: *"if there is such great unemployment for young people ... I don't say that it is not good to create knowledge [...]but we shouldn't create the false perspective of thinking that we have a future ahead because our future is over!"*

Institutional factors

Although less expressive, the institutional factors reflected the instability of the AE offers in Portugal, making pathways confusing and inhibiting those who considered resuming formal education. Some of the interviewees also referred to the New Opportunities as the current offer, revealing total ignorance of its closure and the offers that preceded it. This lack of knowledge should serve as an alert for an urgent reflection aggravated by the fact that we are facing another setback in AE's history. This return of adults to formal education seems to be dependent on educational policies without concrete guidelines and without a goal action scheme since the volatility of current offerings makes them poorly disclosed and therefore unknown. Thus, these offers seem to be unable to reach the target audience for whom they are supposed to be: adults (especially the less educated).

Ana (64 years/ISCED 1), didn't know the offer available: *"I haven't heard of any, I don't know if it is the same ";*

Sérgio (34 years/ISCED 2 incomplete): *"I know there's something I sometimes hear, but I don't do much of it ... because I'm not interested";*

Along with this lack of knowledge, the schedules, duration, cost, location and difficulty associated with transportation were also mentioned, making it impossible to achieve a return, in cases where the idea arose.

Bruno (41 years/ISCED 2 incomplete), was unaware of the closure of the New Opportunities Initiative (INO): *"Are the new opportunities already over? I didn't know."*; had the opportunity to attend a double certification course, completing the

ISCED 2, but the distance and the investment stopped him: *"it was equivalent to the 9th grade, but I had to go there for 3 years! It was too expensive to go to Peniche every day."*

Sofia (34 years/ ISCED 1), tried to resume, without success, formal and non-formal education. The reasons for failure were associated with the cost of training and the lack of transportation (and the combination of the two): *"Yes, I went to ADRO at the time to take the ISCED 2 at night, but because I lived in Outeiro [...] I don't have a license, and didn't have a car [...] something appeared on Facebook ... I called and it was 200 euros a month, I called, but it was in Lisbon; I couldn't make it!"*.

The under-educated adults' dispositions on education

In the life trajectories of these interviewees were found different views on education, which reflected the relationship that these were maintaining with it and the place it was occupying. Field (2006) argued that, about education, two visions could be found: a positive one, for those who worked in education and for whom education was emancipatory and meaningful; and a negative, reflexed in a form of coercion, repeated failure, not being a personal choice or identity, but part of instructions given by others. Thus, if for some individuals it would arise as something that had to be done to survive in a society of risk, for others, these "opportunities" of education made available simply didn't matter. It is equally interesting to see how society sees each of these groups. On the one hand, there are about those who don't participate, the idea that they are victims of bad social and psychological structures, since they have denied them the possibility of equal access to the so-called "positive" learning opportunities and, on the other hand, in active processes of self-exclusion a form of resistance (e.g. when adults reported that education wasn't for them, or that they had no head/capacity to study).

In Jarvis, we read that different phases of history corresponded to different views on education. Thus, if in the first phase education represented an investment that reflected on employability, in the second stage education was a vehicle for self-development (spiritual; active citizenship). In a third, more recent, critical and resilient phase LLL came to be associated with lifelong work. This premise echoes the idea of the speed of change, where individuals have been forced to risk, learn, reflect and act, trying to find its own adjustment to changes, in a continuous cycle (Jarvis, 2004).

The existence of distinct visions and phases, which transcend individuals, gave meaning to the analysis of their dispositions on education. Lahire (2005) distinguished strong and weak dispositions, depending on the intensity of socialization and the degree of fixation/force. Durable habits would take time to be incorporated and some dispositions might fade because of an upgrade or void in the face of repression/crisis. However, it would also be possible for socialized individuals to internalize a certain number of habits (cultural, intellectual) without having the will to put them into action, being the action stuck only to the weight of routine, automatism/habit or obligation. The internalized habits could be updated in the presence of constraints/obligation, passion/desire, or even unconscious will/routine, everything would depend on the form and timing of the individual biography in which these dispositions were acquired, as well as on the current context of their actualization.

In this research, we wanted to realize if the relation that these adults established with education interfered and molded the vision that they had about it. The main conclusions showed that the action of these individuals in the face of formal education wasn't always in line with their general view of education. Between initial education (child/youth) and AE, the main difference found was mainly the devaluation of the latter, which may have justified a more skeptical and less enthusiastic position, considering that, for these adults, it represented only one-second chance. As a means of schooling, the AE was seen by these individuals as a measure incapable of eliminating the previous difficulties, making them even more visible. The idea that society doesn't recognize the AE, devaluing its participation, was highlighted in the speeches of those who said that it doesn't teach the same thing, or that adults and the youth don't have the same capacity to learn.

Instrumental view on initial education

Ana (64 years/ISCED 1), mirrored an instrumental view on education, alerting her granddaughter to the importance of studying to "be someone": *"Look, take advantage of it, to see if you can ever be someone! before it was not compulsory to walk in school as it is now. We could get the driving license with the fourth class";*

Luis (50 years old / ISCED 1), was sorry he did not continue in school. For him to learn was to be faced with the news, was to be someone, underlining the same instrumental vision, while advocating that true learning happens outside of school: *"children should start at age 15 to have a job. I may not know how to read or write, but I know a lot that a lot of people do not know, because the things I've learned in my life have been learning over time".*

In other testimonies, it was clear the disinterest accompanied by the questioning about the real need for formal education, expressed in a relationship that forces them to follow instructions from thirds (Field, 2006). These visions of resistance fueled the dispositions towards learning, marking an intentional withdraw from the different modalities that were available in the different stages of their lives:

Sérgio (34 years/ISCED 2 incomplete), never felt the need to have more schooling, devaluing formal education and certificates. He valued daily the "know-how": *"I already have 34 years, I need to have a job, and not to have courses! if I have work, I'm ok ... I have always worked on my own, so I didn't need to have the 9th grade."* This final idea also corroborates the IEFA data on the lower probability of participation of TCP¹ in education and training activities.

Bruno's vision (41 years/ISCED 2) on AE left two conflicting ideas oscillating between a path of access to more culture and a mandatory measure that, for the majority, only served to pass the time. It acknowledged its usefulness in job-seeking but devalued its impact on changing or improving work conditions. For Bruno, the focus of EA was the older adults and the reason for its existence was unemployment: *"for people to be a little more educated, but for others, I think it is way of passing time, nothing else because they are almost obliged to be there ... I think if there was work, enough work people studied less. They wouldn't take these courses, because they weren't obliged."*

The same instrumental vision is found in Madalena (62 years/ISCED 1 incomplete), when she recognized that it was possible to go further studying. About AE stated that it wasn't for herself, mirroring a self-image that seemed to confirm the said self-exclusion referred by Jarvis (2004). For the elders, she considered that the AE would be a mere occupation. She believed in strong disparities between the education of young people and the adult's education, from the type of education to their capacities to learn: *"Those old people who stopped, they go to computers, to universities. I think society doesn't look them the same way they look at young people in initial education! I think that when you go from the 1st to the 12th year you have another capacity, which you don't have if you learn in the middle... no, I don't have the head for it, I'm a bit outdated ... but it's not for me."*

The remaining views oscillated between the functionalist vision with a direct impact on employability, although they were limited to triggering convergent action schemes along their trajectories, in which the feeling that they had lost the train persisted and that there was nothing else to do, except to conform to the idea; and a less positive view of education, considering it unnecessary, justifying its absence along the trajectories (Jarvis, 2004). The removal, in these situations, happened because the different professional paths did not make it necessary.

Views on education related to self-development, found in the most schooled

None of the interviewees participated in citizenship activities at the time of the interview, and their daily life was organized between work and family so that the vision of self-development was not found with reflexes in the exercise of active citizenship (Jarvis, 2004). Leisure activities integrated, in an uneven way, the daily life of these adults, making only part of the trajectories of those who came closer to ISCED 2.

The analysis of the different views on education made it possible to conclude that in this group of interviewees the informal type of learning was the most frequent and accessible, expressed in the use of proximity networks. However, this way of learning was more autonomous and/or complex when the level of schooling of individuals was higher (e.g. the use of other learning as the internet) because they depend on other skills. The non-formal learning, in most cases imposed, was accompanied by tensions and resistance, and the recognition given to its utility in everyday life was scarce.

In the analysis of the dispositions with respect to formal education, the relationship that each of them established with the initial education and the moment of rupture/abandonment or withdrawal was found in all individuals. These results express the impacts of socialization in families of mostly rural origin, in which the internalization of habits reflected the appropriation of short-term strategies (here and now) and of "unleashing" before the challenges that the speed of social changes has put them. These dispositions were, unequally, leaving out of their individual paths the return to formal education processes. Consequently, if for the elders, to whom it imposed itself compulsorily (unemployment), the need to subsist economically kept them on the sidelines. For the youngest, for whom it seemed unnecessary, it translated only one hypothesis to consider in case of unemployment, illustrating the moment of updating provisions, by constraints/crisis, predicted in Lahire (2005).

¹ TCP - Self-Employed Worker.

Conclusions

The relationship of the low-educated adults who didn't return to formal education with LLL showed the presence of their dispositions in relation to the initial education, considering them the origin of the reasons that led them to leave school.

These withdraw didn't inhibit informal learning, but brought it differently, according to the level of schooling obtained, reflecting a greater or lesser autonomy in relation to the challenges imposed by society. Nevertheless, the informality of those learnings in the daily life of these adults are neither acknowledged by them nor by society as effective and/or relevant learnings, as they don't translate into certificates or diplomas, continuing to be "left outside" from the social system the same individuals that until now remained far from formal education.

The perceptions about non-formal education (disconnected and useless) also corroborated a relation of distance with the modalities considered "qualifiers" of LLL. This relationship contains an idea of "accommodation" in relation to the places occupied in social life and of "unleashing" the challenges of everyday life. In the dispositions of these individuals in relation to LLL, the existence of a conscious perception of the processes of exclusion associated to them was revealed, although this wasn't enough to provoke an updating constraint of dispositions and internalized habits, thus precipitating the action.

One of the conclusions considered as alert and leitmotiv for a reflection among those responsible for educational policies is the presence of a devaluation of formal education and stigmatization of AE. In the analysis of the dispositions of these adults, there was a strong association of formal education with initial education, and the adult education reflected a less efficient learning, unrecognized socially and professionally. It was perceived as a resource for the unemployed and for the elders.

These conclusions should aware us of the need to better understand the internalization of habits and values about LLL, allowing effective intervention in the face of a chronic problem that results in the association of low levels of schooling with a lack of participation in educational and training activities of the low educated Portuguese population.

Bibliographic References

- [1] Alves, Nuno de Almeida, Frederico Cantante, Inês Baptista, e Renato Miguel do Carmo (2011), *Jovens em Transições Precárias. Trabalho, Quotidiano e Futuro*, Lisboa, Editora Mundos Sociais.
- [2] Ávila, Patrícia (2007), "Literacia e desigualdades sociais na sociedade do conhecimento", em António Firmino da Costa, Fernando Luís Machado e Patrícia Ávila (org), *Portugal no Contexto Europeu*, vol. II, Sociedade e Conhecimento, Lisboa, Celta Editora, pp. 21-41.
- [3] Ávila, Patrícia (2008), *A Literacia dos Adultos. Competências-Chave na Sociedade do Conhecimento*, Lisboa, Celta Editora.
- [4] Bell, Daniel (1973, 1976, 1999), *The Coming if Post-Industrial Society. A Venture in Social Forecasting*, Nova Iorque, Basic Books.
- [5] Benavente, Ana, Alexandre Rosa, António Firmino da Costa, e Patrícia Ávila (1996), *A Literacia em Portugal. Resultados de uma Pesquisa Extensiva e Monográfica*, Lisboa, Fundação Calouste Gulbenkian / Conselho Nacional de Educação.
- [6] Costa, António Firmino (2012), "Sociedade do conhecimento e desigualdades em Portugal e na Europa", em António Firmino da Costa, *Desigualdades Sociais Contemporâneas*, Lisboa, Editora Mundos Sociais, pp. 111-127.
- [7] Drücker, Peter F. (1993), *Pós-Capitalist Society*, Nova Iorque, HarperCollins Publishers.
- [8] Drücker, Peter F. (1969), *The Age of Discontinuity, Guidelines to Our Changing Society*, 1st edition, Londres, William Heinemann, Ltd.
- [9] Enguita, Mariano Fernández (2007), *Educação e Transformação Social*, Mangualde, Edições Pedagogo, Lda.
- [10] Benavente, Ana, Jean Campiche, Teresa Seabra, e João Sebastião (1994), *Renunciar à Escola. O Abandono Escolar no Ensino Básico*, Lisboa, Fim de Século.
- [11] Ferrão, João, Fernando Honório, Ana Nunes de Almeida, Isabel Margarida André, Filipa Ferrão, e Dora Possidónio (2000), *Saída Prematura do Sistema Educativo. Aspectos da Situação, Causas e Perspectivas em termos de Emprego e Formação*, Lisboa, OEFP.
- [12] Field, John (2006), *Lifelong Learning and the New Educational Order*, Londres, Trentham Books.

- [13] Guerreiro, M. Dores, e Pedro Abrantes (2004), *Transições Incertas. Os Jovens Perante o Trabalho e a Família*, Lisboa, DGEEP/MAET, cap. VI.
- [14] Jarvis, Peter (1992), *Perspectives on Adult Education and Training in Europe*, Leicester, National Institute of Adult Continuing Education.
- [15] Jarvis, Peter (1983, 1995, 2004), *Adult Education and Lifelong Learning*, Londres, Taylor&Francis e-Library.
- [16] Lahire, Bernard (2005), "Patrimónios Individuais de Disposições. Para uma Sociologia à Escala Individual", *Sociologia, Problemas e Práticas*, 49, pp. 11-42.
- [17] Lane, Robert E. (1966), "The decline of politics and ideology in a knowledgeable society", *American Sociological Review*, 31, pp. 649-662.
- [18] Massey, Douglas S. (2007), *Categorical Unequal. The American Stratification System*, Nova Iorque, Russel Sage Foundation.
- [19] Rodrigues, Maria de Lurdes, João Sebastião, João Trocado da Mata, Luís Capucha, Luísa Araújo, Mariana Vieira da Silva, e Valter Lemos (2014), "A construção do sistema democrático de ensino", em Maria de Lurdes Rodrigues (org.), *40 Anos de Políticas de Educação em Portugal*, volume I, *A Construção do Sistema Democrático de Ensino*, Lisboa, Almedina, pp. 35-88.
- [20] Seabra, Teresa (2010), *Adaptação e Adversidade. O Desempenho Escolar dos Alunos de Origem Indiana e Cabo-Verdiana no Ensino Básico*, Lisboa, ICS, Imprensa de Ciências Sociais.
- [21] Seabra, Teresa (coord.), Sandra Mateus, Elisabete Rodrigues e Magda Nico (2011), *Trajetos e projetos de jovens descendentes de imigrantes à saída da escolaridade básica*, Lisboa, Observatório da Imigração, ACIDI, I.P., pp. 82-90.
- [22] Stehr, Nico (1994), *Knowledge Societies*, Londres, Sage.
- [23] Therborn, Göran (2006), "Meaning, mechanisms, patterns, and forces: an introduction", em Göran Therborn (ed.), *Inequalities of the World. New Theoretical Frameworks, Multiple Empirical Approaches*, Londres, Verso, pp. 1-58.

Monetary Policy in Albania 2000 - 2017: A Short Critique

Altin Zefi

Phd(C) , European University of Tirana, Faculty of Economics and Information Technology,
Department of Finance

Abstract

Albania is one of the countries that has high dollarization levels. Dollarization influences the effectiveness of Monetary Policy of the Bank of Albania. We try to critique the adequacy of the Monetary Policy exercised through the intermediate targets. Indicators show that Monetary Policy has not been adequate. We observe exchange rate movements of Albanian Lek, the flow of monetary aggregate M3 and the adequacy of interest as a intermediate monetary policy target. Based on the Quantity Theory of Money we conclude that the exercise of Monetary Policy has been weakened by dollarization.

Keywords: monetary, policy, Albania 2000 – 2017, critique

1.1. Monetary Policy and the effects of dollarization

Albania is one of the countries with the highest euroization in the region. This reality complicates the exercise of monetary policy by the responsible entity in Albania, the Bank of Albania. This is the reason for this study of this problem. IMF experts came to Albania in 2017 to assist the BoA in drafting a plan of measures in response to high euroization. The work of IMF experts, funded by the Swiss Government, produced a study by Della Valle, Guido et al (2018). The analysis, findings and conclusions of this study will be discussed below.

From the studies of the Albanian reality since 2000 we can benefit from some lessons which make this study necessary.

First, the level of euroization has risen above the optimal level (see Della Valle et al., 2018) and this reality requires attention and studies to find adequate monetary policy strategies and instruments. Secondly year 2009 marked a change in the operational instruments of monetary policy, the transition from targeting money supply to short-term interest rate targeting. Studies show that the money supply and demand in the money market, analyzed by the movements of banks' monetary reserves, is affected very little or not at all when the CB changes the rate of 7Day Repo, an intermediate instrument of the BoA policy. The lack of correlation between money market movemetns and the 7-Day Repo rate weakens it as an instrument and the BoA's ability to influence the money market.

Thirdly, we have a gradual strengthening of the Lek since the end of the first decade of this century. The strengthening of the Lek has been attempted to be explained by economists through various factors which we will analyze below.

But this reality raises an important question: How can you implement an effective Monetary policy? Monetary policy is important for any economy. Many of the successes and economic crises of the last century and the current one can be attributed to monetary policy.

Monetary policy is exercised in several pillars. According to Taylor (Taylor, 2001) and many other scholars some of the pillars of Monetary Policy of a CB are:

1. Exchange rate - This is called the "bipolar" option because there are only two good alternatives, fixed or floating exchange rates.
2. A target inflation rate.
3. The role of the employment level, if a CB includes it in its objectives.
4. A monetary policy based on rules (Policy Rule). "Policy Rule" is a plan of measures of the CB that reveals how the monetary policy instruments will be adjusted, which mainly relate to:
 - a. Target interest rate.
 - b. Monetary aggregates and decisions to adapt them.

The challenge of designing an adequate monetary policy becomes even greater when we consider global financial integration. The 2008 crisis did not directly affect developing countries, but its effects were transmitted by global financial integration mechanisms such as capital transfers to multinational companies, "deleverage" or even remittances (see Aizenman, 2001)

1.2. The "Impossible Trinity" of Monetary Policy

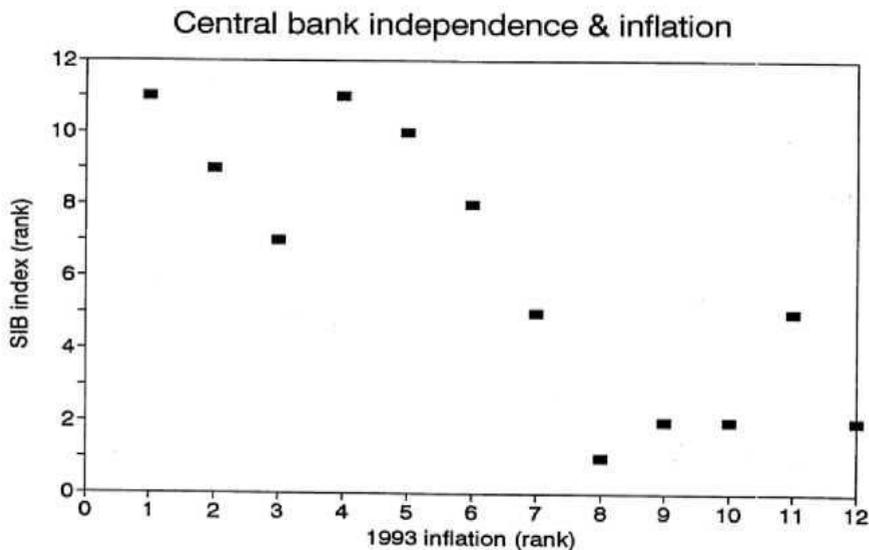
Operating in an integrated global market, Albania has chosen not to anchor the Lek with another currency, as Macedonia, Bosnia and Herzegovina, Bulgaria or other countries have done, not even with a "board" of currencies, but has left the Lek to compete in financial markets with other currencies.

According to the Fleming-Mundell model, this choice of the BoA, which must be said to be reasonable, conditions the BoA to choose one of the other two instruments of the trio called the "impossible trinity". The "Trinity Impossible" model states that it is impossible to achieve the following 3 objectives at the same time: Firstly, a fixed exchange rate, second, freedom of movement of capital, or financial integration with global markets, and third, an independent institution to carry monetary policy.

Independence of the monetary authority is studied by Grilli, et.al, divide the independence of the central bank into political independence and "economic independence". Their study shows that an independent central bank produces better long-term results for the economy than a politically or economically controlled central bank.

Loungani and Sheets (1995) conclude in their study that from a causal point of view it is sufficient to increase the independence of the CB to have improved price stability.

Chart 1: Independence of Central Bank and Inflation



Source: Loungani, Sheets, 1995,

In the second point it is simple to see how capital control does not work in a global economy when Foreign Direct Investment (FDI) is one of the main factors of economic development. Borenzstein et.al (1995) conclude that FDI affects economic growth more than domestic investment.

Even in the first point, Albania has chosen the flexible exchange rate in what is called "bipolar choice" where the other option is a fixed exchange rate.

1.3. Euroization and PM

The problem that is being treated in this study has to do with the effectiveness of PM instruments in the conditions of Euroization of the levels of Albania or some countries in the region and the world. We note, as well as other authors and researchers, that there is evidence that the effectiveness of PM followed by the BoA is weakened and undermined by the degree of euroization in the country.

Balino (et.al) in a study for the IMF express the challenge of choosing the intermediate target, the final target being price stability, in monetary policy. According to Balino (et.al - 1999).

According to them, dollarization, or in the case of Albania and the region we have euroization, complicates the choice of intermediate objectives of the PM because it introduces a new component in the PM, that of foreign currency in the money supply. Given that more than half of financial transactions are conducted in foreign currency, which is beyond the control of the BoA PM, then any successful PM must consider the supply of foreign currency in the money market. This judgment, on the importance of including foreign currency in PM objectives, is based on an important assumption, that money supply is related to national output and prices. We will develop this assumption below.

This challenge also brings into focus the issue of targeting the short-term interest rate against the monetary measure or the use of a wider range of factors.

What we can say at this stage of the study is that PM has not been effective in achieving the objectives. It is true that macroeconomic stability has been maintained with low inflation and positive economic growth. But at what cost?

The WB report of 2018 estimates that inflation remains far from the target in the Western Balkan countries. The 2018 report entitled: "Weaknesses Slow Growth" (chapter 5, page 15) on monetary policy states that we are far from achieving the objectives of economic growth and inflation.

This problem has accompanied the Albanian economy in the past 10 years when the inflation target has not been reached.

The WB study (2018) continues to comment on the effectiveness, or lack of effectiveness, of monetary policy transmission channels. In the comments of the WB, although the PM of the BoA was in support of the increase "transmission through credit channels is reduced" (WB - Report 2018)

1.4. Importance of having appropriate response to the economic challenges through Monetary Policy.

Albania's Monetary Indicators are showing signs of an inadequate Monetary Policy in response to the dynamics of the Albanian economy. Some of these indicators have come as a surprise to the BoA and economic experts. The strengthening of the Lek in the foreign exchange market has prompted the BoA and well-known economists to make statements that provide explanations of this reality.

Everyone accepts the important role that money plays in the economy. This feeling is expressed by Modigliani's irony "We are all monetarists" in response to the rise of Monetarism to the level of dogma in the years of American stagflation of the '70s and '80s.

The Albanian economy has shown signs of strengthening but with a downward trend in the long run (see WB report, 2018). The main indicators of monetary policy have shown the symptoms of an inadequate monetary policy.

1.4.1. Inflation

The main objective of the BoA Monetary Policy is set by law and is to maintain inflation at + - 3%. This objective of the BoA has been heavily criticized by economic experts but also by the international literature. These economists also propose some other indicators for measuring the effectiveness of monetary policy, such as the level of unemployment, the exchange rate of the national currency against foreign ones, the demand for money in the money market or other factors.

Through Monetary Policy instruments, the Bank of Albania aims to achieve medium and long-term objectives.

But the BoA has faced challenges in achieving its monetary policy objective. This concern is expressed in the WB report of 2018. In this study it is said that the PM of the BoA continues to be accommodating. Low inflation of about 2% is far from the target of 3% and as a result the

BoA will continue to maintain the short-term accommodative interest rate of 1.25%, which is at this level since May 2016. WB sees signals that the interest rate may increase at the end of 2018.

If we want to compete in regional and European markets then we must understand all the factors that affect the transmission mechanisms of PM and be considered when designing and executing these policies.

1.4.2. Money Supply

From 2000 to 2008 the BoA used the money supply, M3, as an intermediate Monetary Policy Instrument

Monetary aggregates were calculated

$$M = a_0 + a_1M_0$$

where:

M = nominal value of the monetary aggregate.

M₀ = nominal value of the monetary base

a_i = velocity of money circulation, or multiplier of the monetary base. (dM / dM₀)

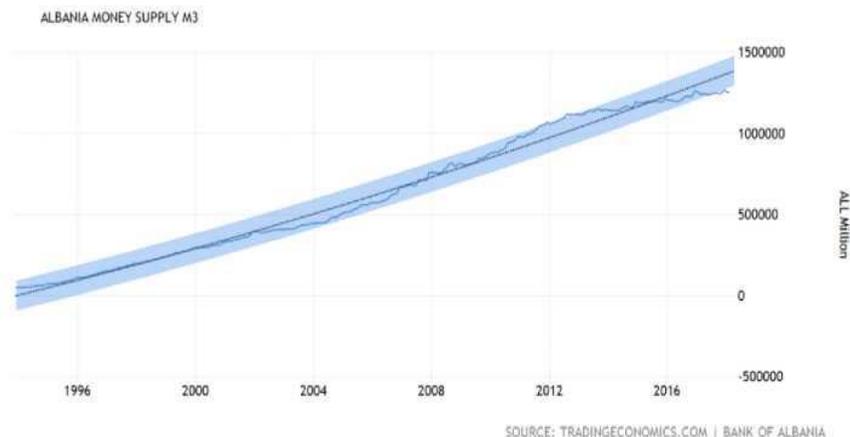
a₀ = constant

Instruments for the execution of monetary policy have evolved in line with the international literature. Until 2008, the BoA had as an intermediate instrument of PM the targeting of Monetary Measure, Increase of M3 with Inflation (n = 3%) + Economic growth.

From the analysis of Monetary Policy it results that this operational instrument, or intermediate objective, has been ineffective. The reason for the lack of effectiveness of PM we argue that it has come due to the weakening of PM transmission channels as a result of euroization and failure to take into account this factor with adequate policies. (Argue this in Chapter IV-I)

An analysis of the Money Supply in Albania makes it clear that in recent years there has been a deviation of the Money Supply from the target exchange rate. Although the BoA has pursued accommodative monetary policies they have not been sufficient to increase the demand for money held by consumers and banks.

Chart 2: Albania money supply through the years



Source: BOA.

What are the reasons that led to a contract of money supply?

According to Handa (2009) there is a tendency for CB to consider the key interest rate as a better instrument for controlling monetary aggregates. Monetary aggregate control, M, is no longer preferred.

This move was also made by the BoA. The "Monetary Policy Document" of 2008 and previous years in Chapter III (page 7) states:

The intermediate objective for 2008 is the annual growth of money supply (M3). Determining the annual growth of M3 as an intermediate target is based on the argument that inflation, being generally a monetary phenomenon, is influenced by the increase in money supply. For this reason, the Bank of Albania intends to control the growth of cash in the economy, so that the supply for them corresponds to the need of the economy for real cash. Based on the economic growth forecast for 2008, the Bank of Albania's inflation target, as well as the latest monetary developments trends, the Bank of Albania will aim to control the growth of money supply at 14.2 percent. for the year 2008. "

The BoA aimed to increase the money supply by 14.2% in order to respond to economic growth and inflation.

This PM instrument has been abandoned in recent years in favor of the key interest rate. Although the BoA says it is still monitoring this instrument making it clear that the instruments used have not resulted in monetary aggregate M in line with targets, inflation and economic growth.

The CBs have abandoned monetary aggregates as an intermediate instrument because the demand for money has proved unsustainable. As a result many CBs in developed countries have abandoned attempts to control demand for money in favor of interest rates. As a result, monetary policy economists have abandoned this as their field of study since the 1990s. According to Handa (Handa, 2009) recent studies have moved away from complicated models

of monetary aggregation in favor of simpler models which are easier for policymakers and the public to understand.

Although monetary aggregates are not used as PM instruments they continue to provide information on the performance of money demand. At this point we can make two brief observations of the signals we receive from monetary aggregates. The first has to do with increasing M3 supply. M3 growth has been weak and has resulted in inflation in the economy below the bank's targets. The second has to do with the exchange rate which is the price of the Lek currency expressed in other currencies. Compared to the common European currency, the Lek has appreciated, showing a stronger relative demand.

1.4.3. Base Interest Rate

In 2009 the BoA abandoned monetary aggregates in favor of the interest rate as an intermediate target. The study of the "Monetary Policy Document" of the BoA for 2009 - 2011 in Chapter VII states:

"The operational objective of the monetary policy of the Bank of Albania will be to orient the short-term interest rates of the interbank market close to the key interest rate of the Bank of Albania, set by its Supervisory Council, as well as to limit their fluctuations."

The same is said in the years 2012 to 2018.

Targeting the interest rate as an intermediate instrument exposes the possibility that the monetary balance, or monetary base, does not reflect the need for an accommodative policy as the amount of money available to the economy does not change.

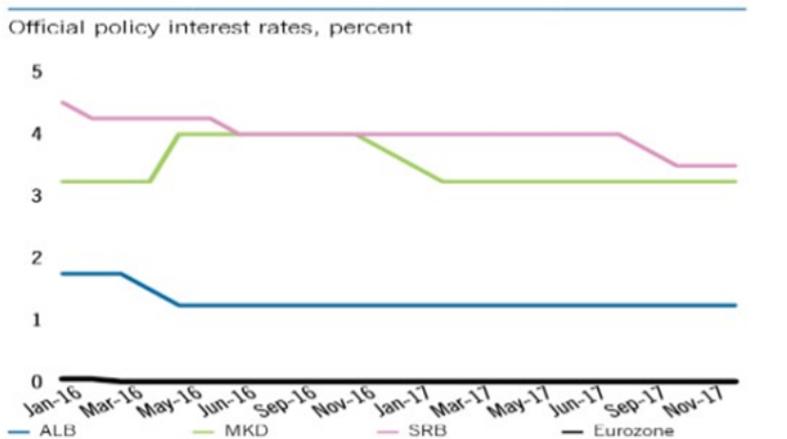
But the most important question is: What role does the foreign currency interest rate play, the euro interest rate set by the ECB in our case, in the decision to set the national currency interest rate? Models have been proposed that take this factor into account such as that of Basso et.al (Basso et.al. 2007).

1.4.4. Exchange rate

What is the reason for the strengthening of Lek compared to Euro and USD? This observation and question does not escape the WB study (2018 Report). The study affirms the fact that Albania's monetary policy has been accommodating by keeping the key interest rate at low levels.

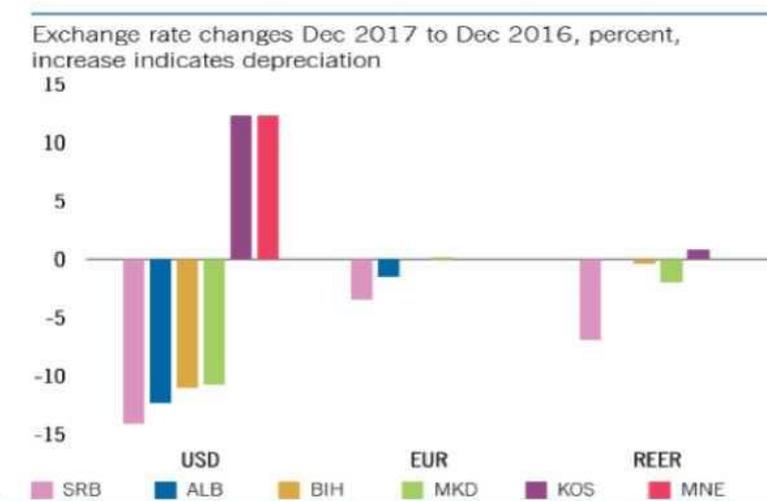
The BoA has maintained one of the key interest rates significantly lower than the respective institutions (see Figure 2) in the Balkan region but significantly higher than that of the EU.

Chart 3 Policy Interest Rate



Source: National authorities; Eurostat; World Bank staff calculations.

Chart 4: -Exchange Rate movements in the region



However, the strengthening of the national currency is observed with a kind of disappointment as it has given its effect in not achieving the inflation target. The strengthening of the Lek by 1.7% against the euro and about 13% against the USD has reduced import prices by reducing inflation and with significant effects on the state budget. The BoA, however, is considering raising the key interest rate at the end of 2018.

This phenomenon is presented in the graph in Figure 5: 4.

What is the reason for this reality in the exchange rate? Economists' explanations have been mixed. Below we will analyze some of the answers given in explaining this reality.

2.1. Fundamental factors

What role did the fundamental factors play in strengthening the Lek and which fundamental factors led to the strengthening of the Lek exchange rate?

The BoA and its President, Genti Sejko, have billed this strengthening to "fundamental economic factors".

Chart 5: Exchange Rate, All/euro, All/USD, USD/EUR

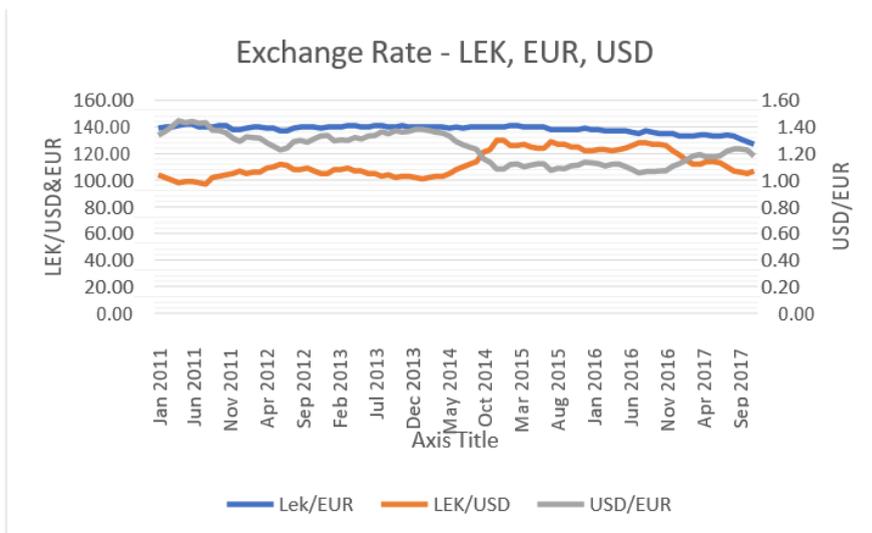


Figure 1 Bank of Albania, FRED Saint Lewis and author calculations

Since 2011 the Euro has lost 10% of its value compared to Lek. Do fundamental factors explain the strengthening of the Lek against the Euro and the Dollar to this extent?

At this point we will suffice to say that if it were the fundamental factors that brought about this change they must have been internal and not external. We can see this in Chart 1 in the relationship between Lek against Euro and Lek against USD. The pair LEK / USD and USD / EUR have identical relationships with a correlation of almost -1. All USD / EUR movements are reflected in the LEK / USD relationship, with almost perfect correlation, -1, while it is not reflected in the LEK / EUR relationship.

2.2. Correlation analysis between 3 currencies

We see this conclusion more clearly when we look at the correlation between these 3 pairs and make statistical measurements.

Table 1 Correlation between 3 currencies

	<i>Lek/EUR</i>	<i>LEK/USD</i>	<i>USD/EUR</i>
Lek/EUR	1		
LEK/USD	-0.07344	1	
USD/EUR	0.188655	-0.98962	1

BoA, FRED and author caclulations

For the period January 2011 to October 2015, the correlation coefficient for the LEK / USD pair against the Lek / EUR pair is -0.07, a rather weak correlation reflecting the fact that the LEK / USD pair has stochastic movements influenced by international markets. (more on this in the chapter on the exchange rate) What is impressive is the correlation between the pair USD / EUR against the pair LEK / USD which is at -0.99 and with high statistical significance.

From the data above we see that there is a strong correlation between the pair USD / EUR and the pair LEK / USD with $N = 58$, $r(56) = -0.99$ and with $p < 0.001$. But there is a weak correlation between the pair USD / EUR and LEK / EUR when $r(56) = 0.19$ but with $p = 0.16$, so statistically not significant.

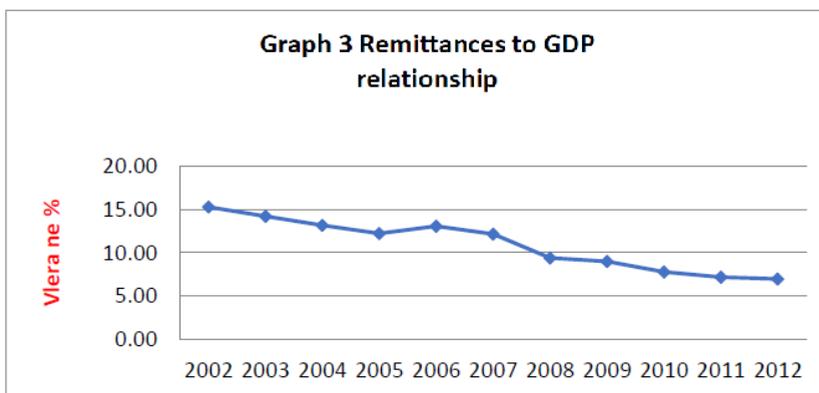
This means that the domestic market has reflected the international market in the exchange rate of USD against LEK but not in that of LEK against EUR.

Domestic fundamental factors have had a stronger weight in the recent movements of Lek against EUR compared to international fundamental factors.

3.1. Remitancat

Remittances fell sharply during and after the "Great Financial Crisis". The decline was both in absolute terms and in terms of GDP ratio.

Graph 6: The chart below explains the percentage of remittances to GDP in the period 2002-2012.



BSH – and author calculations

There is clearly a decline from over 15% in 2002 to about 7% in 2012. The analysis of the factors that led to the decline in remittances is out of focus of the study. The decline in remittances results in a decline in foreign currency supply, mainly in euros, and as a result we would expect a weakening of the Lek against the Euro.

So we notice that other powerful factors have canceled the effect of falling remittances to the extent that have led to the strengthening of the Lek. Remittance fluctuations therefore do not explain the exchange rate or inflation below targets.

3.2. Foreign exchange revenues from illegal trafficking

Other economists link this to "internal factors", others say that the strengthening of the lek is due to remittances from emigrants, others due to the increase in foreign exchange inflows from tourism or there are also those who bill inflows from drug trafficking and other illegal trafficking.

It is the author's opinion that these justifications have partial merits and partial errors.

The merits and demerits of each should be elaborated in further studies.

References

- [1] Bank of Albania, 2008, Monetary Policy Document" of 2008
- [2] Borensztein, Gregorio, Wha Lee, 1995, "How Does Foreign Direct Investment Affect Economic Growth" Working paper No. 5057
- [3] Della Valle, Vasilika Kota, Romain Veyrune etj. - Tirane : Banka e Shqiperise, 2018 <https://www.sciencedirect.com/science/article/pii/B9780444534545000128>
- [4] Della Valle, Vasilika Kota, Romain Veyrune etj. -Tirane : Banka e Shqiperise, 2018
- [5] Henrique S. Basso, Oscar Calvo-Gonzalez, and Marius Jurgilas, Financial Dollarization the Ole of Banks and Interest Rates
- [6] Jagdish Handa - 2009 - Monetary Economics
- [7] Joshua Aizenman - 2011 - The Impossible Trinity - from the Policy Trilemma to the Policy Quadrilemma
- [8] Lungani,P., Sheets,N., 1995, Central Bank Independence, Inflation and Growth in Transition Economies, Board of Governors of the Federal Bank of Reserves.
- [9] Taylor, John, B. 2001. "The Role of the Exchange Rate in Monetary-Policy Rules." American Economic Review, 91 (2): 263-267.
- [10] Tomás J.T. Baliño, Adam Bennett, and Eduardo Borensztein - 1999 Monetary Policy in Dollarized Economies
- [11] Tomás J.T. Baliño, Adam Bennett, and Eduardo Borensztein and comprising Andrew Berg, Zhaohui Chen, Alain Ize, David O. Robinson, Abebe Aemro Selassie, and Lorena Zamalloa , 1999, "Monetary Policy in Dollarized Economies" IMF.
- [12] WB Report 2018 me titull: "Dobesia Rritja e Ngdalte" (kapitulli 5, faqe 15)

Roman-Catholic Parish Registers of the Northern-Eastern Part of the Former Poland Under the Russian Rule (the Second Half of the XIXth Century)

Leonarda Dacewicz

(University of Białystok, Poland)

Extended Abstract

The subject of the present study is the collection of parish registers covering the period from 1865 until 1918 (the period of the Russian rule), kept in the deaneries of Białystok, Grodno and Sokolka. The two deaneries were a part of the former diocese of Wilno (Vilnius) situated in the northern-eastern part of the former Rzeczpospolita (the locally used name of Poland, a calque translation of the Latin expression *res publica*). The registers are safekept in the Archdiocesan Archive in Białystok. The whole collection of registers (i.e. of the birth, marriage and death records) kept for the deaneries of Białystok, Grodno and Sokolka (the latter not included in this study) between 1865 and 1918 comprises as many as 160 large volumes. The chronological scope is partially due to the availability of sources. The initial date of the collection in question is the year 1865. The final caesura is related to the restoration of Poland's sovereignty followed by the restoration of Polish as the official language used in church registers; the year 1918 serves as a reference point as in some parishes the Polish language was reinstated earlier, while in a few others – later. The Council of Trent decided that presbyteries should run offices to make a record of pastoral and administrative duties of parish priests (ministers) and curates. The priests began to keep registry books of baptisms (*Libri baptisatorum*), marriages (*Libri copulatorum*), and burials (*Libri mortuorum*). Sometimes parish offices kept registers of all parishioners (*Libri status animarum*). Decisions expressed in the decrees of the Council of Trent, as well as these codified in the Roman Rite of 1614 played a significant role in the development of church record-keeping of believers in particular Polish dioceses. However, it was not until the second half of the 16th century that such practice was made obligatory in Poland by the councils of the Church. After the initial introduction of church registers in Poland, the records were kept in a diversified manner¹. Before the partitions, the format of notation in the records of baptisms, marriages and burials was determined by several factors. To a large extent it depended on the exactness of provided information, but first and foremost – on the meticulousness and diligence of priests responsible for record-keeping. Social and financial status of parishioners was also of vital importance – the records concerning nobles, wealthy gentry officials and municipal patriciate were characterized by a significantly more detailed form and, consequently, more information². Before the Partitions, the records were managed superficially and without any unified system of notation. This was changed by the partitioners that charged priests with the office of BMD (i.e. Birth, Marriages and Deaths) registrars and introduced uniform standards of record-keeping. However, the solutions binding on each annexed territory were different³. The aim of the present study is to assess the archival collection under scrutiny in terms of its value and usefulness for different types of research. This work is also meant to provide a general account of names that referred to the social classes of the day, the offices, ranks, positions and occupations, and that were used after the Russian language was forced on Roman-Catholic church administration. The article further presents different ways of identification of the persons recorded, especially as the anthroponymy of the 19th century regions of Białystok and Grodno has so far received little recognition. There are several reasons for this lack of attention, but the most important seems to be difficulties with the excerption of linguistic data from the quantitatively and qualitatively rich handwritten Russian sources – the majority of manuscripts (particularly those dating back to the first half of the 19th century) are now outside Poland. On

¹ B. Kumor, Parish registers in diocesan archives (*Metryki parafialne w archiwach diecezjalnych*), „Kwartalnik Historii Kultury Materialnej”, 1966, No. 14, vol. 1, pp. 59-60). As shown by Hieronim Wyczawski, the oldest Polish parish registers are the records of St. Mary parish in Kraków (1576), the records of the parish of Bochnia (1559), and the collegiate church of Tamów (1576). An extensive preliminary archival research would undoubtedly expand this list. There are only very few 16th and 17th century registers that have survived, with a significantly larger number of volumes dating back to the 18th century, and almost all records written in the 19th century (in: Rev. H. E. Wyczawski, An introduction to the research into church archives (*Przygotowanie do studiów w archiwach kościelnych*), Kalwaria Zebrzydowska 1989, p. 278).

²C. Kuklo, *Demography of Poland before the Partitions (Demografia Rzeczypospolitej przedrozbiorowej)*, Warszawa 2009, p. 101.

³Cf. H. E. Wyczawski, op. cit., p. 278.

the grounds of the chronology of sources and the volume of material, the collection of parish registers seems invaluable from the perspective of historical and demographic investigations, social stratigraphy, sociological investigations and onomastic studies. Presentation of these sources, along with the description of information they contain and the popularization of research opportunities would undoubtedly enrich cultural heritage. The importance of such studies lies first of all in the broadening and deepening of knowledge about Polish society of the time of bondage. The 19th century was a special period in the history of Poland – the country that existed only in the Poles' minds after it had for a long time been erased from the political map of Europe due to the partitioning perpetrated by Austria, Prussia and Russia. The 19th century in historical and onomastic studies of the Polish and East-Slavic frontier is still poorly recognized for different reasons. Due to the order that registers should be kept in the Russian language, the anthroponymy of the inhabitants of the region in question was subject to different adverse changes that require description and indication of their effects. Anthroponymy of the second half of the 19th century has been presented in only few publications, e.g. L. Dacewicz, Russification of personal names in Catholic parish registers of the Białystok deanery under the Russian rule (years 1865-1918) (*Rusyfikacja nazewnictwa osobowego w katolickich księgach metrykalnych Dekanatu białostockiego w okresie zaboru (lata 1865-1918)*), „*Slavia Orientalis*”, vol. LXIV, No. 2, 2015, pp. 363-374; L. Dacewicz, Socio-cultural determinants of giving double names in the Białystok deanery in the second half of the 19th century (*Uwarunkowania socjalno-kulturowe nadawania imion podwójnych w Dekanacie Białystok w II połowie XIX wieku*), *Studia Wschodniosłowiańskie*, 2017, pp. 169-186; source materials in one compilation: L. Dacewicz, J. Chomko, J. Smakulska, Baptismal records of the Roman-Catholic church in the Białystok deanery in the second half of the 19th century. The contents and structure of the registers. Alphabetical lists of names (*Księgi metrykalne chrztów Kościoła rzymskokatolickiego dekanatu białostockiego z II połowy XIX wieku. Treść i struktura metryk. Alfabetyczne spisy imienne*), Part I, Białystok 2017. On the other hand, the authorities of the partitioning powers implemented a stable standard of registry notation that contained detailed information, which is why parish records, bearing testimony to that particular time, are a valuable source of data for researchers representing several scholarly disciplines. The registers under analysis abound in information about the above-mentioned social classes and nations inhabiting the Polish – East-Slavic frontier. Their pages are a record of true history of an enslaved society. Registry entries tell about demographic issues, social stratification, and the naming system including an inventory and popularity of names, structural types of surnames, or changes inflicted by the impact of the Russian language. It can be assumed that these documents have a very high level of credibility, however, so far their usefulness for academic investigations has not received much recognition.

Keywords: Roman-Catholic Parish Registers, Northern-Eastern Part, Former Poland, Russian Rule

Rebuilding “Front-Porch” Communication and Fostering Diversity through Online Instruction

Larry W. Riggs

Dr. Butler University

Sandra Hellyer-Riggs

Indiana University Purdue University, Indianapolis

Extended Abstract

Even as online college and university courses proliferate, there is an ongoing, significant debate about their legitimacy as educational equivalents of traditional, face-to-face courses. As professors with long teaching careers built in the face-to-face environment, but now deeply involved in online instruction, we ourselves have given much consideration to the effectiveness of online courses in pursuing important academic objectives. The debate about online instruction has been complicated, and perhaps distorted, by concern over the effects of social media and high-tech communication in general. In this paper, we will share, giving specific examples of pedagogical strategies, our own experience of online teaching in pursuit of goals such as transformative learning, contemplative learning, and the responsible exercise of free speech and honest inquiry. We like to frame our exploration of online pedagogy by referring to the front porch/back porch metaphor for contexts of communication. It is often said that the front porch, attached to a particular home but open to a wider community, has been or is being replaced by the back porch, on which families and intimate friends gather in a space closed to the larger, more diverse society. This dominant back-porch orientation is reflected, we think, in suburban planning and architecture, which create single family enclosures in “neighborhoods” without spaces that encourage contact with neighbors. Moreover, of course, the populations of such communities tend strongly to be homogeneous, in contrast to both large cities and small towns. The “echo chamber” or “bubble” of social media seems to reinforce the tendency to associate only with familiars.

Our experience indicates that, managed appropriately, the online learning environment can actually create somewhat of a front porch, on which students openly and responsibly exchange their responses to learning. In this paper, we will show how we combine course content, which itself brings students into contact with diversity and social issues in general, with assignments and activities that emphasize both solid research and honest self-expression on the issues raised by the content. In contrast to environments in which students interact with others essentially selected for like-mindedness, an online course, properly managed, obliges them to enter into serious exchanges with a diverse set of interlocutors. We find that our own assessments, and students’ own reflections on their online experience, support our originally intuitive idea that the online learning environment could function as a meeting or transition point between the individual, or private, and the public, or collective. Our goals, which we find to be effectively pursued by these pedagogical techniques, are to foster free speech with mutual respect and evidence-based argumentation, and deepening consideration of diversity as it manifests itself among the students, themselves, as well as in the historical and contemporary issues we study.

Among our pedagogical strategies for establishing a kind of “front porch” in our online classes, the most consistently successful has been our systematic use of discussion forums. As we use it, this strategy involves formulating a set of prompts for each course unit, asking each student to post a 250-word response to one of the prompts, and also to post a 250-word response to another student’s initial post. These forums always generate posts differing in interpretations of the materials and explicit acknowledgement by individual students of others’ contributions to expanding their thinking. In other written assignments, we ask that students refer to these discussions among the course materials they cite. We also ask the students to write a reflection essay in which they comment on the ways in which the discussion forum exchanges, and the courses in general, have made them aware and accepting of a multiplicity of perspectives and more critical about their own thinking. In formulating the prompts, we emphasize the aspects of the course contents that are inherently productive of significant discussion, that encourage acceptance and even celebration of diversity.

We find that our conceptualization of our online courses, and of specific assignments in those courses, in terms of the “front-porch/back-porch metaphor has produced real learning in the areas of diversity, critical thinking, and transformational

learning. In all of these areas, encountering and responding to differing perspectives on inherently complex and challenging course materials is crucial.

Keywords: rebuilding “front-porch” communication, fostering diversity, online instruction

UN Administration of Justice in the Post Armed Conflict Societies: UNMIK Case in Kosova 2000-2006

Musa Xh. Dragusha

Florim Shefqeti

Extended Abstract

In general, Kosova while being part of former Yugoslavia, within it has inherited the same judicial tradition as continental systems of justice. Upon the breakdown of Kosova, justice system in 90 years, practically, all Albanian judges and prosecutors were dismissed from their positions. After this, part of them started to work as private lawyers in the instrumentalized courts, while many of them were somehow forced to completely abandon their profession, without practicing at all for the last ten years. Therefore, to all of these judiciary professionals that Kosova had after the war, lacked the recent judicial experience. Moreover, an experience from the previous socialist system was used as poor preparation towards the work in the new democratic system. Only few of them had direct knowledge on modern legal, democratic and international standards on human rights. After an armed conflict in 1998/99, Kosova was put under UN Administration. Thus, Civil Administration brings into force administration of the United Nations post-conflict in 1999 year that has foreseen four regions – or Pillars of politics and operations, in the way that responsibility for each has been assigned to various international institutions. These Pillars have been re-established upon the completion of initial aid delivery of UNHCR and were composed by: Pillar I – on law enforcement and judicial system (about which are responsible together with UNMIK and OSCE); in charge on establishment and administering of judicial system. OSCE, within the Pillar III, is engaged in monitoring judicial system in accordance to the standards of the rule of law, and in the training and development of judiciary and legal profession. When international community in the first months after its presence in Kosova, took steps towards establishment of judicial system, the situation was almost hopeless: without facilities and infrastructure and lacking of competent people. Kosova, that just left out from the aggravated situation of repression, systematic violence and war wounds, chances to rebuild the trust of community at the justice were almost invisible. It looked that there was no alternative: previous system of justice was set up despite the social, economic and political changed circumstances. Even worse, a legal framework was put to the system in question, which system was miserably and unmanageable coordinated, and was composed from number of laws and archaic procedures of the previous system, covered by international conventions and supplemented by *ad hoc* Regulations approved by UNMIK. Therefore, a system of entirely socialistic nature that has served to the limited Kosovo justice system until 1989 year, very soon in practice resulted to be inadequate on the completely changed circumstances, in which unnaturally was restoring. However, combined efforts of UNMIK and donor community have fulfilled many short urgent requirements of judicial system: courts and prosecutions were functioning, services were restoring, monitoring Reports in continuation were pointing out disturbing failures, most of them were essentially related to the independence of fragile judicial system, out of which was mostly Remaining of judicial authority under the governance/administration of UNMIK- Justice Department and Ministry of Public Services, functions of which include, as well, recruitment and employment of all support staff in the courts and prosecutor's offices. While international standards define that Judiciary shall function as an independent branch that will promote and respect principle of sharing power through setting up organizational structures, the system shall be established on the basis of principles that promote independence, whereas an independence of Judiciary shall be ensured from the State and based to the Constitution and Law. Governmental and other institutions shall respect the present independence. Judiciary shall have an authority for constitutional review, also, to review actions of executive and legislative powers, with an authority to report unlawful ones when they are in breach with the law. Specialized Courts shall have an opportunity to interpret with authority the Constitution, to decide upon the constitutionality of laws, and on administrative and executive actions. Judiciary shall have this authority to state laws and unlawful actions when they are in violation with the Constitution of the Country. An approved Court decision to be respected, or willingly or through the use of departments with certain powers. ***In this period of time, at the other point*** Judges and Prosecutors are appointed by SRSG from the list of candidates proposed by Kosovo Judicial and Prosecutorial Council (KJPC) and approved by the Parliament. SRSG, is as well responsible for decisions on

promotion, transfer or dismissal of Judges after the recommendation coming from Kosovo Judicial and Prosecutorial Council, or, in an extraordinary cases, with own initiative. Lay Judges are assigned in the Panels together with professional Judges in the Municipal Courts and in the higher Courts. Lay Judges are appointed by SRSG upon the recommendation of KJPC. International Judges and Prosecutors may serve within the judicial system in accordance to the rules established by SRSG. An existing mechanism on appointment of an international judge or prosecutor allows international judges and prosecutors to choose and take over the responsibility on recent and pending cases, respectively, within the jurisdiction of the court or prosecution where they are assigned. Even the Defendant, Prosecutor or Defence Counsel may submit a request to the Justice Department for such appointment, while the Department, upon such recommendation may itself recommend to SRSG to assign an international for that case. Even if sharing management responsibilities was not difficult, the court legislation of Kosova prior to 1989 year that regulates the present tasks of the Court shall require a considerable review. Legislation was a product of another system and era in which an effectiveness of work was not priority and nor a value. Between other archaic provisions, the present legislation as well, lists, often, in a very detailed way-the administrative tasks that should be conducted at the Court and in the strict manner to define the tasks that shall be carried out by individual rankings and positions. Many of these types of provision are considered as statutory limited in several Courts, and in some cases they were occupied by UNMIK Regulations that formed one centralized machinery. This old school model of imposing the manner on how the Courts should function, resulted to be old-fashioned and consumed the sources that may direct in other more productive results. The consequences of bad management of the justice system, for the period of time 2000-2006 being under administration of UN, known as UNMIK, turned out to be long term for Kosova, since their effect is still noticeable to this day.

Keywords: UN Administration, Justice, Post Armed Conflict, Societies, UNMIK, Kosovo

Entrepreneurship Program on the Blockchain: A Proposed Framework

Ahmed Gomaa, Ph.D

Satya P Chattopadhyay, Ph.D

Institution / Affiliation: Kania School of Management, University of Scranton, USA

Abstract

The University entrepreneurship program is instilling the concept of learning by doing. Students are provided with space and resources to start their business. Graduating students pass the business assets to new students to continue the business. This paper lays the foundation for a comprehensive paradigm based on blockchain technology that addresses the challenges below, by seeking input from stakeholders involved. It is a challenge to define a consistent metric of success for a student run business: is it the knowledge gained by the students running their own business, or the profits generated by the business? A second challenge is to quantify and record the amount of time and resources deployed to support to the student-run business that would lead to a successful business. There is no model that allows for practical record keeping of such efforts. The third challenge is to increase the level of engagement across student-run businesses to create an eco-system of entrepreneurship. Students tend to cooperate with each other at various levels, and a mechanism is needed that allows them to provide services to each other and to record such services in a trusted manner. The fourth challenge is ensuring the business continuity when many students abandon their ventures upon graduation. Then the businesses simply die, businesses' assets remain unused and the business knowhow gets lost. The fifth challenge is a sustainable path of student-run business funding. The sixth challenge is providing access to specific professional expertise, beyond those available through existing University resources.

Keywords: Entrepreneurship program challenges, Blockchain, framework development

The Website of the Organization- the Own Media Enterprise-a Logical Consequence of Mediatization of Communication

Ana-Maria Teodorescu

PhD Lecturer in Media Studies Faculty of Letters Department of Communication Studies
Communication & Public Relations University of Bucharest Romania

Abstract

The starting point of the current demonstration is mediatization of communication as processes by which social change in particular (all) fields of society has been shaped by media and, especially organizations as such. The object of mediatization is the influence of media institutions and practices in other fields of social and institutional practice for creating a social identity. The concept of mediatization has been researched by many scholars, but Lundby has made a multidisciplinary approach in his collection of perspectives- *Mediatization of communication*. In this regard, his approach on mediatization of communication might join another perspective the one of EUPRERA –European Public Relations, Education and Research Association, materialized in a yearly survey, namely the one in 2015 European Communication Monitor (ECM)-2015, which has focused on the relevance of future media for strategic communication in organizations, using the operational concept PESO-Paid, Earned, Social and Owned media-for any organization in their strategic management. The experience of the data collected in the survey has been validated the strategic communication since 2007. The last term in PESO - Owned Media is the referential object of the current article. Wilcox has defined the organization's website as "the basic foundation block for projecting a favorable image, building trust and establishing credibility". For our demonstration, the research has followed the three main steps: (i) to define the mediatization as a process in an interdisciplinary view according to literature review in the issue; (ii) to identify the main process in the strategic management of the organization in digital era and (iii) to define and elaborate a possible framework for the organization 's website as a possible owned media, a current consequence of the practice of the mediatization of communication in an organization-Romanian comparative case of three organization-a public, a corporate and a nonprofit one for projecting the image, eventually building trust and offering in time credibility, using Sandra Oliver model.

Keywords: website, organization, own media enterprise, logical consequence, mediatization, communication

Inequality in Access to Elite Higher Education in China: An Exploration of the Experiences of Young People from the City of Hohhot

Ran Qi

PhD Candidate, School of Education, University of Bristol

Abstract

Although China has her own university entrance system, a national examination, the exact admission marks for each student depends on which province they are from. Thus, the admission standard is partly decided by students' household registrations rather than only their examination performances. The central problem of the study is to explore how the current elite university entrance mechanism and household registration system influence or limit the lives and aspirations of young people from the city of Hohhot and their further educational trajectories or career choices. The study is a qualitative research and semi-structured interviews with young people from the City of Hohhot were carried out to collect data. Participants talked their life stories of attempting to access elite universities and opinions towards the social issue. Thematic analysis was taken for the collected data. The findings highlight implications for individuals and indicate that status in Chinese society depends on association with an elite university and show how household registration mechanism influences or restricts mobility, opportunity and frustrates aspiration of individuals. This system encourages both legal and illegal game playing by parents and the latter can have significant, possibly life-changing well-being costs for young people. Further research can focus on the improvement of the capability of students to map routes towards realising their aspirations beyond entry to an elite university and the impact of household registration system on the well-being of teenagers and young people.

Keywords: higher education, access to universities, social equality, household registration system

Cognitive Biases and Cultural Training

Marie-Therese Claes

Abstract

Cultural trainings for managers as well as students have become standard. The trainings are using material based on the traditional positivist approaches of culture, such as 'cultural dimension'. The paper will elaborate on the mechanisms at play when we design cultural trainings in an attempt to understand the root causes of cognitive biases, using the theory of Kahneman's (2011) System 1 and System 2. It will examine the cognitive biases that are unconsciously used in cultural trainings, and the impact they can have on creating and reinforcing stereotypes and generalisations. Dichotomies create an evaluative discourse about the others, such as the opposition between the 'rational', 'modern', 'democratic' West and the 'emotional', 'traditional', and 'nepotic' East. The same kind of bipolar dichotomies can be identified in cultural dimensions such as 'neutral-affective' or 'universalism-particularism' (Trompenaars, 1993), which hide oppositions between 'rational-emotional' and 'discipline-nepotism'. Postcolonial researchers have studied this concept of 'the Other' and 'othering' (Fanon, 1967; Jackson and Moshin, 2010). We 'otherize' when we compare cultures, putting 'the Other' in opposition to our own culture, mostly empowering us to the disadvantage of the others.

Keyword: cognitive, biases, cultural, training, students.

The Impact of Computer / Console Games on Autonomous Language

Tariq Elyas

European Languages Department, Faculty of Humanities & Arts, King Abdulaziz University, Jeddah, Saudi Arabia

Abdulrahman Zaidan

English Language Institute, King Abdulaziz University, Jeddah, Saudi Arabia

Abstract:

This paper attempts to shed light on the impact of video games and their adjacent attachments on English language learning through self-centred attitudinal and aptitudinal factors involving learning autonomy and motivation driven by the vehicle of gaming. The method adopted throughout the paper is auto-ethnography describes the life learning process of ESL and ESP as a gamer. It's also proven in the written piece that learning through entertainment is an impactful wheel to steer the learning process towards learning independence. In the paper, we study one participant through exploration of over fifteen years of consistent learning through gaming. As part of auto-ethnography data collection, data was gathered through memory recall and further solidified by screen captures taken from the participant's past learning situations through games and PC assembly. It also contains samples from excerpts Taken from in-game texts, forums texts and gaming websites reviews where the participant used to fortify my English repertoire.

Keywords: autonomy; motivation; auto-ethnography; ESL; ESP.

Issues Concerning of Feminine Domestic Violence in Forensic Psychology Field

Mikołaj Cugowski

Institute of Psychology University of Silesia in Katowice, Forensic Psychology Diagnostic Center in Katowice

Abstract

The article deals with the issues of the phenomenon of domestic violence, with the indication of the particularly controversial and still not fully diagnosed in the field of forensic psychology, the issue of violence against people in close relationships, which women are the perpetrators of. The article is based on theories and reports from international scientific research of the discipline compared to the research carried out directly by the author and the results obtained in Poland. The study group consisted the "Blue card" forms that remain the procedure in Poland in the case where the threat of domestic violence was identified. The procedure "Blue card" provides for the determination of a person who is suspected of using violence and the circle of close relatives who are affected by this action. This procedure also allows you to indicate the forms of violence used, its frequency, level of brutality. In this way, through direct research conducted by the author of the article, 138 "Blue Cards" were filtered, in which women were convicted of violence against close relatives ones. The conducted research allowed to distinguish characteristic types and forms of domestic violence used by women, and to determine the frequency and intensity of violence depending on the degree of relationship / type of relationship with the victim. With regard to the applicability of research, the indication of the group of people most often injured by women's violence and the forms of violence experienced, allows to indicate the main recipients of the necessary psychological assistance, as well as diagnostic tips in this regard.

Keywords : family violence, domestic violence, types of violence, aggression, feminine violence

Intelligence Sharing in Fighting Transnational Organized Crime in Taiwan

Chung-young Chang

Abstract

This paper intends to explore the achievements and challenges that Taiwan's police force and security intelligence services have been facing in their fight against various forms of transnational organized crime in recent years. It will discuss the development and functions of intelligence sharing mechanism among relevant law enforcement agencies and intelligence services within Taiwan, assessing on the successes and failures of its operations and challenges ahead. Organizational interests, bureaucratic politics, concerns of respect for human right and lack of sufficient resources are some examples of the reasons or causes to be examined. More importantly, this paper will probe into the reality of Taiwan's external cooperation in sharing intelligence with its counterparts. A number of factors, including national interest concerns, political interferences from corrupted politicians and China, and lack of incentives for sharing intelligences, among others, will be discussed to further understand and improve the performances of crime-fighting strategies and operations. This paper is a follow-up study of this author who has been focusing on the role of the intelligence in fighting organized crime for years in his teaching and research work. The author will employ relevant literature and empirical study materials, including field surveys and interviews, to support the accomplishment of this paper.

Keywords: intelligence, sharing, fighting, transnational, organized, crime, Taiwan

Bioactive Compounds from Three Green Algae Species along Romanian Black Sea Coast with Therapeutically Properties

R. Sirbu

T. Negreanu-Pirjol

M. Mirea

B.S. Negreanu-Pirjol

Ovidius" University of Constanta, Faculty of Pharmacy, No. 1, University Alley, Campus, Corp B, Constanta, Romania

"Ovidius" University of Constanta, Faculty of Economic Sciences, No. 1, University Alley, Campus, Corp A, Constanta, Romania

Abstract

During the past years, it became obvious that the ecosystem presents a marine algae excedent, which should be utilized in one way or another. In the marine world, algae have been intensely studied, but the Black Sea seaweeds are not sufficiently harnessed. To survive in such various diverse and extreme environments, macroalgae produce a variety of natural bioactive compounds and metabolites, such as polysaccharides, polyunsaturated fatty acids, and phlorotannins. In the Black Sea there are three species of green algae: *Ulva lactuca* sp., *Enteromorpha intestinalis* and *Cladophora* sp. The superior exploitation of the marine biomass represents a highly important resource for the pharmaceutical industry, supplying raw material for the extraction of bioactive substances (vitamins, polysaccharides, sterols, phenols and amino-acids) and various other substances. The purity of this compounds is strongly connected to the state of the marine ecosystem. In the present paper are presented the main bioactive compounds existing in the chemical composition of the green algae in the Black Sea studied. The details of the therapeutic properties of the green algae generated by their chemical compositions.

Keywords: *marine biomass, Ulva lactuca, Cladophora* sp., *Enteromorpha intestinalis*, seaweed, bioactive substances.

Antioxidant Activity Correlated with Chlorophyll Pigments and Magnesium Content of Some Green Seaweeds

T. Negreanu-Pirjol

R. Sirbu

M. Mirea

B.S. Negreanu-Pirjol

Ovidius^u University of Constanta, Faculty of Pharmacy, 1, University Alley, Campus, Corp B, Constanta, Romania

Ovidius^u University of Constanta, Faculty of Economic Sciences, 1, University Alley, Campus, Corp A, Constanta, Romania

Abstract

The complex valorification of seaweed biomass represents a highly important resource for the pharmaceutical and dermo-cosmetic industry, supplying raw material for the extraction of bioactive substances such as, polysaccharides, vitamins, sterols, aminoacids, polyphenols and minerals. Marine algae represent an indefatigability resource of therapeutic active principles for diseases treatment of magnesium deficiency. The presence of chlorophyll pigments in the green algae confirms the magnesium existence, as central element in molecular structures. The main green algae, as *Ulva lactuca* and *Enteromorpha intestinalis* present on the Romanian Black Sea Coast, belong to *Chlorophyta* sp. In this paper we present a study of antioxidant activity correlated with magnesium content and chlorophyll pigments of the green algae *Enteromorpha intestinalis* and *Ulva rigida* (syn. *Ulva lactuca*) hydroalcoholic extracts. For chlorophyll pigments determination, the UV-Vis spectrometry was used. Magnesium content had been determined by absorption atomic spectrometry method, using HR-CS- AAS ContraA 700 apparatus, Analytik Jena and for total antioxidant capacity of green algae extracts, the photochemiluminescence method had been applied, using Photochem Analytik Jena apparatus. The comparative studies on two marine green algae extracts confirm the high magnesium content correlated with a high level of total antioxidant capacity for both species. The results obtained emphasize the possibility to enlarge the options to use these natural vegetal resources from Black Sea Coast, in different degenerative diseases therapy.

Keywords: *marine algae extracts, chlorophyll pigments, magnesium content, antioxidant activity*

Education, Person, Suffering

Tiziana Iauinta

Università degli Studi "Magna Graecia" - Catanzaro

Abstract

Talking about suffering is not easy. It is a delicate and complex topic which involves, personally and deeply, each human being's life through his/her personal distress, despair and, sometimes, even through annihilation: all the afore said places this topic in a sort of cultural form of exile. Suffering has almost become a taboo, even if it is more and more the object of show business nowadays and it is manifestly exhibited in public contexts. If, on the one hand, suffering plays a leading role in TV shows and it is the object of curiosity, on the other hand, far from the public eyes, it is put aside, even though it does not appear to be less thunderous. In the private sphere suffering is unsaid, denied, removed. Its exhibition has taken the place of its interpretation. Anyway, some worrying signals come from the new generations. The young people, in fact, seem to be incapable of going through and reacting to suffering, sometimes also to that suffering being the result of a little frustration, which is vented through exaggerated and unimaginable attitudes and behaviours. News in the mass media, meanwhile, already reports them almost on a daily basis. In this respect, what can pedagogy, and so education, do? Is it possible to hypothesize a pedagogy of the suffering as a specific ambit for reflection? And through what ways can education help the person to manage his/her suffering? This contribution aims to try to answer these questions.

Keywords: Education, pain, suffering, person. Control. Aimo D., Tra emozioni, affetti, sentimenti.

Implementing the Main Concepts of Modern Russian Political Discourse in the Program Documents of Political Parties – Linguistic Analysis

Robert Szymula

Abstract

This speech is devoted to the analysis of concepts characteristic for Russian political discourse, verbalized in electoral programs of the largest political parties (left-wing political parties «Коммунистическая партия Российской Федерации (КПРФ)» and «Партия Возрождения России (ПВР)», centre-left political parties «Яблоко» and «Справедливая Россия (СР)», conservative political party «Российская партия пенсионеров за социальную справедливость (Партия пенсионеров)», right-wing political parties «Гражданская платформа» and «Партия народной свободы (ПАРНАС)», liberal-conservative political parties «Единая Россия» and «Партия Роста», liberal democratic political parties «Либерально-демократической партии России (ЛДПР)» and national conservative political party «Родина»). The official websites of the political parties were used as the source of lexical material. The analysis of the electoral materials of Russian political parties made it possible to conclude that the concepts that characterize this genre are the concepts of "Russia", "nation" and "power". The verbalization of these concepts is carried out with the help of the whole complex of various lexical units, neutral (for example "Russian Federation", "country") and related to emotional connotations ("Fatherland", "Motherland", "citizens" "). Various characteristics of concepts are updated in the awareness of voters. They refer to fundamental values ("humanitarian", "democratic", "fair", "just"), to basic psychological needs of every citizen ("safe", "free", "stable"), to patriotic feelings ("Civic", "patriotic thinking", "patriotic"). Noteworthy is the high frequency of using the pronoun "our", referring to the implementation of all analyzed concepts. This pronoun is a mean of expressing the integrative function (nation and country as one whole), with its help an impression may arise that politicians are closely connected with the voters (which is a means of emotional manipulation). The examined attributes are related to the structure of program materials: political parties build the picture of reality in the country based on the contrasts: "bad situation today - improvement in the future when the party wins the election" ("non-free", "unjust", "ineffective", "backward" - "democratic", "law-abiding", "fair"), what can affect the emotions of the recipients. It is worth noting that this does not concern the realization of the concept of "power" (in the texts we can find only a few examples of using adjectives characterizing power directly negatively). It is worth noting also that electoral materials realize not only an integrative and inspirational functions, but also a manipulative one (by influencing the recipients' emotions).

Keywords: Implementing the Main Concepts of Modern Russian Political Discourse in the Program Documents of Political Parties – Linguistic Analysis

ELT Sophomore's Evaluations on the Approaches and Methods Course

Çağla Atmaca

Abstract

Student teachers' reflections on their course activities play an important role in both teacher educators' reflective teaching practices and bettering pre-service teacher education programmes. Since teacher cognition is also shaped during pre-service education years, teacher educators should collaborate with student teachers to serve their need better and refresh their academic identity. Thus, this study aimed to find out ELT sophomores' evaluations on the Approaches and Methods Course. The study was conducted at a state university in ELT Department during 2018-2019 Fall term and there were 31 participants (8 males, 23 females, aged between 19-22) taking the course. The participants filled out a 10-item survey regarding their experiences and their opinions about the course activities, and content analysis was applied to code and categorize their written answers. All the participants indicated that this course is a professional requirement, basis of ELT and they have learnt various classroom activities or techniques. 11 think the approaches and methods learnt in the course are applicable in their future teaching contexts while 4 think they are inapplicable and finally 16 think some of them are applicable stressing the contextual differences, time constraints, crowded classrooms, different learner characteristics and effect of technology. 27 stated that they were taught English via GTM in their previous learning experiences. 27 indicated that the course contributed to their professional knowledge and skills in terms of gaining valuable teaching skills, having different standpoints, developing teaching experience, improving reading, comprehension and vocabulary, serving changing student needs. All reported that the preliminary discussions held at the very beginning of the class about the last week's topic were a useful reminder of the previous topic, made easier adaptation to the lesson, were a good means for checking student understanding, reinforcement, better and easier understanding and getting ready for the new topic. 14 held negative perspectives about making theoretical presentations with their classmates. They focused on public speaking anxiety, presenter' incompetence, irresponsible members, complicated content. However, 13 held positive perspectives and focused on learner autonomy, cooperative skills, sharing responsibility, fun, feeling like a teacher. 29 stated that watching related videos about the approaches/methods at the end of the class was beneficial in terms of remembering the details, seeing real applications, fun, clear and better understanding, practical awareness, real life applications. 20 stated that they encountered any difficulties while making presentations such as public speaking anxiety, pronunciation mistakes, abstract language of the book, irresponsible members, intense content, lack of content knowledge. 14 stated that all course activities were useful, 10 found micro teaching as the most important activity whereas 10 found theoretical presentations as the least important activity. Finally, 14 recommended teacher lecturing instead of student lecturing for theoretical presentations. The findings offer significant clues for teacher educator for their delivery of instruction and give opportunities for a better understanding of student teachers' learning preferences.

Keywords: reflective teaching, pre-service teacher education, teacher cognition, Approaches and Methods in ELT Course, ELT sophomore.

The Relationship to Writing of Elementary School Students from Disadvantaged Backgrounds

Mirela Moldoveanu

France Dubé

Marie-Hélène Giguère

Naomi Grenier

University of Quebec in Montreal (Canada)

Abstract

The development of literacy skills constitutes one of the fundamental issues in contemporary education (Word Literacy Foundation, 2015); standardized international tests uncover disturbing fragilities in high school and even in adult students (OECD, 2014, PISA, 2015). In a context of inclusive education which seeks to ensure success for all, students from disadvantaged backgrounds show even greater needs to develop their literacy skills than their peers from more advantaged backgrounds. In order to identify appropriate pedagogical interventions to respond to these needs, this research aimed to understand what relationship to writing is developed by elementary students from disadvantaged backgrounds in Quebec. Building on the work of Barré-De Miniac (2001) and Delcambre and Reuter (2002) as well as on the definition of the relationship to writing of Blaser (2007), we developed and animated activities of exploration of the relationship to writing among students attending 14 upper elementary classes (280 students aged 10 to 12) in schools located in disadvantaged areas of Quebec. The results show that the often negative emotions that students foster about writing activities in school are based less on a depreciation of writing in general than on the apprehension of the activities and pedagogical approaches adopted by teachers. In fact, the imposed writing subjects, the strategies of research and planning of the writing as well as the tasks of revision and correction all contribute to creating a negative relation to the writing. These results prompt us to question the manner in which writing should be taught.

Keywords: Relationship to writing, pedagogical interventions, elementary school students, disadvantaged backgrounds.

Practical Education Model with Disabled Deaf Art Students in Coalescence with Other Fine Art Students as a Social Responsibility Project: Case Study in Fine Arts Education

Ezgi Hakan Verdu Martinez

Assoc.Prof., Anadolu University, Eskişehir

Abstract

Practices of Society Services as a concept emphasized by government and non-governmental organization emerges in many Social responsibility projects organized by independent and formal institutions in the 21st century. Many practices by means of this sense implemented in Turkey as well as all around the World are proof of the importance given to this topic. Education models which consist of projects bringing students and society together organized by education institutions are often seen. In this way the distance between universities students from the public get shortened, by developing their skills in many different angles, becoming beneficial individuals in the courses with credits. in the high education institutes integrated in this system. In this context taking the disadvantageous students with their special demands as target group, a special method has been produced to provide a medium to develop their skills in the content of Society Services Practices course at Faculty of fine arts at Anadolu University, 2014-2015 education year. In the extent of this visual arts and design project of the selective course, a studio workshop was organized to make applicative and interactive in which the volunteer students of Fine arts faculty come together with the vocational school of handicapped fine arts students to create and learn together for improving social responsibility. In this workshop, based on visual perception coalescence education, which is the most effective education model for handicapped students has been applied. Two workshop titles were determined to be made in the normal student's classrooms, for applying with handicapped deaf students. The title, subject and the main idea of the Project was determined on the day of 3 December, World Day f Handicapped, in the aim to ignore the differences between normal and handicapped students, to create interaction and Accord between two groups of students, to eliminate communication barriers, to construct a bridge between two schools. Whereas the coalescence was provided, effective and permanent affect was created in the extent of this course by the leading teachers in the field of fine arts, handicapped students working in the same team with fine arts students, taking role in the group making being active in the activity. At the end of the event creative personalities of the students were raised and social communication was constituted as the importance of the Project. This implemented facility was a fast practice of communication, contributing the self-confidence and expression skills of deaf students. Mentioning the respect and sensitivity in the society, an education environment has been experienced where the students who have handicap of hearing improve their abilities and knowledges. While the interaction in the activity result with mutual learning achievements, it has been observed that like in all society service education experiences, distances were extinguished, thanks to the relations built in the course. Due to the cooperation in the field of education and the sharing in social relations, Professional knowledges, was the most important outcomes. In conclusion in the final of the Project, While discovering self-skills and exploring individual self-respect, the fine arts students even though they have handicaps in life, they developed their imagination, communication based abilities and creativity interacting with other students.

Keywords: disabled, social responsibility, society services, fine arts education, consciousness

Pains and Gains of Designing Online Language Courses for Legal Professionals

Halina Sierocka

PhD at Białystok Legal English Centre Faculty of Law, University of Białystok, Poland

Abstract

The outcomes of the research carried out by Flurry Analytics in 2016 indicate that US consumers spend over 5 hours on mobile devices each day, which clearly confirms the fact that the technology is now firmly rooted in the way we live and work. Designers of foreign language courses and materials writers are becoming aware that technological devices are present in every aspect of students' daily lives hence more and more technology-mediated aids, apart from traditional printed materials are being introduced into the market these days. This might be of key importance in teaching English for Legal Purposes (ELP) due to the specificity of subject matter and the fact that there are not many published tailor-made materials available which would meet the students' needs. Moreover, online language courses may serve as an interesting alternative for busy legal professionals who frequently do not have time to attend traditional language classes regularly. This presentation endeavours to provide some insights into designing online language courses for legal professionals. After presenting some theoretical background information on online course design the author will focus on practical aspects with particular emphasis on the limiting factors which may serve to hinder the process. Finally, some sample online activities developed for Legal English classes will be provided. The presenter also hopes to offer some recommendations for teachers and materials developers which might enhance the process of material development and contribute to producing more attractive and effective online materials which, despite some challenges and shortcomings, can be a valuable tool in the process of foreign language instruction.

Keywords: English for Legal Purposes (ELP), legal professionals, online language courses, online materials

Somatic Lexemes in the Kartvelian Linguistic Space

Natia Dundua

Marine Ivanishvili

Ether Soselia

Georgia, Ivane Javakishvili Tbilisi State University

Abstract

Comparative-historical study of languages makes it possible to represent the diachronic process of structuring the world and forming the corresponding concepts. The abovementioned process is inherently integral and reflected in such socio-cultural areas of human life as language, art, religion, farming, ethno-traditional customs, culture (in its broadest sense), etc. The proto-language reconstructed as a result of the comparative-historical study and the picture of its diachronic development provide some information about the genetic relations between the people speaking the corresponding related languages, about their original homeland and the directions of their historical migrations, about their knowledge, ideas and representations. This time we have analyzed the semantic field of the lexemes denoting the human body parts, which are reconstructed at the Proto-Kartvelian language and exist in the contemporary Kartvelian languages (Georgian, Megrelian, Laz, and Svan) and some dialects (notably, Gurian, Rachian, Xevsurian, and Kiziqian). Our goal is to reveal the semantic structure of the mentioned field, to analyze the respective concepts as well as to outline processes of the development and the establishment of corresponding tokens (resp. lexemes). Vocabulary denoting a human body (resp. Somatic lexemes), its parts and inner organs is a constituent part of the basic core vocabulary of a language and presumably ought to be fixed in the ancient times' reflecting data. Analysis of the lexical units, which have been reconstructed either at the Common-Kartvelian or Georgian-Zan level on the basis of regular sound correspondences between the Kartvelian languages, allows us to highlight the main course of forming and developing the linguistic units we are concerned with; namely, the accumulation of "knowledge" had been carried out due to the process of differentiation and detailed elaboration of the human body anatomy and respectively, the corresponding semantic field, somatic vocabulary, had been underway to be enriched based on the relation of cognitively interpreted markedness. Language changes and development, formation of new categories and concepts, and consequently, creation of new linguistic units is mainly carried out as the result of detailed elaboration, further specification and partition of **unmarked** categories: an unmarked category undergoes the division-differentiation on the basis of formally marked oppositions that leads to the formation of new linguistic units and structures and reflects the dynamic picture of enhancement of linguistic cognition of the universe.

Keywords: Somatic Lexemes in the Kartvelian Linguistic Space

A Mediterranean Harbour Town; Galata

Nilgün ÇÖL

Abstract

Middle of Asia, Europe and Africa in the Old World as we define, Istanbul, Galata is located in the bowl of the Mediterranean region which holds critical importance. When the Byzantine colony of Ancient age had been forming in the peninsula of Istanbul, they chose the Haliç (Golden Horn) which holds a critical defensive position as a 7.5 km-long bay. Furthermore, this geography gave the colony a very important natural harbour connected strongly with the Black Sea and Mediterranean. Even though Galata isn't located in the shores of Mediterranean, it represented importance as a Mediterranean harbour and held the importance as a first connection point of the continents. This importance still ongoing nowadays as a defence and Trade aspect. Middle of the Asia, Europe and Africa in the old World as we define, Istanbul, Galata is located in the bowl of the mediterranean region which holds a critical importance. When the Byzantion colony of Ancient age had been forming in the in the penninsula of Istanbul, they chose the Haliç (Golden Horn) which holds a critical defense position as a 7.5 km-long bay. Furthermore this geography gave colony a very important natural harbour connected strongly with Black Sea and Mediterranean. Even though Galata isn't located in the shores of mediterranean, it represented an importance as a mediterranean harbour and held the importance as a first connection point of the continents. This importance still ongoing nowadays as a defence and Trade aspect.

Keywords: Mediterranean, Harbour Town; Galata

Developing Self-Regulation Among Elementary School Students from Disadvantaged Backgrounds in Quebec (Canada): Analysis of the Impacts of the Co-Construction and Experimentation of Differentiated Pedagogical Practices

Naomi Grenier

Mirela Moldoveanu

University of Quebec in Montreal (Canada)

Abstract

The results of the latest PISA survey highlight persistent school inequalities associated with the social background of students in most OECD countries (OECD 2014). For its part, research reveals that students, considered at risk because of factors associated with their social origin, are also those whose self-regulatory skills (ability to modulate one's own resources to achieve a goal) are the least developed (Archambault et al., 2015). However, the results of recent studies suggest that the use of differentiated pedagogical practices helps to support the development of self-regulation among students (Buisse, 2014; Moldoveanu and Da Silveira, 2015). The development of self-regulatory skills seems particularly relevant in disadvantaged areas, especially since academic success and positive adaptation to school depend on their acquisition (Blair and Diamond, 2008; Hattie, 2009; Moffitt et al., 2011). This paper aims to shed light on this issue by presenting the results of an action research conducted in collaboration with six teachers working in elementary schools located in disadvantaged areas in Quebec (Canada). Through this approach, differentiated pedagogical practices were co-constructed and experimented in order to promote the development of self-regulatory skills among students. Three sources of data were collected (classroom observations, teachers' discourses obtained through individual interviews and group meetings as well students' discourses obtained during group discussions) and triangulated in order to analyze the impacts of the collaborative action-research on students' ability to self-regulate as well as on the teachers professional development. Recommendations for future research and teacher training will be made based on the research results.

Keywords: Self-regulatory skills, differentiated pedagogical practices, collaborative action-research, elementary school students, disadvantaged backgrounds.

An Examination of the Association between Pro-Environmental Behaviour and Contact with Nature in Canada

Laura Lamb

Thompson Rivers University

Abstract:

Associations between different types of pro-environmental behaviour and time spent in contact with nature has been examined in past research with mixed results identifying a need for further research. Household level data from Statistic Canada's 2015 Households and Environment Survey is used to explore the in relationship between some specific pro-environmental behaviours and experiences with nature, along with other individual level characteristics thought to influence such behaviour. The relevance of this research for Canadian society is illustrated by the prevalence of environmental degradation associated with air and water pollution and the comparatively large amounts of solid waste produced by Canadians relative to other industrialized nations. At the same time, there is evidence that Canadians are spending less time in contact with nature, particularly children. From an economics perspective, environmental quality is a public good, thus the free-rider problem requires intervention such as incentives, nudges and/or regulation for people to partake in pro-environmental behaviours. Insight into a possible association between specific pro-environmental behaviours and experiences with nature may provide direction toward effective policies.

Keywords: An Examination of the Association between Pro-Environmental Behaviour and Contact with Nature in Canada

ESP Classroom as Perceptual Modality Laboratory

Jelena Vukićević

Abstract

Our students are quite familiar with the fact that competent use of the English language nowadays ensures quality participation in a great variety of communication among speakers in different countries. Additionally, as they are future architects tending to become world architects, known in their field around the globe, they already assume that except using general English, they should use ESP for their future professional requirements. On the other side, ESP teachers, since they highly estimate a student-based approach, are particularly interested in the gap between students' current and target competencies, devoting themselves to exploring new approaches, ways and methods for teaching ESP. Usually, ESP classes predominantly involve working on professional texts and exercises concerning practising professional terminology and grammar. In this paper is presented how for architectural students enable some "fresh air" employing all three styles of the perceptual modality, meaning the primary way our body takes in information – kinesthetic, auditory, and visual. For such a purpose, special class-time was designed for them, and within it they can produce some items with their hands, describe the activity, and ask for some adequate professional terms if needed and, finally, write down all those they heard, both new and known ones. In the end, they give their estimation on this workshop.¹

Keywords: ESP, classroom, perceptual, modality, laboratory

¹ On the basis of the students' feedbacks, such workshops have hitherto proved that all our effort in designing them is justified and welcome.

Traditional vs. Modern Teaching Methods - Case of Albania

Elona Limaj

Albanian University

Abstract

Debate on teaching methods is always present among actors in the field of education worldwide. It mainly involves three groups of people: one group that favors traditional teaching methods, another group favoring modern teaching methods and a third group is the one that supports combination of both for an effective teaching. There are obviously many ways of teaching and there are great possibilities in what a teacher can do during the class. With all this freedom, teachers may also have many ideas to use in a classroom. However, since the time of our students is precious, a teacher must analyze and evaluate methods to be used in order to motivate students and to make learning as effective as possible. During communist era, Albanian schools used traditional teaching methods, where the teacher was a point of reference not only in school premises but also outside. After the change of regime, teachers started embracing modern teaching techniques, dictated also by innovations in technology. But, does technology enhance teaching? Is technology good in theory and difficult in practice? Certainly, some methods are better for some purposes. A method choice shall depend on learners' needs and characters. In this respect, this paper focuses on school teachers to make an in-depth analysis on use of teaching methods in Albania. Based on a questionnaire among elementary schools teachers in the Albanian capital city, the most populated area in the country with the biggest number of schools, it was gathered a set of primary data from school teachers who answered questions about their views, attitude, practice and experience regarding use of teaching methods. With the help of this questionnaire focused on teachers, this work used quantitative and qualitative components on teachers' opinions to shed light on use of traditional and modern teaching methods in Albanian schools.

Keywords: teaching, methods, traditional, modern, choice

Murals for Communities: Extralinguistic Challenges

Saule Juzeleniene

Kaunas University of Technology

Saule Petroniene

Kaunas University of Technology

Abstract

Murals, as a form of public discourse is able to communicate messages, stories and histories of people, local communities and surroundings (e.g. buildings, districts, abandoned areas). They are enabled to become a powerful tool in community building processes while stimulating well-being, helping to fight feelings of loneliness and marginalisation of communities, etc. Mural artists, having the right artistic skills to nourish and reflect on social inputs of local communities, can use their skills to create works by co-creation, gaining inspiration from social inputs, histories and feelings of these communities. The research aims at analysing how initial messages are communicated, re-communicated and interpreted in different stages and by different actors. The initial message is transferred into verbal message in the form of the call to create a mural, then it is interpreted by the artist in the form of visual arts i.e. a mural. The mural then is interpreted by the community members who can be considered as the receivers of the message. During all the meaning creation stages, interpretations of the same message may be different as the message is perceived differently by different discourse community members. The research is performed under the framework of EU funded project "Murals for Communities" (programme Creative Europe) and also aims at identifying various extralinguistic factors which influence the interpretation of the meaning of the message. The results of the research show how various extralinguistic factors (age, social status, cultural background, etc.) play vital role in the process of perception and production of meaning.

Keywords: discourse analysis, murals, public spaces, discourse community, extralinguistic factors.

Learning English at Second Chance Schools: The Case of the Greek Muslim Minority

Eleni Fani Kazantzi

EFL teacher at the Second Chance School of Xanthi, Greece

BA in English Language and Literature, AUTH

M.Ed. in The Teaching of English as a Foreign/International Language, HOU

Makrina Nina Zafiri

Permanent at the Aristotle University of Thessaloniki, Foreign Language Office. Academic Associate at the Hellenic Open University. Teacher Trainer at the Greek National Training Center of ASPETE in Thessaloniki, Greece.

Abstract

The debate surrounding minorities and their issues has been particularly acute in recent years, as changes which have taken place both at a European and at an International level have sparked political and social upheaval and a reconsideration of cultural identities. Muslim populations in Greece have long been deprived of appropriate education and professional opportunities which would enable their economic welfare and upward social mobility. The present paper aspires to contribute to this discussion, focusing on the Greek Muslim minority and their endeavor to learn the English language at Second Chance Schools (SCSs). The study concentrates on six SCSs which operate in regions characterized by the presence of Muslim communities. The primary goal of the research is to examine the reasons which prompt Muslim learners to learn English, their learning needs, as well as the obstacles they encounter in the pursuit of this knowledge. To this end, both quantitative and qualitative methods of data collection were employed for triangulation purposes. Moreover, the matter was examined through the scope of both learners and adult educators in order to provide a more comprehensive picture of the situation. Results have shown that Muslim learners have connected the benefits of learning English with practical matters such as finding a job and communicating while travelling abroad. As regards the learning obstacles they face, these relate to common issues in adult learning such as fatigue and lack of time, as well as the fact that they have an inadequate knowledge of the Greek language, which can constitute a distracting factor. Finally, both teachers and learners agree that learning English at Second Chance Schools could be improved with more teaching hours per week and better infrastructure.

Keywords: Adult education, Second Chance Schools, EFL, minority learners, needs analysis.

Impact of Marine Vessels Produced with Composite Materials in Their Performance and Reduction of CO₂ Emissions.

Mirela KOCI

PhD. University "Ismail Qemali", Faculty of Technical Sciences,
Department of Engineering and Maritime Technologies

Abstract

Composite materials that have started to be used in the production of tourist sailing vehicles especially those of the yacht type, have proven in practice the designers' expectations for the great advantages they have brought in comparison with steel. The performance of new generation ships of this millennium will require the ever-increasing use of innovative materials to meet the growing demand of potential buyers of these vehicles. On the other hand, based on the principles already sanctioned by the European Community for respecting the norms set for CO₂ emissions from shipping - in accordance with the Kyoto Protocol on Climate Change, it is necessary to produce marine vehicles that reduce significantly the weight of marine vehicles and for consequence the engine power and fuel consumption will significantly reduce CO₂ emissions. This, in addition to the innovation that accompanies the production of marine engines, demonstrates the trend of the development of composite materials in relation to traditional materials. The global composite materials market is estimated at \$ 24.4 billion in 2014 and is projected to reach 5.8% growth and is expected to grow at 5.8% in the next five years, reaching 34.4 billion in 2020. Through this scientific paper I will bring a contribution to the maritime sector, analysing the positive impact that has the production of marine vessels with composite materials in maritime transport industry, not only for their excellent technical performance, but also for their positive impact in CO₂ emissions in maritime straight. The study has been developed based on data analysing of maritime vessels in the Strait of Otranto.

Keywords: Impact of Marine Vessels Produced with Composite Materials in Their Performance and Reduction of CO₂ Emissions

Teaching in the Multicultural Classroom: Lessons for the "Monocultural" Teacher

Sara Fine-Meltzer

Abstract

The first question this paper deals with is the following: How will we define "multiculturalism", as teaching to students of at least four different cultural backgrounds, none of them Western, in the same class poses problems for the teacher who comes from a distinctly Western culture. Once we can agree on a working definition, we will proceed to address the problems inherent in such a classroom. Finally, we will offer some suggestions for making it work. While the framework is teaching English as a Foreign language, the lessons are applicable to nearly every academic discipline.

Keywords: teaching, multicultural classroom, lessons, monocultural

Making Economic Science a Natural One: a Positive Economic Science Should Be Based on Universal Natural Laws

Paul Fudulu

Abstract

Generally, economics and social sciences have mystical underpinnings. Human, non-human living beings and life generally are thought impossible to be squeezed down to one or some objective laws which are derived from or consistent with the comprehensive natural laws enchainning the known universe (see Mises and Popper). To notorious social figures living matter still is a reality coming out of the blue which, regarding fundamental component phenomena, denies human knowledge and causality (see Knight). Due to this mystique perspective on living matter, man and society, after centuries of economic "science" we do not have a comprehensive and neutral maximandum, human ends formation is causeless, we do not know how values or preferences are formed, how rules emerge without human design and intention and justice is thought to be envy in disguise and impossible as a behavioral principle (see Hayek). Other fundamental social phenomena like religious dogmas and national cultures do not have an economic decoding and their economic impact cannot be assessed. In terms of internal and external consistency the status quo of economics is either hilarious or tragic. While one of the greatest social scholars of all times—J. S. Mill— thought that a truth which is not consistent with itself and other truths cannot be a truth, the reality in economics is exactly the opposite and not many are worried. Although the perspective I launch here can be reached at without the support of natural sciences let me state something which beginning some time back is hard or even impossible to be denied: living matter, man and society are natural or physical phenomena. Despite Mises' and Popper's plead, physicists have no doubt that life can be squeezed down to only one causal principle—the anti-entropic movement of live matter. This temporarily stops or reverses the entropic degradation within a tiny spot of the universe in a way that makes it compatible with one of the most fundamental law of the universe—the ever entropic degradation. As Mill would say, the anti-entropic direction of life is derived or a case of a more comprehensive physical law. Live matter speeds up the increase of the universe's entropy. Life is a thoroughly physical phenomenon and thus is part and parcel of the natural world. This physical definition of life was issued by Schrodinger in 1944 and since it had no major impact on economics and social sciences generally. If rigorously and thoroughly followed, the impact of anti-entropic nature of life on the current economics and other social disciplines is epic. Life has a maximizing nature. Given the fundamental behavior of living human beings run by maximization of low entropy absorption from their external elements—inert, living, nonhuman and human—a comprehensive maximandum is revealed—general power. In other words, besides absolute wealth as power over nature, the relative power—power over the other humans— is acknowledged as an equally important maximandum component. The fundamental perspective on human ends is overturned. We humans do not live to achieve ends as orthodox economists believe. We identify and rank ends in order to live. The ranking of ends through preferences (values) and rules (opportunity cost patterns) is general power maximizing. The general power maximization or, more exactly, acknowledging relative power as a maximandum component, is a sine qua non condition for revelation of the mechanism for emergence of rules. It is also sine qua non in understanding the nature of justice and definition of the just ratio about which Hayek said it is not possible. The general power maximandum changes to the better every component of economic theory. All these theoretical developments are consistent among them and are consistent with the comprehensive natural laws enchainning the universe. A truly positive natural economic theory is born. The distortion of economic theory through political and ideological pressures is ruled out and its use as a tool for manipulatory control ceases.

Keywords: economics, natural sciences, maximandum, emerged rules, formation of preferences, internal and external consistency

Research on the Risk of Chinese Enterprises OFDI in the Countries Along “One Belt and One Road”

BINGJIE LI

Abstract

As of the first half of 2018, China has invested a total of 34.87 billion US dollars in 46 countries along “One Belt and One Road”, which has become an important engine for stimulating the growth of global foreign direct investment. At the same time, however, due to the geopolitical turbulence, imbalanced economic structure, weak growth, deteriorating natural environment and conflicts between religious civilizations, Chinese enterprises are facing investment risks in the countries along “One Belt and One Road”. Based on data availability and OFDI investment scale, the author takes 41 sovereign countries along “One Belt and One Road” as a research sample. The risk warning indicator is selected and the Bayesian network model is used to construct the risk early warning model. The six primary risk warning indicators of political risk, economic risk, social risk, legal risk, cultural risk and management risk were further refined into 26 secondary indicators. Through the risk level matrix method and the expert research scoring method, the risk warning indicators are quantified, and each risk node of the BN network is set and assigned. Finally, combined with the BN network analysis software GENIE to determine the different impacts of various risk factors on the project investment risk, the final risk value of the foreign investment project is obtained, and the predictive analysis function of “One Belt and One Road” OFDI risk is realized.

Keywords: One Belt One Road ; OFDI Risk ; Chinese Enterprises

The Interaction between Litigation Risk and Corporate Governance

Guoping Liu

Ryerson University, Canada

Jerry Sun

University of Windsor, Canada

Submitted for Poster at the 18th International Conference on Social Science, Lisbon

Abstract

This study investigates the interaction between firm-specific litigation risk and board governance. Specifically, we examine whether litigation risk affects independent directors' effectiveness in monitoring financial reporting. Based on a sample of U.S. firms, we document evidence that the magnitude of abnormal accruals is more negatively associated with board independence for firms with high litigation risk than for firms with low litigation risk. The results suggest that independent directors are more effective in overseeing financial reporting when they face high litigation risk, consistent with the notion that independent directors are still concerned with liability risk although it is less likely for them to pay damages or legal fees out of their own pockets.

Keywords: interaction, litigation risk, corporate, governance

Nursing Students' Opinions on Skill Laboratory Practices: a Phenomenological Study

Leyla Muslu

Public Health Nursing

Akdeniz University

Abstract:

Skill laboratory practices are usually carried out in safe and controlled settings where students practice their skills which they have difficulty in experiencing in clinics without being worried to injure patients. The aim of this study is to understand students' opinions and perspectives related to skill laboratory practices which are a process of developing psychomotor abilities in nursing education. This is a qualitative study with phenomenological design. The population of the study consisted of 964 students in nursing education faculty. Data were collected via semi-structured interview forms from a sample of 18 students with five main and following probe questions during interviews from April to May in 2017-2018 academic year. According to the findings of the study, all students are in their final years at faculty, age average 22.33 and their average grades 2.77/4, Students' opinions based on their perspectives related to skill laboratory practices were categorized under three main themes of the importance of skill laboratory practices in nursing education, the problems experienced during skill laboratory practices and suggestions for developing skill laboratory practices and 29 sub-themes related to those three main themes. The outcome of the study addresses important implications for the education life of nursing students in understanding how skill laboratory practices contribute to their development in their professions and what should be done to develop skill laboratory practices at academic setting.

Keywords: Nursing education, skill laboratory practices, phenomenological study

Competitive Trade Sectors in the Czech Republic: Combined Gross Trade and Value-Added Analysis

Tereza De Castro

Jana Vičková

Ondřej Sankot,

Cristina Procházková Ilinithchi

University of Economics, Prague

Abstract

The aim of the paper is to identify the competitive trade sectors in the Czech Republic based on an approach combining traditional gross trade data together with value added trade data. This way we attempt to provide a closer to a reality picture of competitive trade sectors. We collect SITC trade data from the Atlas of Economic Complexity and adjust them by value added as a weighted share of domestic value added of gross exports for each product group constructed by OECD TiVA. The examined time period covers years from 2005 to 2015, time series statistics available from OECD TiVA. We calculate normalized revealed comparative advantage (NRCA) from adjusted trade data and identify competitive sectors in the Czech Republic. Furthermore, we also analyze trend changes in NRCA which help to indicate the prospective sectors where the Czech Republic should continue specializing in. Findings may help to better understand which sectors are competitive and may help to set proper policies (e.g. investment incentives).

Keywords: NRCA; OECD TiVA; Czech Republic, SITC; trade trends, policies

Crafting Sociability in Female Spiritual Practices: the Case of *Boutchichiyyat*

Sarah Hebbouch

Abstract

Research on *sufism* and female spirituality has centered on framing narratives of *sufi* women within individualized practices, constructing thereby *sufi* women as mere individual and assisting players in historical accounts of more famous male scholars. In recent years, academic interest has geared towards the investigation of *sufi* women's collective and ritualistic performance within structured *sufi* circles. Henceforth, this paper explores ways in which the gathering of *sufi* women of *Boutchichiyya*, a Morocco-based *sufi* order, in a *zawiya* mediates not only ritual performances but also promotes the rehearsal of sociability and social relations. The point is made that within a horizon that is viewed as a nexus where the ritualistic performance is what matters in a *zawiya*, *sufi* women's gathering is characterized by a sense of community, and interconnections between spiritual, social capital and socialization. In this 'pri-blic' (private and public) space, namely the *zawiya*, *sufi* women of *Boutchichiyya* enjoy privacy and communal life. Knowing that the *zawiya* is a segregated space, since men and women disciples perform rituals separately, one might surmise that the spatial division sparks gender inequality. However, this spatial segregation is an ideal of emancipation, which subsumes a spatial segregation of rituals, and constructs a realm of privacy, intimacy, and fervent ambiance women aspire to. This paper builds on findings of a qualitative ethnographic research, in which the researcher assumed a participant-observer role to generate a more focused discussion on whether the gender division of space highlights women's spirituality or undermines it. More precisely, this paper approaches the interactive relationship, which engages women's *sufi* experience with prevalent spatial politics in Moroccan society. In such a space where women come to learn and imbibe spiritual knowledge, social relationships are important assets for women's spiritual, social, and personal growth.

Keywords: sociability, *sufi* women, *Boutchichiyya*, *zawiya*, spatial division

Teachers as Digital Citizens

Guven Cagdas Gundogdu

Abstract

Research indicates that use of Information and Communication Technologies (ICT) enhances learning and helps attain educational goals effectively. The use of ICT is good for learners for visualizing abstract concepts and accessing reliable information. They are more motivated and confident when they study in a technology-rich environment. Technology-assisted learning also contributes to academic success. For all these reasons, it is important that learners behave as digital citizens. Use of technology without awareness of digital citizenship poses various dangers for them. Accordingly, teachers should be able to plan activities to encourage learning in co-operation with peers on line with the help of technological tools. Educating learners to be digital citizens needs attention because possession of qualities within the framework of digital citizenship serves to reduce risks that await on the Internet. In this respect, teachers are responsible for promotion of the ideal of acting as digital citizens. This study aims to find out the extent of awareness of digital citizenship requirements of instructors at Anadolu University School of Foreign Languages Basic English Department (AUSFLBED). For the study, 170 instructors at the school were selected as the study group. The likert type *Digital Citizenship Scale* was shared with them as a Google Forms document via e-mail. Collected data were analysed descriptively. As a result, it was found out that the instructors at AUSFLBED are aware of requirements of digital citizenship and act in accordance with them.

Keywords: Teachers as Digital Citizens

Bahia's *Rádio Africa*: Worlding African Soundscapes and Diasporic Identities, Translation and Macumbaization

Lyota Bonyeme

PhD candidate, University of Toronto

Abstract:

In 2007, *Educadora FM*, one of Salvador's long running public radio stations, debuted a new program series, *Faixa Negra*, as part of an effort to secure space for black music on radio airwaves. The launch of the *Faixa Negra* occurred amidst larger changes in governmental cultural policies; it reflected a growing concern for the recognition of cultural diversity and African roots in the country. Among the series' programming is *Rádio Africa*. Hosted by well-known African and Afro-Brazilian figures in the local music industry, the program seeks to unite tradition and contemporary, and to explore the vast repertoire of African musics to create space for resistance on the Brazilian airwaves. In this paper, I explore how *Rádio Africa* constitutes a world-making project for both its producers and its listeners. I suggest that the program articulates and enacts space, time and being centered around African musics. I argue that this project partly rests on the thick translation of African musics done by the radio DJs, in a perceived effort to teach listeners about African cultures by disrupting African stereotypes, expanding the Brazilian imagination, and giving voice to views that are not generated solely by, but still operating within, the legitimate but local political needs of the historical diaspora. Furthermore, I discuss what this program, as world-making project, represents for recent appeals in the discipline to conceptualize Afro-diasporas as dialogic. I borrow and expand on the term *macumbaization*, forwarded by Malomalo (2016), to describe the aesthetic work and translation undertaken by African migrants to reinsert themselves within diasporic dialogues to consolidate and (re-)imagine diasporic sensibilities and identities. The study discussed in this paper is part of my doctoral research on recent African immigration in Bahia and the role of DJs and local parties in articulating and (re-)fashioning African identities, Afro-diasporic cosmologies and Afro-dialogues.

Keywords: African immigration; Brazil; Bahia; diaspora; radio; cultural policy; African musics; worlding; world-making; thick translation; macumba; macumbaization; dialogic; Afro-dialogues

Public Spending and the Budget Transparency of the Albanian Government

Marsida Ashiku

Assoc. Prof. Dr Finance-Accounting Department, Lecture of Corporate Finance,
Public Finance, University of Elbasan "Aleksander Xhuvani" Albania

Nada Tapija

Assoc.Prof.Dr. Lecturer of Business Management, Business Management Department
University of Elbasan "Aleksander Xhuvani" Albania

Abstract

Public spending enables governments to produce and purchase goods and services, in order to fulfill their objectives – such as the provision of public goods or the redistribution of resources. In this paper we study public spending in Albania, through the lens of aggregate cross-country data on government expenditures in these recent years, compared to the other country of the region. On the one hand, public spending enables governments to produce goods and services to meet their objectives - such as providing public goods or redistributing resources and putting them in front of a responsibility that requires accountability for every step. Relative to low-income countries, government expenditure in high-income countries tends to be much larger (both in per capita terms, and as share of GDP), and it also tends to be more focused on social protection. Recent data on public spending also shows that governments around the world often rely on the private sector to produce and manage goods and services. And public-private partnerships (PPP), in particular, have become an increasingly popular mechanism for governments to finance, design, build and operate infrastructure projects. Albania is exactly the country, where the PPP- projects are very common in these recent years, so we are going to study in these paper the problems of the budget transparency of the Albanian government, the impact of the PPP partnership in the economic development in our country, and we will analyzing one of the biggest municipality in Albania , and try to understand the transparency of the public spending and the budget management of the municipality. The disadvantages and advantages of a government with volatile record of public spending are the way to be used to eliminate past mistakes and pave the way for a growing success. How necessary are public spending for a government, as are for people, but their balancing and monitoring is a strong weapon that is needed to create economic stability.

Keywords: public spending, budget transparency, financial accountability, development.

Operation of Sports Facilities: Is There a Health-Promotion Function? 25 Cases from Hungary and the World

Tünde Máté

(Ph.D. Széchenyi István University, Doctoral School of Regional- and Economic Sciences, Győr and Corvinus University of Budapest)

Tamás Gyömörei

(Ph.D. Széchenyi István University, Physical Education and Sports Center, Győr)

Abstract

Placing sports facilities (within a given city) is always a risky decision. The host city and the sport company - with a parallel to the corporate site selection - should choose a location where, in addition to settlement development considerations, the expected revenue from the sport economy will exceed the expected maintenance and operating costs as much as possible, furthermore from a social point of view, the desired effects are realized, their functions are fulfilled (community building, health care, entertainment). In the case of sports facilities, market-oriented placement is a rational decision. A company that follows such a strategy will be established to its customers, trying to minimize the "delivery" distance. The functions of the sports facilities are different, including customers, sports consumers. We can basically differentiate active and passive sports consumers (András, 2003). The sport and thus the health-preservation and health promotion function of sports facilities, like the more active and active display of active sports among the general population in Hungary, has been felt since the late 1990s (Gyömörei, 2012), the international community, 'Sport For All', preceded this. The aim of the research is such analytical research method which targeting consumer behavior and organizational effectiveness, „health-sport”, economic and social effects of health development area of sport. As a first step in the observation of venue dependency of health-sport behavior, we implemented searching, summarizing and analyzing of best practices of the sports venue utilization, operation. In case of our research, the operating environment and operation model of the sport facilities were investigated in 20 Hungarian and 5 international cities (Sindelfingen, Ingolstadt, Nizhny Novgorod, Colmar, Wuhan) including 8 different sport facilities (swimming pool, multifunctional sports hall, ice rink, football stadium, athletic center, tennis court, gymnasium, outdoor sports park). Our research question is, how do the goals related to the health-preservation and health-promotion of the community appear during the investment of the sports facilities and during the utilization and operation? In the framework of quantitative research, the comparative analysis was carried out in pairs based on the following aspects: financing, primary function, the range of services, occupancy, residential sports, health-preservation and health-promotion, and related motivation tools. The results indicate, which ownership and operation models are the most common in 2019 (data collection in January 2019). Is the health-promotion and health-preservation of the population a determinable factor in the installation and operation of sports facilities? How is the distribution of capacities distributed across different types of facilities, in which the role of health-promotion and health-preservation is outstanding? The research is supported by the European Union and realized with joining to the project of sport, recreation, and health-economics cooperation research network.

Keywords: operation, sports facilities, health-promotion, function, cases, Hungary

Elder People as Burdens: An Overview of Negative Representations of Old Age in Contemporary Anglophone Societies

Daniel Teghe

Central Queensland University, Australia

Abstract

Elder people are often portrayed and represented in academic and policy literatures as constituting an economic burden for the community, a major cause of impending economic doom for society and an affective factor in the creation of apparent intergenerational disparities. Since the Second World War, becoming and being 'old' has prompted calls from some academic researchers and policy-makers for society to focus on a particular way to assess the diminishing productive 'worth' of people in later age when compared to their 'cost' to society. This paper is framed methodologically by a *progressive phronesis* approach (Flyvbjerg 1998, 2001) and sets out to explore the construction of negative representations of elder people in western Anglophone societies, focusing on the effect that these representations have on the development of policies for the delivery of publicly funded services to elder people. An argument is forwarded that, as a consequence of these representations, a particular form of rationalising policy-making has emerged in western societies which is termed here as 'productivism'. Brief examples are provided of how ageing and elder persons have tended to be portrayed through early versions of a *productivist* lens in the Anglophone high culture, and then within Australia's popular culture. The paper concludes with a discussion which explores examples of productivist rationalisations by academic researchers and policy-makers.

Keywords: elder people, productivism, old age, policy, progressive phronesis

Strengths, Weaknesses, Opportunities and Threats of Modified Mosquitoes for Disease Prevention – Perceptions of Scientists and Activists

Alanny Ferreira Moutinho ^{1,2}

Teresa Lobo Machado Sousa Nazaré ^{1,2}

Isabel Maria Rodrigues Craveiro ^{1,3}

Luzia Augusta Pires Gonçalves ^{1,4,5}

Rosa Maria Figueiredo Teodósio ^{1,6}

Carla Alexandra Gama Carrilho da Costa Sousa ^{1,2}

¹ Global Health and Tropical Medicine, ² UTR Medical Parasitology, ³ UTR International Public Health and Biostatistics ⁴ UTR Tropical Clinic, IHTM, NOVA University of Lisbon. ⁵ Nova School of Business and Economics, NOVA University of Lisbon, ⁶ Center of Statistics and Applications, University of Lisbon.

Abstract

The use of modified mosquitoes is an innovative strategy to prevent vector-borne diseases. However, most of the information regarding this subject is only available on scientific papers that present mostly successful cases. Therefore, the aim of this study is to unveil new knowledge about this vector control strategy by identifying its strengths, weaknesses, opportunities and threats (SWOT) according to the perceptions of scientists and activists involved in this topic. Participants also explained the advantages and disadvantages of this control method compared to traditional strategies. To accomplish these objectives, semi-structured interviews were performed with a total of 15 participants: 10 scientists (4 involved in Wolbachia based modified insects, 3 involved in sterile-insect techniques and 3 involved in transgenic mosquito-modifications) and 5 activists that are members of non-governmental organizations devoted to environmental issues. Results showed that modifying techniques efficacy outcomes, their reduced ecological effects and their reversibility were the most mentioned strengths. The most mentioned weaknesses were (lack of) efficacy outcomes, mosquito-release logistics and inexistence of scientific evidence. Besides efficacy outcomes, opportunities included the compatibility with other modification techniques/other vector-control strategies. Most reported threats refer to reversal outcomes (opposite to modification objective), generic safety issues and ecological effects. Regarding the comparison with traditional techniques, the most cited advantages of modifying techniques were their efficacy outcomes and reduced ecological effects, while the major disadvantages acknowledge were the release logistics and their costs.

Keywords: mosquito control; prevention & control; organisms, genetically modified.

Funding: Fundação para a Ciência e Tecnologia (FCT): PTDC /IVC -ESC T/2486/2014, UID/Multi/04413/2013 and UID/MAT/00006/2013

Sustainoentrepneurship: A Comprehensive Bibliometric Analysis and Future Agenda

Eduardo Terán-Yépez

Ph.D. Student, University of Almeria

Gema María Marín-Carrillo

Assistant Professor, University of Almeria

María del Pilar Casado-Belmonte

Assistant Professor, University of Almeria

María de las Mercedes Capobianco-Uriarte

Ph.D. Student, University of Almeria

Abstract.

The constant growth of research on sustainopreneurship (SE) has generated a great proliferation of studies within this field in the last 10 years. So, it is essential to carry out an exhaustive analysis of its literature in order to organize and synthesize the research carried out so far. The main objectives of this study are to analyze the evolution of SE since it beginnings, to discover the most influential actors and to identify the most relevant research tendencies. A comprehensive bibliometric analysis allowed detecting the most productive journals, countries, institutions and authors. Furthermore, a graphic mapping permitted discovering the most relevant topics within SE. This paper establishes a complete overview that can help different academic actors to increase their SE knowledge and a future research agenda which will be useful in opening up new perspectives for research within this field.

Keywords: sustainopreneurship, bibliometric analysis, research tendencies; future agenda

The Aspects of Conflict between Father and Child in Forensic Psychologist Experts' Examinations

Krisztina Tarnokine Törő

Rita F Földi

Andrea Kövesdi

Zsófia Borostyánkői

Luca Adámy

Éva Hadházi

Karoli Gaspar Reformed University Psychology Institute

Abstract

Aims: During our research we focused on conflict between father and child. First we examined a bigger sample which we later narrowed down regarding the quality of the relationship between father and child. We examined the connection between depression and life quality among the participating children. **Method:** The experimental group (26 children) contains children whose parents had a contested divorce that needed examination by a forensic psychologist expert. The controll group (34 children) contains children who have a complete family. In the examination of the relationship between father and child we worked with an adjusted sample (7-7 children) which contained children and adolescents from the age of five to seventeen, each group holding two boys and five girls. Based on our data children who experienced contested divorce and have a relationship with their father weighed down by conflict got into the experimental group, and children who experienced contested divorce but have a decent relationship with their father got into the controll group. Depression was examined with Child M.I.N.I. (Mini International Neuropsychiatric Interview). To examine life quality we used the ILK (Inventar zur Erfassung der Lebensqualität bei Kindern und Jugendlichen) questionnaire. Family drawings were also examined. **Results:** The prevalence of depression was significantly higher in the experimental group than in the controll group, with a medium strong relation rate ($V=0,480$, $p=0,0002$). Life quality was significantly higher in the controll group than in the experimental group ($FPW(25,7)=2,357$ and $BM(30,0)=2,371$; $p=0,0263$ and $p=0,0243$). Examining the father-child relationship we found a strongly significant connection, based on the Fisher-egzakt test ($V=0,866$). There was a significant difference in life quality between the groups as well ($t(12)=-2,821$; $p=0,0154$). **Conclusion:** Confirming former researches ours show that children who experience contested divorce have a higher risk at depression than those who do not. Such as previous studies our research shows that contested divorce also has a connection with life quality. Examining family drawings we got interesting results related to the results mentioned above. The relationship with the father influences the child's mental health and subjective quality of life. Our results could give important information to professionals helping children who experienced contested divorce.

Keywords: aspect, conflict, father, child, forensic, psychologist, experts, examination

Nursing Students' Metaphorical Images on Skill Laboratory Practices

Ilhan Gunbayi

Educational Sciences Division

Akdeniz University

Abstract

Skill laboratory practices are the most common training settings where nursing students learn skills prior to clinical practices. The purpose of this study is to investigate the mental images (metaphors) that nursing students formulated to describe the skill laboratories in which they are involved, why they formulated those metaphors and whether the metaphors they formulated were different according to their genders. This is a qualitative study with discourse analysis. Data were collected via semi-structured interview forms from a sample of 18 nursing students. Interviews were carried out in three levels: firstly, interviewees were asked what they thought about skill laboratory practices like, a thing, a living thing, etc.; secondly, they were asked follow-up question as why; finally, they were asked to give their reasons for the metaphors they formulated for skill laboratory practices. The metaphors formulated by students were categorized under seven main themes: art, cybernetic mechanism, object, human, plant, machine and others. The outcome of the study addresses important implications for understanding how skill laboratory practices are uttered by nursing students based on their subjective world, genders, domain of education life and what should be done to guide nursing students in skill laboratory practices.

Keywords: Nursing education, skill laboratory practices, metaphors, discourse analysis

The story of the Jews saved in Albania

Alban Malia

Universiteti Evropian Tiranës

Abstract

Albania, on 7 April 1939, was occupied by Italy, and the country was annexed to the Italian Empire. With Italy's surrender in 1943, German troops occupied Albania. The deportation of Balkan Jewry to the death camps began in the summer of 1941, with the Jews of Yugoslavia followed by the Jews of Thrace, Macedonia and then Greece in 1943. The purpose of this publishing is to give a modest contribution in making known even more among other people the story of the Jews who were saved in Albania during the Second World War. Many Albanian families opened the doors of their houses to the Jews, calling on the "Besa", a traditional code of honor that is an important part of the culture of the Albanians. In this context, "Besa" is a promise to provide shelter for anyone seeking protection, and maintain this promise even at your own risk. There are many witnesses and stories that proof this. Albania was the only country in Europe, under Nazi occupation, where the number of Jews was larger than before the beginning of the Second World War. Around 200 Jews were living in Albania before the war, while at the end of the war the number reached 2000.

Keywords: Besa, Jews, Holocaust, deportation, Albania, family.

PISA and Teachers Professionalism: The Case of Malaysia Education System

Muhammad Asyraf Bin Abdul Rahman

EdD Cand. University of Bristol

Abstract

In this globalisation era, the Organisation for Economic Co-operation and Development (OECD) has been strengthening its influence in educational governance through the Programme for International Student Assessment (PISA). Nevertheless, there is limited research that tries to understand the transformation and influences from PISA from the bottom-up approach which specifically targeting the teachers at schools in non-partner countries. This research is interested in understanding the forces of PISA on teachers' professionalism in Malaysia context. This presentation draws on data from the pilot study that involved ten teachers, as well as analysis of relevant documents related to current Malaysia Education Blueprint and OECD's documents. This research argues that the government used PISA as a tool to justify their decision at the national level and at the same time influencing mode of governance at school-level. Further research needed to explore in-depth understanding on how teachers react to the changes of governance which altered by PISA.

Keywords: PISA, teachers, professionalism, Malaysia

Prison as an Inequitable Public Policy

Marco Ribeiro Henriques¹

FDUNL

Abstract:

In the strictest sense, there will be no doubt at this point in time as to the validity of the assertion that inmates constitute an enormous and complex framework of vulnerabilities that make them human beings with unequal access to the State. The expectation of prison intervention as a public policy depends to a large extent on the certainty that, in addition to the removal of criminal people from their community, there will also be changes in the prison environment of a correctional nature, as well as in its social structure that will facilitate the re-entry of prisoners. Prison, as a public policy, and as the ultimate sanction of the State's punitive power, ends up being understood by the community as a fair measure, although not very effective, especially because of its illusory and temporary character that is reflected in the feeling of security generated in the community. Our analysis seeks to demonstrate the formal inequality to which all prisoners are subjected in the face of the punitive power of the State, through institutional discourse and practices, first of all by observing in detail that the policies of resocialization do not accompany the official narratives. It will therefore be fair to argue that, in a prison context, all people are empowered with the same opportunities for re-entry. Reality, however, proves otherwise. Our work addresses the successive difficulties and institutional entropies faced by the most vulnerable people in the community, and concludes that prison is capable of perpetuating inequalities while giving the appearance of providing equality of opportunity for re-entry. We conclude that prisons are institutions of their time that play a particular role which extends far beyond the reintegration of criminal people. Our analysis concludes that the prison environment maintains a framework of a unique model, conforming to a single discursive and practical rationality, stacking sedimented layers representing the various eras and punitive ideals one on top of the other over time, yet coexisting with social concerns, and flanked by retributive identities in the treatment that is available to people. In the 21st century, prisons persist in practising class invisibility – by rendering the most vulnerable class invisible, the class which swells the ranks of the prison population. In doing so – and against a backdrop of a deeply rooted desire to maintain security, prisons normalise inequality in our view.

Keywords: inequality, prison, re-entry, public policy, retributivism.

¹ PhD candidate in Law at the Faculty of Law of Universidade Nova de Lisboa (FDUNL), Lisbon, Portugal. Research Fellow at the Foundation for Science and Technology (FCT), and researcher collaborator at the Portuguese Institute for Legal Research (IJP). Full CV available online at: <https://www.cienciavivae.pt/en/2115-D900-241B>

The (Essential) Criterion for a Decision of the European Court of Human Rights in Prison Labour Matters

Marco Ribeiro Henriques¹
FDUNL/FCT

Daniela Serra Castilhos²
UPT/IJP

Abstract

Our proposal seeks to discuss the criteria that have been used in the decisions of the European Court of Human Rights (ECtHR) with regard to the always controversial issue in Europe of work carried out in prisons by prisoners during the implementation of penal measures that deprive people of their liberty. It was in this respect that the grounds and criteria adopted in a number of judgments of the ECtHR were analysed in conjunction with various national and international texts dealing with this issue, which oblige the Member States of the Council of Europe to ensure a minimum level of guarantees for these prisoner-workers. Prison labour is regulated by all Member States of the European Union and, in the same way, by the States Parties to the Council of Europe. Prison labour is most often relegated to the realm of international soft law through the conventions, resolutions and recommendations of the Council of Europe, leaving the individual States with the political and normative options regarding labour matters in the context of imprisonment. Such internal regulation is proving to be fragmented and very particular to each state, which often places prisoners in a situation of violation and deterioration of their fundamental and human rights. Our analysis shows that when examined in the light of the European normative scope, this will serve as a catalyst for entropies affecting the transversal and unequivocal enforcement of the international norms that govern human rights issues within the European Union. Our proposal seeks to reflect the issue of prison labour and the criteria adopted by the ECtHR in the light of European Union standards, particularly the Treaty of Lisbon, but above all, on a broader spectrum with regard to the validity of a very specific interpretation of the European Convention on Human Rights (ECHR) in this area, which refers to a unequivocal enforcement throughout the Council of Europe's area of measures guaranteeing personal rights, inter alia, in relation to the protection of all persons who may lodge a complaint with the ECtHR in the event that (omissive or compulsive) conduct by the State is likely to affect their inalienable human rights. Our analysis shows that there is no common model between the State Parties to the Council of Europe and the Member States of European Union. In essence, this means there are no uniform criteria applied when the issue of prison labour is taken to the ECtHR, transmuting the situation into a mosaic of various shades with little resistance against the violation of human rights.

Keywords: Prison, prison labour, Council of Europe, European Union, re-entry

¹ PhD candidate in Law at the Faculty of Law of Universidade Nova de Lisboa (FDUNL), Lisbon, Portugal. Research Fellow at the Foundation for Science and Technology (FCT), and researcher collaborator at the Portucalense Institute for Legal Research (IJP). Full CV available online at: <https://www.cienciavitaee.pt/en/2115-D900-241B>

² Assistant Professor at the law department of Portucalense University. Coordinator of Jean Monnet Model The European Union as a global player for Democracy and Fundamental Rights. Coordinator of Master degree Mestrado em Direito - Especialização em Ciências Jurídico-Políticas da Universidade Portucalense. PGD in Human Rights at the University of Salamanca

Application of methods for gifted students in the teaching of technical culture

Ivana Pešo

Nikola Marangunić

University of Split, Faculty of Science
Ruđera Boškovića 33, 21000 Split, Croatia

Abstract:

Gifted children conceal in themselves talents to be recognized and cherished, because such talent will one day contribute not only to an individual but also to community. Therefore, we should help such children to achieve their maximum to prevent the loss of talents. Educational system, starting from pre-school to higher education, should be the main focus of care for gifted students. Gifted individuals affect educational activities, especially in elementary education when growth of their talent is very intense. Educational programs are designed for average children so that programs are often unattractive and boring to gifted children. Numerous other researches have shown that gifted students don't like when their teachers strictly adhere to the work plan, because that kind of lectures are very often discouraging. They are extremely dissatisfied with fact they know most of the teaching materials, and they are most satisfied when their teacher encourages them to make small projects. The research related to this paper has confirmed that teachers of technical culture daily work with gifted students, they recognize student's talents, cooperate and communicate extensively with expert associates and other colleagues within the school that a gifted student attend. More than half of them are looking for help of external associates from the student's area of interest, all for the purpose of proper orientation of interest and intellectual advancement of gifted students. For gifted students most useful are summer schools and "Young Technical Club" curriculum, while the most useful education forms are individual, team and mentorship.

Keywords: gifted students, teaching methods, technical culture

Have You Ever Seen the Void? Interest Groups Concerns Toward the Weakening Representational Role of Political Parties in European Countries

Chiara Fiorelli

Abstract

Contemporary democracies face a trend toward the diffusion of the representational void left by under-legitimized political parties (Mair 2013). The essential functions of traditional political parties to organize and articulate political conflict and societal interests have been challenged both from the inside of the party system, by the emergence of populist habits of newcomers, and from the outside, by the progressive erosion of old political culture and corresponding increasing of hostility feeling. Intermediaries organizations of political and economic interests usually push their demands toward political actors in order to shape policy choices. What can happen when the traditional party system suffers from de-legitimation? In this paper, I will try to understand the level of concern of interest organizations toward the progressive detachment of civil society from political actors, in order to define if the risk of a void of representation is perceived as real and contingent. Thanks to a new original European dataset (the Comparative Interest Groups Survey), the analysis shows that different types of interest groups perceive the void to be real and with a possible impact on their activities and their own survival. As expected, in the regression model, differences emerge between countries with a traditional strong interests' system and countries where groups activities are usually barely regulated. The results support the idea that the distance between civil society and political representatives should be considered a prominent focus of contemporary social and political investigation in order to understand the challenge for democratic life and the possible strategy of reaction.

Keywords: representation, intermediation, interest groups, comparative perspective

Intercultural Pedagogy: a Methodology for Contemporary Society

Giovanbattista Trebisacce

Prof. Università degli studi di Catania

Abstract

Major societal transformations have occurred worldwide in the twentieth century, and more markedly in the last decades, affecting the social, cultural, political and economic spheres of human activity. Such transformations contributed to the realization of Marshall McLuhan's prophecy about the advent of the "global village", characterised by the growing expansion of mass communication and mass media, by the birth of new economic markets and significant geopolitical changes. The latter, usually identified via the term "globalization", evidence a shrinking of distances and a growing number of ties between the most diverse territorial realities and, above all, greater mobility resulting in numerous and varied migratory directions.

The Creation of the Convenient Investment Strategy in Forex

Daniela Majerčáková

PhDr., PhD., MBA, Faculty of Management FMCU, Comenius University in Bratislava, Slovakia

Michal Greguš

Prof. RNDr. PhD. Faculty of Management FMCU, Comenius University in Bratislava, Slovakia

Abstract

Forex that belongs into the biggest and the most widespread financial markets in the world has the daily turnover that is assessed to more than 5 trillion USD. This fact is at the same time a temptation for investors and attracts them to trade in this market. Only the small percentage from this daily turnover is made of the business of governments and companies, that purchase in foreign countries or need to exchange foreign currency for the domestic one. The majority consists of the speculative business. Speculative business is based on the expectations of a speculator on the future rise or fall of exchange rate, that he plans to earn money on. In this case, we are talking about the market with unpredictable environment. It is controlled by the crowd of people who create the most extensive financial market of the world by their mutual purchasing and selling foreign currencies. The aim of this paper is to create the convenient investment strategy on the basis of the analysis of foreign exchange market. We have used the description for the fulfillment of this aim and consequently we have focused on business strategies as the fundamental and technical analysis and its use in the real trading. We have described the development of trading in the chosen market and period by means of fictitious account on the platform Metatrader4. Consequently, we have analysed the influence of the particular factors on the results of investing in Forex

Keywords: Forex, currency pair, currency graphs, investment strategy, analysis

The Euro in Historical Comparison to the Ruble and the Influence of Overconfidence.

Sebastian Hoffmann

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

Abstract

This paper deals with the structured comparison of the former ruble monetary union with the euro currency area. As a basis, developments in the ruble currency area and in the Eurozone are traced. In a comparison of the central components of the currency areas, similarities, such as the heterogeneity of the states, and differences, for example the role of the central bank and the legal foundations of the currency area, are outlined. Subsequently, the significant historical exit causes of the states from the Soviet Union out of the ruble currency zone are presented. In addition to obvious structural factors, such as the unequal power structure, also practical reasons, such as the insufficient provision of cash for some areas, are considered. Regarding overconfidence, the sub-categories overestimation and overplacement can be detected mainly regarding the behavior of the administration of the former USSR. The third sub-category, overprecision, can primarily be found in the behavior the European Central Bank and their efforts to stabilize the Euro. Based on the findings, the conclusion can be drawn, that there are certain parallels between the two currency areas. However, the available options for action and mechanisms at the political and economic level in the Eurozone today are more wide-ranging than at the beginning of the 1990s in the ruble currency area.

Keywords - Euro, Ruble, Financial Crisis, Overconfidence, Behavioral Economics

Government Expenditures and Economic Growth: a Nonlinear Causality Investigation for the UK

Stella Karagianni

Prof. Dr. at, Department of Economic Sciences, University of Macedonia, Greece

Maria Pempetzoglou

PhD, Department of Social Administration and Political Science, Democritus University of Thrace 1, Greece

Anastasios Saraidaris

PhD, Ministry of Finance of the Hellenic Republic/ National Expert in the European Commission-DG GROW, Unit of Economic Analysis

Abstract

This study aims to explore the causal relationship between government expenditures and economic growth in the UK. The analysis emphasizes on the nonlinearity facet of the explored causality. In this aspect, existing conditional heteroscedasticity as a potential source of bias, is filtered out with the use of the nonparametric Diks and Panchenko causality test. The UK government expenditures are disaggregated into total managed expenditure (TGE), current expenditure (CGE) and net investment (IGE), in order to account for a possible heterogeneity in a causality disclosure linked to the nature of expenditures. The findings support that UK government spending Granger causes nonlinearly UK economic growth. Overall, government spending at all three levels of disaggregation is documented to influence the economic growth in the UK. In this aspect, the results move along with the endogenous growth literature. However, in a policy making framework, the disclosed nonlinearity patterns stress the high risk involved whenever economic growth is pursued restrictively via public spending policies overlooking other important elements of the economic life (e.g. market structure, macroeconomic environment, etc.). Additionally, the exhibited nonlinearity in the examined causality could be regarded as a likely cause of the widespread diversification of the findings in the field empirical literature.

Keywords: Nonlinear causality, Economic growth, Government expenditures, UK

The Rural Development and Employment in Albania

Manuela Meçe

Artur Ribaj

Abstract:

Public institutions in Albania play an important role in the functioning, regulation and development of the rural areas, including their support to the rural labor market as an important mechanism for the allocation of labor, resources and income generation. The governments' efforts emphasize the prioritization of rural employment as crucial for development of Albania. But, this paper conclusions that many young Albanians from rural countryside would like to run away from their country, not because they don't love their country, but because they see no employment (and livelihood) perspective. The economic development of the country seems more as a residual rather than prosperous, despite many foreign experts and donors trying over 25 past years to present a sustainable economic development model. Informal work arrangements remain widespread across many economic activities and the division between unemployment and informal work (employment) is still blurred. Albanians from rural countryside should be drawn more to farming than in the recent past. Government institutions should reflect a clear rise in the status of farming compared to the recent past, improving the respective legal framework, addressing constraints on access to farming activities and borrowing (or financing) and adapting fiscal policies which will motivate and incentive them to be drawn more to farming than in the recent past.

Keywords: rural development and employment in Albania

Towards a Democratic Laboratory School

Simona Perfetti

Abstract

Nowadays, a new model of democratic school must contemplate educational dimensions capable of realizing those ethical relationships that can face the now unpredictable learning challenges of contemporary global society. Those involved in education have the task of organizing education by taking into account both the differences of each student to enhance the full development of the single individual's potential, as well as the opportunity to enhance talent to ensure a merit system based not on competitiveness but on recognition of the different skills of each pupil in the class. Perrenoud affirms the importance for the teacher to question himself about his activities and the educational relationship with young people, also with a view to an observation process that the school itself can undertake in the context of an overall self-assessment process. Against this background, the reflection proposed here focuses, in particular, on flipped methodologies, those cognitive and formative processes that, developed within the school of competencies, can be declined in real answers related to the existential, professional and social needs of young people. The transition to this type of school has meant the enhancement of a teaching approach in which pupils take the lead of their own learning pathway, learning to manage those key competences, including digital skills, social and civic competences, which are necessary for personal growth. In the context of these educational issues, it becomes useful to reflect on technology in a broader perspective, not only as a means to learn something but as an "object" able to promote the exploitation of those dimensions of existence, such as cooperation, sense of judgement, and the principle of responsibility, necessary to overcome society's challenges. Taking a chance on a democratic school means possessing digital wisdom, borrowing an expression from Mark Prensky, namely, that quality that can come out thanks to the enhancement of human capabilities through a balanced use of technologies. The digital wisdom, today's teacher, will reflexively identify the circumstances in which technology can be a valuable aid to stimulate students' understanding and creativity. Therefore, a proposal for those involved in education, may be to consider technology in a different perspective which, as Calvani suggests, embraces a different level of technology, the "contour", the potential, that which can be moved in terms of communication and cooperation. In this sense, flipped technologies (or an inverted way of teaching/learning: a task is given to the class that can be a video to watch, a book to read, or an experience to be carried out, usually to be done at home) such as the Flipped Classroom and the method of the EAS (method, transforming the school into a laboratory school, can represent an important learning opportunity for the adults of tomorrow. In fact, these technologies, due to their implementation methods, put into effect those values, such as collaboration, reflexivity, sharing, in a learning pathway suitable for living in today's complex society.

Keywords: democratic laboratory school

Global Empire? The Concept of a New World Order and the Power of the Liberal System

Aleksandra Spalińska

University of Warsaw

Abstract:

Increasingly, there are more and more discussions about the crisis of so-called liberal system or liberal democracy. At the same time, the threat posed by populism to democratic institutions is pointed out. There appear also questions about how to regain control over reality and who has the real power in the system of global capitalism. In the paper, I would like to refer to the concept of the "new world order" (most often understood as ordinary conspiracy theory), which is based on the conviction of a great change in global politics. This concept also applies to speculation about the real power, which is supposed to lie in the hands of unelected and unofficial bodies or institutions (such as the Bilderberg group). The paper puts forward the thesis that the concept of "new world order", on the ground of political theory, should be confronted with the question of the impersonal power – the power of the system, which today is a liberal system, understood both as a set of economic or political solutions, as well as values underlying the dominance of the West. This "theoretical experiment" would let us to expand the field of view of political theory in conceptual as well as methodological, empirical and normative dimensions.

Keywords: the global, empire, new world order, power, liberalism, capitalist system

Step by Step for Social Innovation with Neuro-Fuzzy Modelling¹

Mariann Veresné Somosi

University of Miskolc, professor

Krisztina Varga

University of Miskolc, assistant lecturer

György Kocziszky

University of Miskolc, professor

Abstract

Innovation as the key element of economic development is a crucial factor in social processes. Technical innovations can be identified as prerequisites and causes of social change and cannot be created without the renewal of society. Technological and economic innovations cannot respond to all social challenges. Natural and material resources are becoming more and more scarce, so it is necessary to use investment assets as efficiently as possible, maximizing social and economic efficiency. It is a major task to address the backwardness of social disparities and to create opportunities for catching up in peripheral regions. The aim of our study is to identify the local level of catching-up opportunities that arise from social innovation efforts, and model values for other disadvantaged areas. The investigated solution is presented as a case study after a structured analysis of the local initiatives of the settlement. In addition to examining the prominent role of local actors and networks, we present the process of social innovation, the framework conditions that determine systemic functioning, as well as the social needs, potentials and barriers that determine social innovation efforts. The study identifies the social, economic and political challenges associated with social needs in peripheral regions, as well as proposals for solutions based on neuro-fuzzy modelling that can be adapted to other disadvantaged areas. Exploring solutions and innovative structures and collaborations provides an opportunity to demonstrate the role of the social innovation process in local-level catching-up initiatives.

Keywords: social innovation, disadvantaged settlements, catching up, neuro-fuzzy modelling, process orientation

¹ "The described article was carried out as part of the EFOP-3.6.1-16-2016-00011 "Younger and Renewing University – Innovative Knowledge City – institutional development of the University of Miskolc aiming at intelligent specialisation" project implemented in the framework of the Szechenyi 2020 program. The realization of this project is supported by the European Union, co-financed by the European Social Fund."

Social Businesses with an Export Profile as a Mechanism to Promote Entrepreneurship and Improve Welfare

Ignacio Ortiz Betancourt

Prof. Universidad Veracruzana (Mexico)

María del Carmen Meza Téllez

Prof. Universidad Veracruzana (Mexico)

Jorge Samuel Berdón Carrasco

Prof. Universidad Veracruzana (Mexico)

Leidy Margarita López Castro

Prof. Universidad Veracruzana (Mexico)

Patricia Margarita Villar Sánchez

Prof. Universidad Veracruzana (Mexico)

Abstract:

The increase in unemployment rates at the international level, as a consequence of the deep financial crisis of the beginning of the 21st century, has caused the labor market to become increasingly restricted, complicating the insertion of a population of productive age. In addition, the lack of employment has exacerbated a series of social problems, including poverty, insecurity, undernourishment, among others, in a large part of Latin America. Therefore, the impulse of social enterprises can contribute to the creation of jobs and combat this problem, generating wellbeing not only within a region but also in others with similar situations, generating an area of opportunity for those social enterprises with an export profile. Based on the above, this paper begins with a documentary research process of specialized literature on social business and later analyzes a group of students' perception on the impact that this model can produce, as well as the limitations for its implementation, through an exploratory and descriptive study, guided by the qualitative approach since a questionnaire of open questions about these topics was used as a research instrument. The answers were analyzed in such a way that similarities and differences could be detected among students' perception. Results shown that the main benefits are the creation of direct jobs in the country of origin and indirect in other markets as well as the emergence of productive chains while among the constraints include ignorance of the export logistics process and tariff rates. Finally, a series of recommendations are proposed in order to strengthen the dissemination of this business model.

Keywords: social business, entrepreneurial culture, entrepreneurial teams.

Arms up, Guns down. Analyzing the Clash between the Narratives of State and Media Actors on Light Weapons Control in Albania (2017)

Leida Ruvina

PhD Candidate at University of New York Tirana

Expert at the Albanian Ministry of Interior¹

Abstract

The objective of this paper is to reflect on the relation between Communication studies and Security issues, by fitting particular developments into a larger scheme. In my hypothesis, public order and security can never be an exclusive duty of State Police alone, but a joint attempt for common goals. The institutional identity of the Police or Ministry of Interior itself is constituted by their purpose (why they exist), their brand (how they are perceived by others) and their culture (how members interact and work within them). Nevertheless, popular culture and mass media play an important role in effective institutional public communication. The challenge is to prevent, identify and manage incompatible or opposite messages promoted in the content managed by governmental and media authorities of a country, on the same topic, to the same audience, at the same time. By analyzing the behavioral communication and reflecting on how media exposures skew already available mental models to affect judgments, beliefs, and attitudes, I expect to provide a more complete framework on events occurred almost contemporarily, and to contribute in narrative-based persuasion strategies applied by governmental institutions in the future in Albania, suggesting Grunig's systemic approach of Public Relation. In the following work, I will construct the media narratives related to light weapons control in the Republic of Albania in 2017, and deconstruct the two incompatible narrative-based strategies in this regard. They demonstrate the need to harmonize the production or diffusion of public narratives and content on specific public order and security strategies.

Keywords: Public Relations, Crisis communication, Public security, Media narrative, Cultural studies, Albania, Ministry of Interior, State Police, Weapons control.

¹ Disclaimer: Views, thoughts, and opinions expressed in this article belong solely to the author, and not necessarily to the author's employer, organization, committee or other group or individual. Assumptions made within the analysis are not reflective of the official policy or position of any Albanian government entity.

The Sources of Economic Growth in Nigeria: A Growth Accounting Approach

Emeka Nkoro

Ph.D Department of Economics, University of Port Harcourt

Aham Kelvin Uko

Ph.D.Ministry of Environment, Abia State, Nigeria

Abstract

The study investigated the sources of growth in Nigeria for the period 1960 to 2017 using the growth accounting framework of the standard neoclassical production function. Specifically, the study focused on evaluating the contribution of capital, labour and total factor productivity to economic growth in Nigeria. Additionally, in order to establish the relationship between capital, labour and total factor productivity, and economic growth, correlation coefficients between the variables were estimated. The results correlation analysis showed that the growths of capital, labour and total factor productivity were positively correlated with economic growth. Furthermore, the results from the growth accounting framework revealed that capital was found to be the major driver of economic growth in Nigeria during the entire period, 1961-2017. In the case of the sub-periods, capital was the major driver of economic growth in Nigeria during the first sub-period, 1961-1980. However, during the period, 1981-2000, labour was the major driver of economic growth, followed by capital while TFP growth contribution deteriorated as it was negative. Also, TFP was the major driver of economic growth during the period 2001-2017. Based on the foregoing, the study therefore recommends that, policies that encourage physical capital, human capital and technological development through domestic and foreign investments should be adopted, nurtured, sustained and intensified, noting that capital, human capital and technological development are key to economic growth and development.

Keywords:Total Factor Productivity, Relative Factor Shares, Economic Growth, Growth Accounting Framework, Nigeria.

Determinants of Organizational Commitment in Emerging Market: Korean Expatriates in India

Hyeong-Deug Kim

Leder School of Business, The King's University, Edmonton, Alberta, Canada

Abstract

This study examined expatriates' organizational commitment by focusing on how willingness to accept an international assignment, training for an international assignment, expatriate empowerment, perceived organizational support, and demographic variables in order to predict the Korean expatriates' organizational commitment in India. The results provided empirical evidence that expatriates are more committed to their organization when they perceived organizational support and empowerment and gave some valuable insights to develop relevant training for cultural adjustment and managerial skill development as well as supporting programs, especially for growing companies in emerging economies. By building on the cross-cultural management and organizational theories and researches, this study expands these recent findings to expatriate studies.

Keywords: commitment, empowerment, expatriates, international assignments, perceived organizational support

Science as Interdisciplinary Analysis of Temporary and Unstable Features, and Norbert Elias' Relational Perspective of Fear, Violence and State

Leida Ruvina

PhD Candidate at University of New York Tirana

Abstract

The objective of this paper is to reflect on some views on science by Social Theory and Cultural Analysis, which have had their resonance across the biological, physical and social sciences on the topic, without easily fitting into the dominant sociological tradition. For this purpose, the focus of the analysis is upon the contributions made in social theory and cultural analysis by the anthropologist Clifford Geertz, as opposed to the logical positivism, and by sociologist Norbert Elias, as confirmed by Ilya Prigogine. By defining culture as a shared system of inter-subjective symbols and meanings, a science of culture has been considered in terms of interdisciplinary analysis of temporary and unstable features; little-predictable at all levels of physical evolution, social organization, and psychological process. In contrast to classical science, whose views emphasized stability and order, Elias has found in nature the relations between biological, physical and cultural processes and to him that explains how nature, society, and individuals are interdependent with each other. By analyzing Elias' view on science, I will identify the strengths and limitations of his Figural Sociology, where the real investigation to capture long-term figural dynamics and developments is achieved only with the right degree of detachment from (rather than involvement into) social life and political commitment. The civilizing process remains the perfect object to study the relationships among power, knowledge, emotion, and behavior over time. The concept of civilization as a matter of perception, of natural science as temporary, strongly influenced by the external environment, and shaped by cultural receptivity to its dominant ideas, may be of particular interest in terms of policy evaluation and management of the public thing. Elias' relational perspective of fear, violence, and state is vital in the processual approach to the formation of class, caste, and urban space. And rather than a laudatory or carpingly nihilist speech – which history shows it can foster cruel behaviour across a nation – encouraging critical thinking should be seriously taken into consideration by experts of media, academia and political communication, to avoid potential barbarisms in the 21st Century, in developing, second or first world countries.

Keywords: Social Theory, Cultural Analysis, Science, Decivilization, Figural Sociology, Norbert Elias

Professional Profile as Life Reflection Story

Gina Chianese
University of Trieste

Abstract

According to the theories of Life Design (Savickas 2010; 2005) the making of the professional profile can be interpreted as a "life story", a construction and a narrative reconstruction through which to fix experiences, thoughts, contents, but also give «a personal meaning to past memories, present experiences and future aspirations, combining them in a theme of life that shapes the professional life of the individual» (Savickas, 2005, p. 43). In this sense, the professional profile can be considered a dynamic process supported by reflection as a device through which people learn from their experiences in order to improve themselves through conscious immersion in their own experience.

Keywords: Life Design, reflection, professional profile, narration.

Intergenerational Management Succession: Specificities of the Portuguese Family Business

Ana Paula Marques

Department of Sociology at the University of Minho
Interdisciplinary Centre of Social Sciences (CICS.NOVA/ UMinho Pole)

Ana Isabel Couto

School of Economics and Management of the University of Porto (FEP)
Institute of Sociology of the University of Porto (IS-UP)
Centre of Social and Organisational Studies of Porto Polytechnic (CEOS.PP/ISCAP/P.PORTO)

Abstract

Family firms are considered the world's most predominant form of business organisation. Notwithstanding the fact that there is a lack of consensus with regards to their definition, one recognises that family firms are different from non-family businesses due to their specific relations at three levels, namely ownership, business and family. It would appear that the family influences, shapes and conditions both the firm and its continuity, mainly through the intergenerational management succession, its planning and effectiveness. According to a recent research focused on the entrepreneurial succession in Portugal (AEP, 2011), 50% of family businesses are not passed on to the second generation, and only 20% reach the third generation. Also, taking into account the main results from the project "Roadmap for Portuguese Family Businesses" (NORTE2020/FEDER), the empirical findings have proved that the business succession planning has been identified as one of the most challenging steps in the life of the family firm, which demands for appropriate analysis. In fact, resistance to succession, relationship founder/ successor, planning of succession, type of organisational culture, among others, explain how executive succession is one of the most important and hardest tasks in organisational life. In this article, we aim to discuss the main management challenges of a family business, particularly the importance of succession preparation and the role of the family in the socialisation of the second (third or subsequent) generation. Based on an online survey (N 1148) and on in-depth interviews conducted to founder/ manager/ owner (N 23), we will seek to point out major challenges faced by the Portuguese family business, as far as this matter is concerned.

Keywords: North of Portugal, family business, Professionalisation, Intergenerational Succession

Educational Association Children's Library Publishing: the Case of Fairy Tales

Alexia Orfanou

Laboratory Teaching Staff

School of Education, Faculty of Primary Education, National and Kapodistrian University of Athens, Athens, Greece

Abstract

The purpose of this study is to highlight aspects of the publishing activity of the Educational Association founded in Athens in 1910. The main aims of the Association were the educational reform and the diffusion of the *vernacular language* form of Greek, the demotic, in education. From 1913 to 1919, the numbered book series Educational Association Children's Library published fairy tales in the demotic language in three books. Members of the Association *worked* for the fairy tales: the authors Penelope Delta and Julia Dragoumi, both specialized in juvenile literature and the educator Alexander Delmouzos as a translator. The fairy tales, written or translated by the members of the Association named above, were for specific age groups of children and covered the entire spectrum from the very young children to the older. This article evaluates the role of fairy tales in the Educational Association's aims. In that context, fairy tales were of paramount importance both as a literary text for the spread of the demotic language and as a pedagogical tool.

Keywords: Demotic language in education, "Children's Library of the Educational Association", Fairy tales

New Trends in the Teaching of the Intercultural Competence as Part of the Process of Teaching Foreign Languages in the Context of Higher Education in Spain.

Yolanda García Hernández

Univ. Autónoma Madrid, Spain

Abstract

Today we live in the era of globalization. We define our world by the coexistence of various different cultures. The present article seeks to clarify the concept of intercultural competence when teaching foreign languages and the new trends in the context of Higher Education in Spain. We will start with a short introduction on the various studies and research on the relationships between language and culture. However, the main aim in this article will be to point out the new roles played by teacher and learners in the process, the creation of new materials to support the intercultural dimension and the new types of activities that could be done inside and outside the classroom, such as the use of tele-collaboration, social networks and others. In other words, the elements that make up and give meaning to a new methodology for language teaching and learning and that help language teaching to be an open window towards other cultures and to develop a new and open-minded attitude towards diversity. Therefore, we will try to study some of the main current methodological approaches, stereotypes and contents linked to that intercultural competence.

Keywords: Interculturality - language learning and teaching - teacher training/development – new roles for teachers and learners

Differentiated Instruction and Pupil Motivation in Language Teaching

Dr. Angeliki Markoglou

University of Cyprus

Abstract

A key feature of effective teaching is the ability of teachers to create a positive learning environment for the active participation of pupils. Teachers who support and seek to cultivate pupils' autonomy, tend to motivate the effective engagement of their pupils in and with the learning process and help strengthen their psychosocial adaptation in school. More specifically, curriculum design that help pupils express their values and interests is considered a basic prerequisite for creating internal motivations. At the same time, the cultivation of learning motivations, the encouragement of substantial commitment to learning process, the promotion of autonomous action and the encouragement of interaction between pupils, all are characteristics of differentiated teaching. Differentiation of teaching is considered a basic dimension of effective teaching and is an effective teaching model that responds to learners' needs through the design of multiple and qualitatively different teaching approaches. Effectiveness of teaching is often improved through differentiated teaching techniques. The purpose of this paper is to identify and discuss differentiated teaching techniques such as: jigsaw, cubing, learning stations, think-tac-toe, raft, think-pair-share and KWL and highlight how they can be effectively applied to the teaching of language in ways that motivate pupils to take an active participation in teaching and learning. The application of above-mentioned techniques to the teaching of language is illustrated with specific example from secondary education.

Keywords: differentiated teaching techniques, language teaching, pupil motivation

Economic Contribution of Ecotourism, Motivations and Satisfaction: the Case of Puerto El Morro (Ecuador)

Suleen Diaz-Christiansen

Universidad Casa Grande – Ecuador, Annabelle Figueroa Lizarzaburu

Universidad Casa Grande – Ecuador

Abstract

The scientific review of Natural Protected Areas as sites to perform economic activities related to tourism is recent. It is well known that ecotourism is a leading generator of business, the level of employment in certain sites depends upon it, and also helps to strengthen the household economy of vulnerable communities while preserving it. This paper presents an empirical research carried out in Puerto El Morro (Ecuador-South America). The purpose of this paper is to identify the socio-demographic profile of the visitors, their motivations and the level of satisfaction declared after the tourist experience. This analysis is based on 585 surveys collected from hikers after the visit. The results provide evidence and describe a majority of young and educated visitors who declared having obtained a university degree and a monthly income of less than US \$ 1500.00. The results highlight that contact with nature and bird and dolphin watching were respectively the main push and pull motivational factors. A high level of satisfaction is reported, which generates positive actions after the visit, such as: repetition of the visit, recommendation of the place and positive word of mouth. These findings are essential for the design or adaptation of tourism marketing strategies that respond to this segment, so that this site becomes a suggestive place as a natural destination that allows expansion in economic output and leads to positive impacts on gross capital formation for sustainable development within the community.

Keywords: economic impact, motivation, satisfaction, tourist marketing.

Management Accounting Maturity Levels Continuum Model: a Conceptual Framework

Pavel Lebedev

IEDC Bled School of Management, Slovenia

Abstract

Until now, in the financial domain, there were only few attempts made to develop maturity models – a useful tool to identify strengths and weaknesses of certain domains of an organization. The aim of this paper is to present a maturity model for management accounting. The method used to develop the model is an interpretive approach, in which an exploratory sequential mixed method research design was applied to broadly explore and understand data on management accounting systems in various settings and in its historical perspective. This study extends my previous research on development of management accounting and financial leadership (Lebedev, 2014, 2015, 2016, 2018, 2019b, 2019a). The framework traces 10 prototype roles of management accounting along their continuum of maturity (from “non-existent” to “strategic leadership”). Each maturity level reflects the extent to which management accounting creates value for its users based on the support provided for “conversations” among stakeholders, the deepness of leadership “embodied” into the management accounting function, and the effectiveness of management accounting principles and management accounting practices (MAPs) employed. This study contributes to the theory of management accounting by offering a framework for understanding of the evolution of financial function and management accounting. In practical terms, the results of the research could be applied to support decisions in transformation of financial function along its maturity continuum (both conducted internally by managers and/or with external support of consultants and advisors), supporting the process of reconciliation of current practices of a company being transformed to a proposed transformational strategy and chosen direction of implementation.

Keywords: management accounting, maturity model, leadership

Low Cost Private Schools: 'Helping' to Reach Education for All Through Exploiting Women

Roy Carr-Hill

Shelley Sauerhaft

UCL Institute of Education, London, 20 Bedford Way, London, WC1H 0AL

Independent Researcher, New York

Abstract

The rapid growth of Low Cost Private Schools (LCPS) in developing countries has led to increasing interest in the model's 'sustainability'. Nearly all the literature is based on the proponents' claims that the model is more cost-effective than government schools rather than of the implications of the model depending to a large extent on very low paid young women teachers. The article is written against the backdrop of the model of an autonomous, respected, well-prepared teacher and framed in terms of human rights and gender (dis-)empowerment. Drawing on material on literature mainly from India and Pakistan, it documents the educational levels and employment opportunities for women; reviews the arguments for and against the model pointing out the lack of attention to the high rates of profit and the plight of teachers; and demonstrates that the (mostly young women) teachers are not only very low paid but are also poorly qualified with very precarious conditions of employment. Simply put, paying women teachers less than the minimum wage denies their human rights, further disempowering those who are already socially marginalized and excluded. This is not sustainable for gender equality in the long term and, finally, detrimental to education in developing societies as a whole.

Keywords: Exploitation of young women teachers; India and Pakistan; sustainability of low-fee model

The Construction of Identity: Reading and Writing the Way into Understanding the World

Paula Andrea Becerra

Abstract

The present study aims at describing what is the role that critical reflection may have on students' literacy practices and their construction of identity. Thirteen students from the in Teaching Foreign Languages at Universidad Javeriana participated in the research. Data were collected through three main instruments, namely, students' artifacts, interviews and reflective journals. Results show that students see their reality from different perspectives, something that allows them to become more critical with their most immediate context. Such recognition of themselves and others contributes to students' construction of identity, something that was reflected in their journals and literacy practices. In the implementation, they felt empowered to rethink and assess the pedagogical practices they are being exposed, which ultimately allowed them to create an image of the role they expect to have as teachers. Finally, students recognized the value of literacy as a situated social practice.

Keywords: Critical literacy, academic reading and writing, identity, critical reflection, critical pedagogy

Positive Impact of Computer Conferencing in Distance Education

Gbenga Michael Adeyeye

PhD, College of Education, Department of Educational Foundation, University of South Africa

Abstract

A number of studies have examined the dynamics and style of communication adopted in computer conferencing in distance education (Mason, 1993). Computer conferencing by higher education institutions offering distance education courses has expanded rapidly since 1987. Lately computer conferencing has developed in fame as a vehicle of distance education. While protecting the opportunity related with asynchronous communication and giving wide access to low-end innovation users, computer conferencing enables students and instructors to take part in group learning and associate 'many-to-many' (Harasim, 1989). Much has already been written on the subject of computer conferencing in support of educational processes, in particular distance education (DE). Using unstructured interviews and observations at adult students' homes or worksites, the study investigated adult student perspectives of distance study by computer conferencing. The focal finding of this investigation was that computer conferencing can bolster a scope of learning situations, from teacher-led symposium to symposium to a student-centered community workshop. In addition, adults actively engaged in social relationships outside their distance studies which sustain their educational pursuits. The students provided insights into aspects of the on-line environment: as synchronicity, interactivity, textual communications, and collaboration.

Keywords: positive, impact, computer conferencing, distance education

Environmental and Social Sustainability in UK Construction Industry: a Systematic Literature Review

Fotios Misopoulos

University of Liverpool

Vicky Manthou

University of Macedonia

Zenon Michaelides

Manchester Metropolitan University

Ayomide Adebayo

University of Liverpool

Abstract

Research on sustainability in the construction industry is common in construction journals addressing the potential adverse effects conventional practices have in the construction community. Sustainability is addressed through the environmental, social and economic impacts in literature and researchers and practitioners always drive the need for an equal attention on these three dimensions, but not so successfully at present. Sustainability covers a broad content with various suggested approaches arising from different countries all over the world. Previous studies have investigated sustainable construction issues as a global concept and in individual developed countries such as the US, Australia, and China. The aim of this research is to investigate the extent of coverage, by academia, of the sustainability concept in UK construction industry, with a focus on the environmental and social aspects of sustainability, based on the Triple Bottom Line framework. The researchers conducted a systematic literature review, searching relevant articles with predefined criteria in two major bibliographical databases, which offer great coverage of the existing academic journals in social sciences. The study utilised the PRISMA reporting approach and the search resulted in thirty-one suitable articles. The findings revealed that environmental sustainability receives much more attention than social sustainability. Added emphasis is given to green buildings and materials used. Government regulations seem to be the leading driver for adopting sustainable practices, while lack of knowledge/awareness of sustainable best practices is the leading challenge.

Keywords: environmental sustainability, social sustainability, UK construction industry, systematic literature review, Triple Bottom Line.

Towards Critical Thinking and Its Perception in Georgia (Tbilisi Open Teaching University Case)

Sophio Moralishvili

Professor, Tbilisi Open Teaching University

Khatia Shevardnadze

Professor, Tbilisi Open Teaching University

Rusudan Tkeshelashvili

Professor, Tbilisi Open Teaching University

Abstract

Critical thinking, as the highest expression of thought, has become a subject of major concern in recent years in the Georgian educational field. Although advanced technologies are replacing humans in many spheres of life, people still possess the skills which can never be substituted by machines. One such skill is critical thinking. Therefore, the main purpose of education is to develop and advance this ability. Within the frames of the presented study, we aimed to investigate students' perception of their critical thinking at Tbilisi Open Teaching University. We also aimed to determine if students saw the necessity of mastering critical thinking skills and which teaching methods they considered as more effective. Up to 500 undergraduate and postgraduate students completed the survey. Findings indicate that students perceive critical thinking skills as the most significant and essential component in their education, but see different barriers while acquiring them. It is also noteworthy to note that students' awareness of critical thinking skills and methods has considerably increased recently.

Key Words: critical thinking, bachelor students, master students, teaching methods

The Dark Side of the Leadership: The Effects of Toxic Leaders on Employees

Mert KILIÇ

Ayşe GÜNSEL

Abstract

Studies on leadership have been overwhelmingly focused on the positive aspects of leadership, and tried to reach certain conclusions on the positive effects of leadership in organizations. However, the dark side of leadership has been ignored. Those negative leadership styles in general, toxic leadership, in particular, may have extremely negative effects on organizations, which have the potential to overshadow the effects of positive leadership. Toxic leadership can create a decrease in workplace performance, productivity, and output, as well as its remarkable negative reflections on employees. So, examining the outputs of toxic leadership is inevitable. In this paper, we aim to examine the consequences of toxic leaders on employees by a quantitative search on the finance industry.

Keywords: Leadership, toxic leaders, negative attitudes.

Pathways of Professional Identity Development: A Grounded Theory of Female School Principals

Lina Bairašauskienė

Klaipėda University

Faculty of Humanities and Education Sciences

Abstract

This paper examines a female school principal's perceptions of professional identity development. Recently education management has undergone the process of managerial transformation whereas new requirements and standards have been raised for school principals. Managerial transformations have been influenced by political, economic and cultural factors that (re)shaped school principals' professional identities. These social identity changes are especially important in the shift of managerial paradigms that evoke challenges in social identification processes. Two major approaches to professional identity include a feminist standpoint and a social construction approach. The former claims that females are underrepresented as leaders in most facets of work life due to gender role stereotypes, prejudices and unequal power distribution. The latter subscribes to the notion that person's identities are multiple and fluid due to their cultural, historic, and social situatedness. The purpose of this qualitative study was to explore the pathways of female school principals' professional identity development. The main research question of this study was how professional identity development is described by female school principals. The study focuses on two in-depth interviews with experienced school principals. The constructivist grounded theory methodology has been applied for the research. Comparative analysis allowed to generate analytic units ranging from small to large and from micro (individual), and meso (organizational) to macro (regional, national or worldwide) levels in disclosing professional identity development process. Fifteen themes comprised the results of the interview research unfolding the essential phenomenon of professional identity development.

Keywords: female school principals, education management, professional identity, grounded theory.

Higher Education in VUCA-World: New Metaphor of University

Tatiana V. Korsakova

Southern Federal University, Institute of Management in Economic, Ecological and Social Systems,
Professor in the Department of Management and Innovative Technologies (MIT).

Abstract

In the 21st century universities cannot survive if they simply support an established state of affairs because the modern world is described by the following relation: the rate of change tends to infinity; the transition interval tends to zero. This leads to the fact that universities cannot rest on their laurels and not change. The university that cannot construct new organizational ties loses its magnitude forever. The article describes the specific features of the new reality which are of great importance for building modern organizational systems in universities. Reference points have been being identified and that allows presenting the direction of development that meets the new requirements of the modern world to people, processes, technologies, structures, and systems accordingly to the university. Analysis of the selected reference points leads to the conclusion that in the conditions of dynamic changes and uncertainty of the world the concrete way of the vision of the university's situation is to see it as if in the light of the modern world. A metaphor is presented, which is based on a comparison of the university internal world with the current reality. It is expressed by the acronym VUCA.

Keywords: university's internal space, pivotal points of change, metaphor, validation, uniqueness

Tendencies of Visiting the Cinema and Watching Television: Students of the Cinema and Television Department at AfyonKocatepe University

Sena Coşkun,

Assoc. Prof. Dr., Faculty of Fine Arts, University of Afyon Kocatepe, Turkey

Sinan Saraçlı

Assist. Prof. Dr., Faculty of Science and Literature,, University of Afyon Kocatepe, Turkey

Abstract

Cinema and television play an important role in mass media. In the cinematic context, the field of cultural studies, which explores what the audience watches, tries to shed light on the psychosocial needs of the target audience and the cultural structure of society. With the use of digital technology in information production, transmission, and storage, as well as the rapid progress, integration, and convergence of information technologies, television is no longer limited to a place, and widespread access to mobile devices is possible. Consequently, both cinema and television have allowed masses of people to become increasingly aware of what is happening in the world. However, the tendency to go to the cinema and watch television emphasizes the psychosocial and sociocultural dimensions of the relationship between audiovisual media and its audience. Going to the cinema and watching television is an experience that young people engage in for various reasons such as escapism, relaxation, education, entertainment, and socialization. Furthermore, viewers employ different tools including television, mobile phones, tablets, the internet, and new media. This descriptive study aims to evaluate the tendencies of the students of the Cinema and Television (CTV) Department of the Fine Arts Faculty of AfyonKocatepe University (AKU GSF) to visit the cinema and watch television. Questionnaires were used as a data collection tool. The survey, Motivation to go to the Cinema, that was developed by Yousry (2009) and Hassan (2015) was consulted to prepare the research questions. The questionnaire was translated into Turkish by Yoğurtçu and Yoğurtçu (2017). Furthermore, the Television Monitoring Motivation Scale, developed by Özarlan and Nisan (2011), was used in this survey. Face-to-face interviews were conducted with students from the AKU GSF Department of CTV. The data were analyzed using descriptive and multivariate statistical techniques (Correspondence Analysis). The results obtained from the analysis of the collected data are presented in related tables and figures.¹

Keywords: Cinema, Television, Audience, Uses and Gratification Approach, Cultural Studies Theory

¹ This article has been prepared within the scope of 18.KARIYER.275 Project, supported by Afyon Kocatepe University Scientific Research Projects Commission. It is an updated version of the paper presented in the International Conference on Social Sciences (ICSS 2019) held in Lisbon/Portugal on 17-18 May 2019.

The Concept of Trust in Socio-Economic Life

Ercan Özen

University of Usak, Turkey

Abstract

The concept of trust is considered as a psychological and sociological phenomenon. Numerous theories have been developed to achieve economic development and to increase the level of welfare. The theories have not always revealed the expected results due to ignoring human behavior. Behavioral models addressing human behavior have gained importance in recent years. Thus, it was seen that emotions and thoughts were effective in creating different economic decisions. One of the factors affecting decisions is also trust. The aim of the study is to clarify the effects of the concept of trust on socio-economic life with different perspectives. When the literature is examined; There are concepts such as (i) social trust and (ii) economic trust. These concepts are related closely with some topics such as marketing and business, finance and economics. Some positive results are expected from the climate of trust. (i) With the establishment of appropriate communication between individuals, some social problems and their costs are reduced. (ii) The development of business-customer relations is beneficial for both sides. (iii) With the positive relations between fund providers and fund seekers in financial markets, financial institutions work more effectively and the markets grow. (iv) Financial growth also triggers economic growth and development. (v) Economic trust, as a measure of future assessments, increases economic activities. The study collectively evaluates the effect of the concept of trust in different areas. The findings show what kind of legal arrangements should be made by policy makers in different areas in order to increase the trust of people.

Keywords: Trust, Confidence, Socio-Economic Life

Towards Culturally Responsive Education: A Qualitative Approach

Dilek Kayaalp

Assistant Professor University of North Florida, Department of Foundations and Secondary Education

Abstract

By the year 2050, students of color will constitute 57 percent of students in the US (Karanja and Austin, 2014). However, research indicates that most pre-service teachers and even in-service teachers are not ready to teach in cross-cultural classrooms (Marx, 2006). As a result of de facto segregation, teacher candidates have very limited interaction with minority groups. Consequently, understanding the culture of students, using pertinent information in classrooms, and building rapport with the students become challenging issues in their teaching practices. As a response to these concerns, the proposed study aims to create educational models to help teacher candidates become more culturally competent throughout their teaching experiences. My information was gathered from interviews with people who work in public schools, nonprofit organizations, and universities in Florida, US. The findings of this study indicate that social (poverty, racism) and ontological (i.e., teachers' and students' dispositions) issues influence teachers' and students' experiences in classrooms. How teacher candidates perceive educational disparities, racism, and equity traps and respond to them affect the teacher/student relationships and underprivileged students' educational attainment. The findings suggest that teacher education programs need teacher candidates who are knowledgeable about historical and cultural forms of oppression and their effect on students' educational attainment. Discussing the achievement gap without analyzing its reasons from critical lenses only increases this gap and makes students of color internalize this deficit thinking. Finally, it is vital to find ways to attract teacher candidates from underrepresented groups as teachers of color provide more culturally competent discussions in classrooms.

Keywords: Culturally responsive education; Teacher Education Programs; US; Deficit Thinking; Teaching

New Legal Solutions in the Hungarian Criminal Law with Reference to the Fight against the Irregular Migration

Robert Bartko

Assoc. Prof. Dr. University of Győr, Faculty of Law and Political Sciences, Department of Criminal Sciences

Abstract

International migration has intensified during the last two decades. Europe has been receiving increasing number of migrants from the developing countries (primarily from the Near-East). The number of the irregular migrants entered the European Union reached unprecedented levels in the last four years. The mentioned phenomenon affected the European Union and the Member States as well. The irregular migration is defined and managed in different ways by the Member States. In 2015, when Hungary was in the centre of the migratory flow, a political decision on taking the necessary criminal measures to stop the irregular migrants was made by the Hungarian Government. The legal response concerned widely the Hungarian legal system. In the centre of the amendment were the criminal law and the criminal procedure law. Within the frame of the mentioned decision the Hungarian Criminal Code was amended with three new crimes which are the followings: damaging the border barrier, unlawful crossing the border barrier and obstruction of the construction work on border barrier. The above-mentioned amendment modified the general section of the Criminal Code as well concerning the irregular migration. The aim of the paper is to present on the one hand the solution of the Hungarian criminal law with special reference to the new statutory definitions using the analytical method and on the other hand the data of the Hungarian criminal-statistics as well. However, it shall be underlined that in our paper we could work only with the official criminal-statistics for 2015-2017 because until the finishing of our study the Unified Hungarian Criminal Statistic of the Investigation Authorities and Prosecution did not summarize yet the data concerns the year of 2018.

Keywords: Hungarian criminal code, irregular migration, crimes concerning the irregular migration in hungary, border barrier, fight against the irregular migration in hungary, crimes against the border barrier in hungary

Kafka “Shanghai-Ed”: Orientalist China in Kafka’s Fiction and Kafkaesque Phenomena in China

Primož Mlačnik

Teaching Assistant, Junior Researcher, Faculty of Social Sciences, University of Ljubljana

Abstract

During a visit to Shanghai in August 2019, I attempted to use the auto-ethnographic method to answer a few general questions: what is the image of China in Kafka’s literary imagination, what is Kafkaesque in Shanghai, and what is Shanghai-esque in Kafka? Because the combination of theoretical interest, spontaneous ethnographic observations, and personal reflections proved insufficient to respond to these questions, I also analyzed Kafka’s ‘Chinese’ stories, namely *The Great Wall of China*, *In the Penal Colony*, *The Message from The Emperor*, *An Old Manuscript*, and *The Letters to Felice*, and two Kafkaesque phenomena in China: the Shanghai World Expo and the Chinese Ghost Cities. I concluded that Kafka’s fiction contains certain Orientalist elements and that, through the perspective of contemporary material Kafkaesque phenomena, are more western than the West.

Keywords: Literary Images of China, Kafka, Orientalism, Kafkaesque, Shanghai

Strike in Portugal: Perception Differences Between Public and Private Sector Employees

Diamantino Ribeiro

Instituto de Investigação Portucalense and Universidade Lusófona do Porto

Eva Dias Da Costa

Instituto de Investigação Portucalense and Universidade Portucalense

Abstract

At a time when strikes are once again very frequent in Portugal, especially in sectors with a predominance of public management – in spite of the international recognition of the good performance of the Portuguese economy – an enquiry was developed in order to evaluate if there are differences between the perception and action of workers in the public sector and the private sector about strike. A survey conducted on *Google Drive* platform between November 28, 2017 and January 16, 2018. A total of 1071 responses were obtained. Fifteen questions were asked to obtain the respondents profile: age, sex, marital status, educational qualifications, employment status, type of organization where you work, sector, length of service in the current job, type of contract, occupation, place of residence, place of work, size of organization and place of birth. At the same time, quantitative questions were asked regarding the perception of the strike, unionism, social manifestations and the impact of strikes on the society. The questions that the study intends to answer are: 1) Do workers in public departments think and act differently from private sector workers towards strikes? 2) Do the workers question their right to strike? 3) Does the Portuguese population understand that workers in the public sector benefit from the right to strike? 4) What is the understanding of the positioning of the private sector in relation to the strike? 5) Are consecutive union-led strikes well accepted and understood by the general population? 6) Can it be verified that Portuguese workers defend some rules and limitations in the right to strike? We respond to these questions through respondents' opinions on the 15 survey questions. Based on data from the "PORDATA" platform for the year 2017, the total population in Portugal was 10,325,453 people. The active population corresponded to 5,178,300 (50.2%), of which 4,514,502 (87.2%) worked in the private sector and 663,798 (12.8%) in the public sector, representing 6.43 % of total population. Considering that the sample size (1,071 respondents) is composed of 209 public employees, (19.5% of the respondents), the authors are of the opinion that the results obtained are representative of the Portuguese population. The results indicate that: a) There are no substantial differences in the perception of the strike between civil servants and private employees; b) The majority of the respondents, defends the right to strike, but not the duty; c) Express the view that workers should not be able to use the strike in any circumstance, showing concern with the population in general; d) Understand that workers should find other alternatives to fight for their rights without causing prejudice of the population at large; e) More than half of the respondents are of the opinion that the reasons for the strikes are not perceptible by the population. The results justify the continuation of the research on strike with the aim of finding, evaluating and considering other forms of fight in order to reduce the use of the strike and the negative impacts that it causes in the general population.

Keywords: strike, public sector, private sector.

Exploring Teaching Profession Challenges in Georgia

Maia Akhvlediani

Akaki Tsereteli State University Associate Professor

Sophio Moralishvili

Akaki Tsereteli State University Associate Professor

Abstract

The aim of the research is to investigate the popularity of the teaching profession and to analyze the process of highly skilled teacher preparation. The study provides profound insights into the existing problems, motivational or hindering factors accompanying the teacher preparation process. The study was carried out at Kutaisi Akaki Tsereteli State University Pedagogy department, which according to the pedagogical education reform in Georgia launched a Teacher Integrated Bachelor-Master's five-year (300 ECTS) educational program. The expected outcome of the program is to prepare teachers equipped with critical and creative thinking skills, rapidly changing and adapting to the new paradigms of education. We conducted the survey among Bachelor's, Master's and Teacher Training Program students in order to attract, sustain, motivate and popularize teacher profession in Georgia.

Keywords: teaching profession, teacher knowledge, teacher satisfaction, teacher motivation,

Impact of Delay on Cost Overrun in Construction Projects in Algeria

Salhi Roumeissa

PhD candidate, Dept. of Civil Engineering, University 20 Août 1955 SKIKDA, Algeria

Abstract

Project success is the ultimate goal of the various project stakeholders (Salhi.R 2018). A successful project means that the project is completed on time, within the agreed budget and according to the contract specifications. Delay is one of the most recurring problems in construction project in Algeria, and it is considered as the main cause of cost overrun, time overrun, dispute and claims. The objective of this paper is to measure the impact of schedule delay on cost overrun, using the simple linear regression method and the coefficient of correlation. The proposed model can be used by practitioners as predictive measure to address possible cost overrun.

Keywords: Delay, Project construction, Impact of delay, Cost overrun, Algeria

Memory of the Landscape and Ethical Dwelling

Vereno Brugiattelli

Abstract

In this article, I intend to carry out a hermeneutic study into the relationship between the workings of memory and landscape, and the consequences that such a relationship produces for living on an ethical level. In the first part, I intend to highlight the active role played by memory in the significant interpretations of the landscape. In consideration of this aspect, I will deal with the circularity between building a narrative of the landscape and exercising individual and collective memory. In the second part, I will focus on the role that the narrative, together with memory, plays with regard to the different forms of living. In the light of such activity, living is seen as ethical dwelling for the care of the landscape and of man who inhabits it.

Keywords: Memory, narrative, landscape, dwelling, care.

The Effect of Perceived Interest and Prior Knowledge on L2 Reading Comprehension via Several Assessment Methods in a Higher Education Context

Ana Cristina Lahuerta Martínez

PhD University of Oviedo

Abstract

The aim of the present study is to examine the effect of perceived interest and prior knowledge on EFL reading comprehension. Participants were 227 undergraduates with advanced competence in English. With respect to the method, participants had to read a 450-word text entitled Wales. After that, they had to complete a Perceived Interest Questionnaire (PIQ), which consisted of 9 items and two assessment tasks: a written recall and a multiple choice task. The results of our study show the significant effect of perceived interest and prior knowledge on L2 reading comprehension. Thus, comprehension assessed via written recall and multiple choice questions had higher scores when readers read texts related to their interests. Besides, prior knowledge had a positive effect on the reader's comprehension irrespective of the assessment method used. This study concludes that different assessment tasks may be crucial factors that affect the relationship between factors like interest and prior knowledge, and L2 reading comprehension.

Keywords: interest, prior knowledge, L2 reading, written recall, multiple choice.

Effects of Mobile Assisted Language Learning on Developing Listening Skill to the Department of English Students in College of Education for Women at Al Iraqia University

Abeer Hadi Salih

Asst. Prof. Department of English Language/ College of Education for Women-Al Iraqia University / Baghdad –Iraq

Abstract

Many studies have described the use of mobile assisted language learning in language teaching and learning; yet, the number of studies in listening skill remains unsatisfactory. Few researchers appear to have considered how to use mobile learning devices to support pedagogical approach to develop academic listening skills. Several studies in the past, required learners to read from mobile phones rather than listening to audios. There were attempts to use computer technology integration into instruction; however, few were in mobile technology. The interest in research related to the impact of mobile assisted language learning on developing students' listening skills remains relatively low and consequently listening has been neglected. Thus, the current paper aims at exploring the effectiveness of mobile assisted language learning devices both as instructional tools and learning resources within and beyond classroom learning environments to develop language skills in particular listening sub-skills. The experimental design is pretest-experiment-post-test. To conduct the study two groups of experimental (30) and control (30) out of 60 second year students at Al Iraqia University/ college of education for women/ department of English were made. Both groups were taught the same material, but using different methods. The results of the post-test indicated that the use of mobile assisted language learning devices had impacts on developing experimental group's listening skills and outperformed the control group.

Keywords: mobile, assisted, language learning, develop, listening, english students.

An Algorithm Describing the Verb Valence Changes in the Kartvelian Linguistic Space

Rusudan Asatiani

Ivane Javakhishvili Tbilisi State University, Georgia

Abstract

The four vowel-prefixes of the verb, which are distinguished in the South Caucasian (resp. Kartvelian) languages, represent various verb forms, such as: transitive, causative, reflexive, reciprocal, deponent, passive, potential, subjective and objective version. Such polyfunctionality of the prefixes leads us to suppose that they should have more general, common function. Based on a semantic and functional analysis of these prefixes the certain generalization is proposed; and the whole process of prefixes choices is presented as an algorithm with four implicational rules. The algorithm reflects a hierarchically organized optimal generating/dynamic process of linguistic structuring of the verb valence changes continuum both in the Proto-Kartvelian and in the contemporary Kartvelian languages. Such a dynamic approach clarifies why these vowels are poly-functional in the whole Karvelian linguistic space: Georgian, Svan, Megrelian and Laz (id. modern Kartvelian languages) and their dialects; and describes the main direction of diachronic changes in the functions of valence markers, which turn into (co)markers for various derivational verb categories.

Keywords: Kartvelian languages, verb valence, verb derivational categories, semantic roles, algorithms in grammar.

The delinquent with Attention Deficit Hyperactivity Disorder (ADHD)

Alberto Pintado Alcázar

Profesor Asociado de Derecho Penal y Criminología, Universidad de Murcia

Abstract

Society has always tried to find an explanation to determine the reason that pushes certain people become delinquents. At present, Attention Deficit Hyperactivity Disorder (ADHD) has been detected in a variety of criminal actions. Despite this, it can be affirmed that there is no correlation between ADHD and violence.

Keywords: ADHA, delinquency, jurisprudence, criminal law

Ethics in TCE: An Application of Tce to the Case of the Internal Oversight at the United Nations

Maria do Rosário Da Veiga

Abstract

This paper provides Aristotelian virtue ethics analysis of decisions regarding the UN internal oversight governance structures focused on Transaction Cost Economics (TCE) theory. We explore “probity” and “independence” transactions’ attributes through historical narrative case based research to answer to the question – Why consecutive decisions to strengthen internal oversight structures did not relieve “probity” hazards? Our analysis shows that, at the UN, increased oversight governance structures, i.e. incentives, did not relieve probity/ethics hazards as predicted in TCE (Williamson, 1999). It follows that executive powers’ as well as overseers’ systematically trumpeted the UN “rules of the game”, breaching probity/ethics, disregarding the oversight independence prerogative as well as the UN Charter failing to contribute to the “common good” and to protect the UN mission. It also follows that, as it stands by now, the internal oversight mechanism design is defective insofar as the UN Charter, positions the Secretary-General in constant conflict of interest empowering him/her with both executive and judiciary powers. We apply Williamson’s Public and Private Bureaucracies TCE for the first time. It results that it should be modified to include “virtue ethics” behavioral assumption as a transaction costs’ reduction device and explanatory framework for ethical failures abandoning the opportunism behavioral assumption.

Keywords: Internal Oversight; Internal Audit; Transaction Cost Economics; Virtues Ethics; United Nations; Oil-for-Food Program; International Organizations; Public Sector.